RETHINKING THE SIGN:
STYLISTIC COMPETENCY AND INTERPRETATION OF MUSICAL TEXTURES,
1890-1920

Volume 1

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Abstract

Encountering an explosion of new sounds and techniques, composers and music critics in the mid-twentieth century turned to the concept of “texture,” borrowed from art history, to describe increasingly complex acoustic phenomena in post-tonal music. Current scholarship adopts the term for a wide variety of repertories, though this indiscriminate usage underscores a certain ambiguity as to texture’s exact meaning. While current scholarship allows for its use in connection with a variety of repertories, the stylistic conventions associated with texture remain uncertain. Furthermore, systematic description and critical evaluation do not always proceed in tandem. For example, while heterogeneity among textural units is held as the norm in music of the late eighteenth through early twentieth centuries (Meyer 1989; Rosen 1997), interpretive readings of modernist repertory assign this very textural heterogeneity a somewhat pejorative status through qualities of “disjunction” (Abbate 1991; Kramer 1996; Taruskin 1997). These opposing valuations indicate an absence of a general theory of texture that would enhance historical and aesthetic interpretation.

In this dissertation I develop a theory of texture in instrumental music that provides an analytic vocabulary unique to music. The theory incorporates a temporal approach to segmentation, clarifies the hierarchic nature of textural details and processes, accounts for stylistic developments in texture, and reconsiders the historiographic presumptions implicit in many discussions of texture. At the core of the theory is a vocabulary developed to elucidate the fundamental oscillation in a musical work between passages of textural stability, which yield units, and instability, which create transitions.
Textural units are defined by hierarchic networks that prioritize and order the musical parameters salient in a particular passage. Instead of asserting *a priori* criteria for segmentation in analysis, these hierarchic networks suggest that listening is constantly rediverted onto different parametric categories of the aural perceptual experience. Thus, texture forms an ontologically higher conceptual category that encompasses musical parameters, rather than constituting a parameter itself. Weighted hierarchies of parametric characteristics are a powerful tool for interpretation when they form conventional typologies by which listeners share valuations of salient characteristics. As conventional textures establish type-token relationships, associative and interpretive readings may also be mapped onto textural units.

Textural transitions, on the other hand, constitute instability at the moments where one textural hierarchy dissolves and another begins. These textural successions encompass both a materiality (by bringing together two distinct textural identities) as well as a temporality (the meeting of those objects is facilitated by an event in time, rather than through a physical or tangible interface) that helps establish taxonomic categories for their identification. The materiality of textural transitions is conceptualized in terms contradiction and contrariety, while their temporal unfolding is framed as juxtadictive, predictive, and retrodictive. These transitional types are highly indicative of stylistic period in the late eighteenth through early twentieth centuries.

Textural units and transitions thus serve to inform hermeneutic endeavors by suggesting conventional associations, indexing previous stylistic periods, and highlighting moments of rupture in analytic discourse where traditional methods of analysis fail to elucidate more ephemeral, qualitative characteristics that contribute to
salience. In the final chapter I utilize this semiotic apparatus of texture to reconsider the notion of juxtaposition in the *Rite of Spring*. I argue that the phenomenon of juxtaposition is largely textural, though the stylistic precedents for such procedure and the stable textural hierarchies found in the *Rite* are firmly rooted in the Classical style. By reconsidering the stylistic growth of certain Classical procedures incorporated into Stravinsky’s modernist style, my reading of the *Rite* argues that contrary to the anti-subjective program of the *Rite* that Richard Taruskin infamously suggests is coerced upon the listener, the textural discourse of the *Rite* invites an *intersubjective*, critical reading of the events that unfold onstage from distinct perspectives of narrator, Chosen One, and community.
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Table of Contents

VOLUME 1

Abstract iii
Acknowledgements vi
List of Figures and Examples x

Chapter 1: What is Texture? 1
Chapter 2: The Historiography of Baroque and Classical Textures 41
Chapter 3: Stable Texture and Hierarchic Networks 56
Chapter 4: Stylistic Growth of Textural Types 84
Chapter 5: Textural Succession:
Juxtadictive, Predictive, and Retrodictive Transitions 115
Chapter 6: The Indexicality of Texture 158
Chapter 7: Stravinsky’s Sullied Pastoral:
Textural Analysis and the Historiography of The Rite of Spring 187

VOLUME 2

Appendix: Figures and Musical Examples 214
Bibliography 348
List of Figures and Musical Examples

Example 1.1. Debussy, *Nocturnes*, “Nuages,” mm. 1-5

Example 1.2. Debussy, *Nocturnes*, “Nuages,” mm. 11-12

Figure 1.1. Craig Wright, Listening Chart for “Hallelujah Chorus” from Handel’s *Messiah* from *Listening to Music*

Example 1.3. Palestrina, *Pope Marcellus Mass*, Credo, mm. 1-16

Example 1.4. Mozart, Twelve Variations on “Ah! Vous dirai-je Maman,” K. 265, Theme

Example 1.5. Mozart, Twelve Variations on “Ah! Vous dirai-je, Maman,” K. 265, Var. 1

Example 1.6. Mozart, Twelve Variations on “Ah! Vous dirai-je, Maman,” K. 265, Var. 2

Example 1.7. Mozart, Twelve Variations on “Ah! Vous dirai-je, Maman,” K. 265, Var. 3

Example 1.8. Mozart, Twelve Variations on “Ah!Vous dirai-je, Maman,” K. 265, Var. 4

Example 1.9. Mozart, Twelve Variations on “Ah! Vous dirai-je, Maman,” K. 265, Var. 5

Figure 1.2. Redirection of Parametric Attention in Variations 1-5 in Mozart, K. 265

Example 1.10. Mozart, Twelve Variations on “Ah!Vous dirai-je, Maman,” K. 265, Var. 8

Example 1.11. Mozart, Piano Sonata No. 16 in C Major, K. 545, mm. 42-45

Example 1.12. Mozart, Piano Sonata No. 16 in C Major, K. 545, mm. 55-61

Example 1.13. Mozart, Piano Sonata No. 16 in C Major, K. 545, mm. 1-4


Example 1.15. Mozart, Serenade in G Major, K. 525, “Eine kleine Nachtmusik,” I. *Allegro*, mm. 1-27

Figure 1.3. Model for Fuzzy Sets from Danuta Mirka, “Texture in Penderecki’s Sonoristic Style (2000: figure 3)


Figure 1.4. Model for Contradiction from Danuta Mirka, “Texture in Penderecki’s Sonoristic Style (2000: figure 1)
Figure 1.5. Model for Contrariety from Danuta Mirka, “Texture in Penderecki’s Sonoristic Style (2000: figure 2)

Figure 1.6. Overview of the Theory of Texture


Example 2.2. Bach, Invention No. 8 in F Major, mm. 19-21

Example 2.3. Bach, Invention No. 8 in F Major, mm. 1-7

Example 2.4. Bach, Brandenburg Concerto No. 3 in G Major, I. *Allegro*, mm. 23-28

Example 2.5. Bach, Brandenburg Concerto, No. 3 in G Major, I. *Allegro*, mm. 87-90


Example 2.7. Handel, Chaconne in G Major for Harpsichord (HWV 435), Variation 18


Example 2.9. Mozart, Piano Sonata in C Major, K. 309, I. *Allegro con spirito*, mm. 21-26

Example 2.10. Schubert, String Quartet No. 7 in D Major, D. 94, IV. *Presto*, mm. 110-123

Example 2.11. Shostakovich, Symphony No. 6, III. *Presto*, mm. 16-19

Example 3.1. Bartok, String Quartet No. 1, Op. 7 (Sz. 40), III. *Allegro Vivace*, reh. 16

Example 3.2. Mozart, String Quartet No. 2 in D Major, K. 155, I. *Allegro*, mm. 29-36

Figure 3.1. Characteristics of the Pastoral from Robert Hatten, *Musical Meaning in Beethoven* (1994: 95-97)

Example 3.3. Debussy, *Prelude to the Afternoon of a Faun*, mm. 1-10

Example 3.4. Stravinsky, *A Soldier’s Tale*, Pastoral, mm. 1-14

Figure 3.2. Weighted Hierarchy of Parametric Characteristics of the Pastoral Texture

Figure 3.3. Weighted Hierarchy of Parametric Characteristics of the Minuet Texture

Example 3.5. Stravinsky, *Suite de Pulcinella*, VIII. Minuetto, reh. 94-96
Example 3.6. Berg, Composition Study, Menuet for String Quartet in D minor


Figure 3.4. “Basic model of the interaction between stylistic correlations and strategic interpretations, with respect to expressive meaning in music” from Robert Hatten, Musical Meaning in Beethoven (1994: 30)

Example 3.8. Bartok, Concerto for Orchestra, IV. Intermezzo interrotto, reh 43

Example 3.9. Stravinsky, L’histoire du Soldat, “Royal March,” mm. 1-3 and 9-12 showing Elliot Woodruff’s concept of Metrical Phase Shifts

Example 3.10. Chopin, Waltz in F minor, Op. 70, no. 2, mm. 1-5

Example 3.11. Saint-Saëns, Danse macabre, mm. 33-41


Figure 3.5. Characteristics of the Waltz

Figure 3.6. Weighted Hierarchy of Parametric Characteristics of the Waltz Topic

Example 3.13. Schoenberg, String Quartet No. 1 in D, rehearsal B

Example 3.14. Schoenberg, String Quartet No. 2, II. Sehr rasch, mm. 165-18

Example 3.15. Schoenberg, Pierrot Lunaire, “Serenade,” mm. 1-4


Figure 3.7. Weighted Hierarchy of Parametric Characteristics of the March Topic

Example 4.1. Haydn, Symphony No. 23 in G Major, III. Menuetto e Trio, mm. 1-12

Example 4.2. Schubert, Waltz in E Major, D. 145, no. 12, mm. 4-16

Example 4.3. Bruckner, Symphony No. 4 in E-flat Major, IV. Finale, mm. 65-68
Example 4.4. Stravinsky, *Petrushka*, mm. 148-158

Figure 4.1. Troping through Alternation

Example 4.5. Mahler, Symphony No. 6 in A minor, II. *Andante moderato*, mm. 98-107


Figure 4.2. Model for Derivation of a New Type from Articulation of an Existing One, adopted from Figure 10.5 in Hatten, *Musical Meaning in Beethoven* (1994: 264)

Figure 4.3. Formation of a New Type from a Subset of an Existing One Illustrated in the Parametric Hierarchy


Figure 4.4. Weighted Hierarchy of Parametric Characteristics of the Contredanse Topic

Example 4.8. Mozart, *Le Nozze di Figaro*, “Se vuol ballare,” mm. 64-79

Example 4.9. Mozart, String Quintet in E-flat Major, K. 614, IV. *Allegro*, mm. 1-16

Example 4.10. Saint-Saëns, *Samson and Delilah*, “Bacchanale,” mm. 3-17

Example 4.11. Strauss, *Salome*, “Dance of the Seven Veils,” mm. 1-17


Example 4.17. Stravinsky, *Firebird*, rehearsal number 3, m. 13


Figure 5.1. Model of Juxtadictive Transition

Example 5.1. Mozart, Sonata No. 12 in F Major, K. 332, I. *Allegro*, mm. 1-22

Example 5.2. Clementi, Sonatina Op. 36, No. 3, mm. 1-26

Figure 5.1. Comparison of Textural and Phrase Rhythm


Example 5.4. Schoenberg, *Verklärte Nacht*, mm. 255-261

Figure 5.3. Model of Predictive Transition

Figure 5.4. Processes and Profiles of Predictive Textural Transition

Example 5.5. Schubert, Symphony No. 3 in D Major, D. 200, I. *Allegro con brio*, mm. 159-177

Example 5.6. Berlioz, *Symphonie fantastique*, I. Rêveries – Passions, mm. 216-230

Example 5.7. Schoenberg, *Verklärte Nacht*, mm. 303-310


Example 5.9. Mahler, Symphony No. 2, III. *In ruhig fließender Bewegung*, mm. 445-466

Example 5.10. Tchaikovsky, Symphony No. 6 in B minor, first movement, mm. 142-

Example 5.11. Debussy, *Prélude à l’après-midi d’un faune*, mm. 11-21

Figure 5.5. Model for Contrariety with Fuzzy Logic
from Danuta Mirka, “Texture in Penderecki’s Sonoristic Style (2000: figure 4)

Figure 5.6. Model for Fuzzy Boundaries that result in Saturation or Retrodictive Transition

Example 5.12. Schubert, Symphony No. 8 in B Minor, D. 759, I. *Allegro moderato*, mm. 1-45

Example 5.13. Mahler, Symphony No. 1 in D Major, I. *Langsam, Schleppend, Immer sehr gemächlich*, mm. 1-63

Example 5.15. Chopin, Prelude in D-flat Major, Op. 28, No. 15, mm. 24-32

Example 5.16. Beethoven, Symphony No. 5 in C Minor, I. Allegro con brio, mm. 197-243

Example 5.17. Debussy, Préludes, Premier Livre, 10. Le cathédrale engloutie, mm. 1-8

Example 5.18. Debussy, Nocturnes, I. Nuages, mm. 57-67

Figure 6.1. Categories of Thought from Naomi Cumming, The Sonic Self (2000: 65)

Figure 6.2. Categories of Thought from Robert Hatten, Musical Meaning in Beethoven (1994: 259)

Example 6.1. Ravel, Bolero, mm. 165-168

Example 6.2. Ravel, Bolero, mm. 325-328

Example 6.4. Ravel, Bolero, mm. 335-340

Example 6.5. Mahler, Symphony No. 2 in C Minor, I. Allegro maestoso, mm. 59-67

Example 6.6. Mahler, Symphony No. 2 in C Minor, I. Allegro maestoso, mm. 37-51

Example 6.7. Mahler, Symphony No. 2 in C Minor, I. Allegro maestoso, mm. 104-11

Example 6.8. Strauss, Till Eulenspiegels lustige Streiche, mm. 6-49

Example 6.9. Strauss, Till Eulenspiegels lustige Streiche, mm. 436-489

Example 7.1. Stravinsky, Rite of Spring, Part I: “Introduction” mm. 69-91

Example 7.2. Stravinsky, Rite of Spring, Part I: “Spring Rounds,” rehearsal number 48

Example 7.3. Stravinsky, Rite of Spring, Part I: “Spring Rounds,” rehearsal number 52

Example 7.4. Stravinsky, Rite of Spring, Part I: “Spring Rounds,” rehearsal number 55

Example 7.5. Stravinsky, Rite of Spring, Part I: “Introduction,” beginning

Example 7.6. Stravinsky, Rite of Spring, Part I: “Introduction,” rehearsal number 4

Example 7.7. Stravinsky, Rite of Spring, Part I: “Introduction,” rehearsal number 9

Example 7.8. Stravinsky, Rite of Spring, Part I: “Introduction,” rehearsal number 10


Example 7.16. Beethoven, Symphony No. 9 in D Minor, IV. *Presto*, mm. 331-346

Example 7.17. Stravinsky, *Petrushka*, Third Tableau, rehearsal number 121

Example 7.18. Beethoven, Symphony No. 7 in A Major, III. *Allegretto*, mm. 1-8

Example 7.19. Schubert, Schubert, String Quartet in D minor (D.810) “Der Tod und das Mädchen,” II. *Andante con moto*, mm. 1-8

Example 7.20. Stravinsky, *Rite of Spring*, Part II: “Sacrificial Dance,” rehearsal number 149

Example 7.21. Stravinsky, “Sacrificial Dance,” rehearsal number 149 shown with metric phase shifts
CHAPTER 1
What is Texture?

What is texture? The question at first glance seems simplistic, even naïve. Texture is, after all, one of the first terms introduced to students in music appreciation classes. It enjoys comfortable, widespread usage in scholarly literature where historians and theorists invoke the term to describe a broad spectrum of repertories. But the definition of texture is far from unified or straightforward and there are perhaps as many definitions of texture as there are scholars and critics who invoke the term; rarely are the implications and assumptions of the term made explicit.

The *Merriam-Webster’s Dictionary* defines texture as a tactile sense, that is, the feel or visual perception of the surface of an object. Immediately this definition incorporates two senses – touch and sight – that are noticeably absent in the perception of musical sound.¹ Nor does the surprisingly vague and unattributed entry on the subject in *The New Grove Dictionary* provide greater clarification. Here texture is defined as “the sound aspects of musical structure,” which include a range of musical phenomena from the “vertical aspects” of music to “tone color or rhythm.”² Verticality seems to invoke a physical space, while “color” clearly appeals to visual stimulation. However, aside from the most basic distinctions of homophony and polyphony and a fleeting observation of

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¹ We might of course consider the physical interface where sound waves excite the anatomical structure of the inner ear or the actual tactile experience of playing a musical instrument, but these are not the types of sensations that texture is typically used to describe.

the concept’s growing importance for twentieth century music, the entry is anything but clear on exactly how texture encompasses such a broad range of phenomena or how the concept informs analytic and stylistic inquiry.

Further clarification may be found in a number of introductory textbooks that place the term’s origins in art criticism and invoke comparisons with painting and textiles.\(^3\) Through discussions of texture as threads in a tapestry and inlaying particular paintings alongside the prose, many textbooks encourage a certain intertextual understanding with the visual arts for the musical use of texture. Texture therefore acts in music analysis, first and foremost, as analogy. This comparison serves not just the pedagogical convenience of comparing minimalism with the Dutch *Der Stijl* movement or Debussy with impressionism for novices to music appreciation.\(^4\) Rather, the analogy is carried further into professional writing where it informs interpretation through linguistic metaphor. The “tactile” sense of musical texture might be understood as a visceral or meaningful reaction to particular musical details that stand out within the listening experience but fail to fall within the technical explication of traditional analytic theories. The identical pitch repetition of the opening of Debussy’s “Nuages” from *Nocturnes* at m. 11 stands as one such example (Example 1.1, Example 1.2). Despite the similarity of the unusual harmonic progression, a palpable feature of this opening is the contrasting effect of a registral expansion and reinstrumentation for the strings of those opening chords in their second iteration at m. 11. Although established analytic theories of pitch


\(^4\) See in particular Wright’s use of paintings from the Dutch “De Stijl” movement to illustrate “thin texture” and counterpoint. Wright, *Listen*, 57.
and rhythm would have a hard time encompassing this repetition as syntactically meaningful, the moment is nonetheless salient in the listening experience and compositionally deliberate. It is “tactile” in the sense that something is altered and novel.

This immediately raises the question of how and why listeners (and analysts) elevate certain musical details over others, especially when those details cannot necessarily be voiced with adequate analytic language. One of the aims of music analysis is to educate or hone the ear toward particular musical phenomena. So instances in which a listener observes audible phenomena that she cannot elucidate with established technical language are troublesome. Theodor Adorno explains:

Those listeners schooled in German and Austrian music are familiar with the experience of frustrated expectation in Debussy. The guileless ear strains through the breadth of the piece to hear whether “it is coming”; everything seems to be preparation, a prelude to musical fulfillments, to the “swan song” that never arrives. Listening must reeducate itself in order to hear Debussy correctly, not as a process of damming up and release, but as a juxtaposition of colors and flashes, as in painting.  

Reading between the lines of Adorno’s call for listening to “reeducate” itself, the philosopher points to the limitations of the musical-analytic tools of the Austro-German school to elucidate something potent and palpable (the “it”), yet unnamed within the technical vocabulary of teleological and organic methods of music analysis. The “reeducation” of which Adorno speaks is not merely one of music appreciation, but also of the fundamental analytic premises that guide listening and interpretation.

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Texture then is secondly a “need,” an identification of an analytic deficit; it is frequently invoked in scholarly writing where existent analytic theories fail to adequately describe the phenomenology of listening. Jonathan Dunsby writes,

Many of the familiar terms and concepts in music criticism had become irrelevant, and in the search for an assimilation of modern music, what we now think of as texture was often the only hook on which critics, reviewers, and teachers too, were able to hang their musical understanding of the new.\(^6\)

Texture first came into usage in Anglo-American criticism through writers such as Donald Tovey and Constant Lambert to describe, as Adorno alludes, the new listening experiences in post-tonal repertories. The metaphorical language of texture was particularly suited to the elusive qualities of modernist repertory that defied traditional methods of analysis. Although texture was rooted in close musical readings, however, in its reliance on prose metaphors to delineate the scope of observation, the term never acquired an analytic apparatus, technical vocabulary, or clear methodology of application. As analytic deficit elsewhere continued to drive scholarly applications of texture to earlier repertories, ambiguity surrounding the basic definition of texture amplified.

In recent uses of texture, scholars often invoke the term to describe a veritable grab bag of musical details outside of harmonic syntax. Consider the following enlistments of the term:

Also notable is the interesting phrase organization, with its play against symmetry, found especially in the minuets but also in other movements…, and many examples of unexpected harmonic twists and affective melodic intervals.

Especially characteristic are the occasionally active and varied second violin parts, which energize the texture and rhythm.\(^7\)

The accompaniment, instrumentation and texture of the introduction and first quatrain exemplify the pastoral idiom in the decidedly un-pastoral key of D flat.\(^8\)

The relative finality of tonal cadences depends on rhythmic accent, orchestration, dynamics, performer nuance, textural density, text (in vocal music), and degree of tonal and rhythmic stability.\(^9\)

In each of these examples, a host of musical parameters quite constrained in their referential sonic aspects are juxtaposed with a more vague use of texture. In the first instance, Churgin’s prose structure suggests that texture and rhythm are mutually exclusive, though both are integral in shaping the timbral identity of the second violins. In the second quote, however, the category of texture is now distinct from that of accompaniment or instrumentation, yet all three coalesce to invoke a topical identification (the pastoral) that conflicts with tonal area. And in the third example, Kramer asserts that tonal closure is influenced by a whole host of variables, with texture sandwiched somewhere on a spectrum between the subjective performance nuances of accent, dynamics, and ensemble and the objectivity of text, pitch and rhythm.

Admittedly, this is a very close semantic reading of prose that might not have undergone the same degree of scrutiny by its authors. Nonetheless, in each of these statements broad claims emerge about style, function, and meaning implicit in observations of texture, while the actual ontological status of texture remains quite vague. What all the authors seem to share is an assumption that texture extends beyond mere auditory input and


instead suggests a complex cognitive process that enables the analyst and listener to
derive idiomatic (Churgin), topical (Crist), and analytic (Kramer) information from
normative behavior and expectations of texture.

Thus emerges a third point: texture is semiotic. Observations about texture rarely
remain simply descriptive, but rather are frequently employed to construct meaningful
semantic experience. Consider Lawrence Kramer’s characterization of Ravel’s textures in
_Daphnis and Chloe:_

Ravel produces a dazzling array of textures, some fleeting, some sustained, from
solo turns to chamber-music passages to the most massive tuttis. What all of these
textures share, even the most complex or abrupt, is a quality of transparency,
something especially significant in the tuttis. The orchestra always sounds as an
ensemble, never as a mass, and the standard gradations of melody,
countermelody, and accompaniment are disenfranchised.\(^\text{10}\)

Kramer’s reading unfolds from this observation into a dichotomy between the
“heterogeneous” textural surface and the “homogenous” structural and formal elements
of the score that serve as an allegory for “the cultural supremacy by which Europe
subsumes and organizes the non-European world” by means of “the combination of an
exotic-archaic narrative or program with the most modern of European musical
techniques.”\(^\text{11}\) Kramer’s description is posited on unarticulated stylistic conventions
against which he judges these particular textures in Ravel’s work to be exotic, modern,
and novel. One is left to wonder how a “homogenous” textural surface might sound and,
more importantly, what it might mean. If heterogeneity symbolizes the modern and
exotic, by implication are traditional textures “homogenous”? This seems a faulty

\(^{10}\) Lawrence Kramer, _Classical Music and Postmodern Knowledge_ (Berkeley, CA: University of California
Press, 1996), 212.

\(^{11}\) Kramer, _Classical Music_, 213.
stylistic premise on which to weigh an interpretation. The notion of novelty is also troubling here, for whereas innovation in the domains of pitch and rhythm assures the modernist composer a place of posterity in music history, here Kramer characterizes texture’s novelty as a transparency (rather than exhibiting depth or subtlety), an antithesis to Western cultural narratives rather than a milestone in the historiography of progress), and even a disenfranchising force. The reading reveals certain entrenched disciplinary attitudes about “surface” and “depth” that uncomfortably perpetuate attitudes toward non-Western cultures. While originality is prized in the European “great composer” narrative, deeming this work worthy of “canonization,” when it occurs on the surface it serves, through its presumed superficiality, as the representation (and repression) Europe’s cultural Others. This logic, based in veiled stylistic and cultural assumptions, seems problematic and in need of closer attention.

Kramer’s reading introduces several key points for reconsideration and clarification in establishing an analytic approach to texture. These issues present the basic challenges that a theory of texture must overcome. First and foremost, the ambiguity over what, exactly, constitutes texture must be resolved. Previous studies that take as their focal point the concept of texture fail to arrive at any consensus for the concept. For Kramer, texture includes orchestration as well as “melody, countermelody, and accompaniment” – what might be thought of as the typical distinctions of monophony, polyphony, and homophony. Danuta Mirka, however, entirely excludes orchestration from her study of texture in Penderecki’s music. Instead, texture encompasses the “perceptual domains” of pitch, rhythm, and register, while timbre occupies an entirely
separate analytical space. Yet a third description of texture exists in Wallace Berry’s notable study where he strives for a qualitative and quantitative understanding of texture as lines, both independent and interdependent, and density, in the sense of the registral compression of those lines. A viable analytic approach to texture must therefore provide a satisfactory answer to these conflicting interpretations of how musical parameters operate and influence texture.

For a definition of texture to succeed, it must also incorporate a sense of stylistic development. Most existing studies of texture, particularly dissertations, limit their scope to a particular genre or composer within a single musical style. While these studies are valuable for understanding a composer’s idiosyncratic treatment of musical parameters other than harmony, or understanding how such parameters interact with formal structure, the lack of a model for texture that incorporates stylistic norms and growth has seriously hindered the viability of texture as an analytic or semantic theory. This issue is particularly evident in the standard textbook treatment of basic textural distinctions of monophony, homophony, and polyphony. These concepts are typically introduced as stylistic indicators, with monophony representative of the medieval chant, polyphony characterizing the earliest sacred music experimentations with multiple voices to the high Baroque style, and homophony coming of age in the Classical style. This narrative is of

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14 For dissertations on the subject, see Frank Edell Lorince, Jr., “A Study of Musical Texture in Relation to Sonata-Form as Evidenced in Selected Keyboard Sonatas from C.P.E. Bach Through Beethoven” (PhD. diss., University of Rochester, Eastman School of Music, 1966); James Robert Mathes, “Texture and Musical Structure: An Analysis of First Movements of Select Twentieth-Century Piano Sonatas” (PhD. diss. Florida State University, 1986); Maud Alice Trimmer, “Texture and Sonata Form in the Late String Chamber Music of Haydn and Mozart” (PhD. diss., City University of New York, 1981); Eugene Norman Wilson, “Form and Texture in the Chamber Music of Debussy and Ravel” (PhD. diss., University of Washington, 1968).
course simplified to facilitate understanding for undergraduates new to the study of music, but the approach proves problematic even in this purpose. For Craig Wright, Handel’s “Hallelujah Chorus” from the *Messiah* serves to illustrate conveniently for amateurs these three textural types in succession (as illustrated in his listening chart reproduced in Figure 1.1). Although these textural distinctions initially serve a diachronic function to illustrate shifting stylistic preferences for textural practice, Wright presents an example in which all three textural types unfold in synchronic succession. Confusion arises as these distinctions are used as both an *indicator of style* as well as *criteria for analytic segmentation*. How can a style characterized as polyphonic incorporate all three textural distinctions? When an instructor asks a student on an exam to describe a texture, is she to identify the general stylistic norms, or the strategic succession of textural types? Without explanation in the prose as to how this terminology serves in both these capacities, the concept of texture is fraught with ambiguity.

In my own teaching I have struggled with this inconsistency between diachronic and synchronic treatments of the term, particularly in discussions of Palestrina’s *Pope Marcellus Mass*. The work occupies a special position in the narrative of Western music history, for with it the composer “saved polyphony” from the Council of Trent’s ban on music in the Mass. Whereas Palestrina’s contemporaries referred to his contributions to “music” or “sacred music,” in their annotation of these texts Piero Weiss and Richard 15The terms diachronic and synchronic, fundamental to Ferdinand de Saussure’s semiotic model, will be used throughout this study. A diachronic methodology considers the development of a system over time shaped by cultural and social demands, while a synchronic analysis studies a work or utterance as an exemplary cross section of that historical development. Saussure ultimately favored the synchronic model in his analysis. See Saussure, *Course in General Linguistics*, trans. Roy Harris (Chicago: Open Court, 1983): Daniel Chandler, *Semiotics: The Basics*, 2nd ed. (London: Routledge, 2002), 9-10. For musical applications see Kofi Agawu, *Playing With Signs* (Princeton: Princeton University Press, 1991), 15-16.
Taruskin alter this narrative by emphasis on Palestrina’s textural choices that “showed the cardinals that, yes, polyphonic music could stay out of the text’s way.”16 In Donald Grout and Claude Palisca’s History of Western Music, a passage from the Mass’s Credo appears to “exemplify” the work.17 But with its broad patches of homorhythm, the music hardly seems to contribute to a perpetuation of the polyphonic tradition (Example 1.3). Palestrina perplexingly seems to “save polyphony” with, paradoxically, homophony.

Weiss and Taruskin argue that Palestrina’s historical importance is linked to his post-mortem iconic status for eighteenth-century theorists of counterpoint, and this historiography might also underscore the allegiance to the narrative of polyphony, despite striking analytic evidence to the contrary.18

A consideration for the historiography of textural study might also be applied beyond pedagogical strategies to academic circles. As observed above, except for several excerpts from the score and little prose to direct the reader’s listening, Kramer’s assertions about texture in Daphnis and Chloe do not orient his “modernist” reading of

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18 Oliver Strunk also repeats this narrative, albeit self-consciously: “Since the early nineteenth century, scholars have debated, with equivocal results, whether this work was written in order to convince a commission of cardinals associated with the Council of Trent of the propriety of polyphonic Mass settings; the story that Palestrina’s work ‘saved’ polyphony for the Roman Church reaches back much further, at least to 1607.” [Emphasis mine] Source Readings in Western Music History, ed. Oliver Strunk and Gary Tomlinson, Vol. 3 (New York: Norton, 1998), 95.
Ravel’s compositional strategies in a broader stylistic understanding of musical texture. His descriptive language of the work’s innovations refers to solos and tuttis as well as “gradations” of melody, countermelody, and accompaniment – yet these techniques stand as highly conventional orchestral practices. (The particular attention he gives to the wordless chorus is also odd, considering Debussy had already employed the technique in 1899 in *Nocturnes.*) The reader is left wondering how exactly Ravel’s procedures differ markedly from those of his predecessors to warrant applying extra semiotic significance to these particular musical details. It would seem then that a more sophisticated language of texture that also considers issues of stylistic development and growth is necessary to fulfill the needs that the prevalence – and perhaps stubbornness – of the term indicates. Furthermore, part of that inquiry must involve significant historiographic consideration of the stylistic narratives scholars have subsumed into textural discourse.

The neglect of textural succession and explication of its synchronic structure lead to a third issue to be resolved in my study as it concerns the limitations of an analytic model appropriated from, and subsequently dependent on, the concept of texture in the visual arts. In solidifying what exactly is meant by texture and creating a stylistic understanding of the concept, the analogy with painting inhibits analysts’ understanding of texture as a musical concept. Comparisons with painting quickly erode for the simple reason that music is a temporal art, and deriving terminology for music from a literal borrowing of such terms as density has serious limitations. This borrowed model overlooks fundamental differences in the perception of visual art versus music. This may seem like an obvious point, and yet comparisons between the visual arts and music persist in scholarship even among the most assiduous analysts.
In a particularly potent example, Jonathan Cross compares Stravinsky’s “juxtaposed” textures to cubism, particularly illustrating his point through Picasso’s *Standing Female Nude* (1910). Cross argues that the eye is “guided” by bold lines that strike through the composition of Picasso’s drawing in a manner similar to the succession of textural “blocks” in Stravinsky’s *Symphonies of Wind Instruments*. “In both works,” writes Cross, “there is no obvious transition from one plane/block to the next…there is, over a large scale, a degree of continuity which leads us through both works.”

Perception in both works, according to Cross, involves the “movement from one [block] to the next forming the work’s primary subject matter.” While Cross’s analogy helps illustrate (literally, diagram) a perceptual process in Stravinsky’s music, the comparison is conceptually flawed. The viewer may contemplate simultaneously both the parts and the composite whole of the Picasso’s drawing, but music is a *temporal* art form. The temporal flexibility for the viewer of an image as she contemplates the dialectic of the parts and the whole at her own leisure is fundamentally absent in most Western music where the temporal unfolding of events is strictly delineated by the composition.

Jerrold Levinson expresses a similar viewpoint in his appropriation of the nineteenth-century English psychologist Edmund Gurney’s approach to musical appreciation. Levinson explains,

A cornerstone of Gurney’s view of music is the contrast he repeatedly draws between the temporal art of music and static two-dimensional visual art. Gurney is forcibly struck by the difference between the apprehension of music and the apprehension of a linear arabesque or architectural façade. Whereas one can have a single sweeping perception of the whole of an arabesque or façade, with music one can have only a series of perceptions of the parts of a work as it unfolds in

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time, but never a single perception of the work in its entirety. The experience of music is fundamentally a matter of individual momentary impressions.²⁰

On this premise, Levinson proposes his theory of concatenationism, or an aesthetic approach that views music as “a chain of overlapping and mutually involving parts of small extent, rather than either a seamless totality or an architectural arrangement.”²¹

Theorists received Levinson’s worked with decided unease, but as a philosophical text Levinson touches on an approach to listening and analysis that has yet to be explored fully.²²

A final challenge emerges that, despite all the attention given texture, the term has typically been delimited as subsidiary, auxiliary, and less prominent than deeper, structural phenomena. Janet Levy, in her monumental study of texture in the Classical style, writes

Of all the variables of a composition, texture is at once the most surface and the most complex. Insofar as it is surface, it seems largely to have been taken for granted; its effects are, after all, so immediate and palpable… Texture is, of course, an auxiliary variable. Dependent on melody, harmony, and rhythm, and affected by orchestration, register, and so on, it involves the total activity of the component parts in any segment of a composition. Although it cannot exist independently, texture can make a functional and sign relationship created by the other variables more evident and fully effective.²³

Although Levy embarks on a full study of the semiotic capabilities of texture, at the same time she is careful to include a disclaimer excusing her focus on such a devalued area of music analysis. This “undercutting” of texture that denigrates the phenomenon as both

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encompassing of other parameters yet also dependent on them, important to musical experience yet analytically secondary, hinders the full understanding of texture as a conceptual term.

Attitudes toward texture, then, reveal broader disciplinary issues in the discussion and valuation of the musical surface. Thankfully, recent scholarship has moved away from such simple dichotomies. Wye Allanbrook and Ruth A. Solie have questioned the primacy of values of organicism in music analysis.\(^\text{24}\) Other studies in rhetoric in the Classical style by Elaine Sisman and Tom Beghin, as well as the interaction of musical topics and formal structure by Kofi Agawu, William Caplin, and Melanie Lowe indicate a reconceptualization of musical surface and depth.\(^\text{25}\) These studies demonstrate that the polarization between the two may not be an entirely sound binary. It is my hope that in the wake of these provocative challenges to the dichotomy and corresponding aesthetic

\(^\text{24}\) Wye Allanbrook, “Theorizing the Comic Surface,” in *Music in the Mirror: Reflections on the History of Music Theory and Literature for the Twenty-first Century*, eds. Andreas Giger and Thomas Mathiesen (Lincoln: University of Nebraska Press, 2002), 199-200; Ruth A. Solie, “The Living Work: Organicism and Musical Analysis,” *19th-Century Music* 4:2 (1980): 147-156. Even the characterization of Schenker as primarily concerned with deeper, background and organic structures is, to my mind, somewhat disingenuous. The recently published English translation of the *Tonwille* essays reveals that the wealth of Schenker’s musical insight extends far beyond his later Ursatz theory. This is particularly evident in Schenker’s meticulous attention to performance detail in his analysis of Brahms’ *Variations and Fugue on a Theme by Handel*, Op. 24, as just one of many examples. This essay would indicate that criticism of Schenker’s supposed neglect of a musical “surface” should be carefully weighed against his earlier writings. Additionally, it is interesting to note that the aforementioned dissertation by Frank Edell Lorince, Jr. on musical textures in Classical sonatas was advised by none other than Carl Schachter, perhaps suggesting that this attention to “surface” musical detail was initially passed along in Schenkerian pedagogy. See Schenker, *Tonwille*, vol. II, ed. William Drabkin, trans. Ian Bent, et al (Oxford: Oxford University Press, 2005), 107-114; Frank Lorince Jr., “A Study of Musical Texture in Relation to Sonata-Form.”

valuations between surface and depth, we might be in an intellectual climate in which a reconsideration of the immediately palpable effects of music might be deemed relevant and potent for hermeneutic inquiry.

DEFINITION OF TEXTURE

What emerges in the discussion above our several basic themes that serve as points of departure for a definition of texture. First, given considerable disagreement over what exactly constitutes texture, certain ontological issues must be resolved as to texture’s conflicting qualitative and quantitative natures. Is texture a musical parameter in and of itself, or is it a composite of other parameters? If the latter holds true, which parameters contribute to the shaping of texture? Second, a definition of texture must accommodate temporal succession. Although we may acknowledge the borrowed term from art criticism, the analogy soon proves extremely limited when scholars couch the notion of tactile experience, clearly appropriate to the visual arts, as an intrinsic property that nonetheless can only be explicated through prosodic or narrative metaphors rather than carefully codified analytic criteria. By incorporating a temporal axis into the musical adoption of the term texture, analysts might still retain the metaphorical sense of palpability in texture while nonetheless developing an analytic framework that accommodates the experiential parameters of music. Finally, style, and its effectuate historiographies, inform both the definition and segmentation of texture in any given repertory. The analytic viability of texture banks on overcoming the formidable challenge of constructing a critical language amenable to largely ephemeral effects of music. The
definition must accommodate the fluid stylistic narrative already implicit – though often fraught – in our music histories.

In response to ambiguities over what exactly constitutes musical texture, I argue that musical texture is the composite effect of musical parameters interacting and vying with one another for the listener’s attention in the totality of a listening experience. Musical texture is both ontologically and epistemologically distinct from musical parameters. This distinction is crucial. Although many analysts list texture alongside pitch, rhythm, instrumentation, dynamics, and articulation, texture encompasses each of these parameters. In its ontology, texture occupies a separate psychological process from its constituent parameters. The listener perceives musical characteristics in the parametric domains of pitch, duration, instrumentation, dynamics, and articulation, while texture is the cognitive assembly and hierarchical valuation of those parameters in the temporal experience of listening. Contrary to Levy, then, texture is not dependent on parameters, but rather constitutes the plurality of listening. In James Webster’s terminology, texture is the “multivalent” experience.26

This is possible because texture is also epistemologically distinct from its parameters. An analytic understanding of texture involves a conceptual “assembly” and hierarchization of the parametric characteristics at work within a particular passage. To speak of texture involves addressing which particular parameters emerge at the forefront of our listening experience in any given moment of a work. Certainly a listener may

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26 Webster describes the “multivalent” approach as one in which “a work is understood as encompassing numerous different ‘domains’: tonality, musical material, rhythm, dynamics, instrumentation, rhetoric, ‘narrative’ design, and so forth… The temporal patterns that arise in the various domains need not be congruent and may at times even conflict.” “The Form of the Finale of Beethoven’s Ninth Symphony,” Beethoven Forum 1 (1992): 26.
choose to listen exclusively to one parameter, such as harmony, instrumentation, or dynamics. Additionally, wholly unique textures may invite different hearings. I will argue, however, that repeating textures – those that belong to particular types – are identified by the conventional means by which listeners weigh parametric criteria. Such conventions help to establish stylistic guidelines within which texture may inform interpretation. My study at times reflects what I have found to be well-established hierarchies while other times I elucidate listening strategies that direct attention onto musical details previously undertheorized. By bringing forth these listening patterns, I can illustrate how analysts may incorporate texture into stylistically competent, nuanced observations.

Texture is therefore not descriptive, but analytical. Although my approach seeks to understand the stylistic precedents that inform our readings of texture, it will also allow for the flexibility of individual hearings. I seek to empower analysts to discuss effectively the stylistic leanings they bring to their interpretations, so as to make sensitive choices about how their individual hearings may work with and against those conventions. We may find in the end that some historians might more effectively illuminate how they hear a work when the primary features that shape a listening reside beyond clearly explicable domains such as harmony. This theory is ultimately one of interpretation, and therefore must work for different kinds of musically informed cultural and historical readings. It will allow the salient features of listening to emerge within a theoretical framework, and not risk interpretation within a stylistic vacuum.

PARAMETERS AND TEXTURAL UNITS
I have treated the term “parameter” somewhat casually thus far. As a central component of my definition of texture, a careful consideration of the theoretical assumptions of the concept is more than warranted at this juncture. Musical parameters encompass various domains of sound including pitch, rhythm, timbre, articulation, dynamics, and register. Traditional analytic leanings have favored the first two with weighted importance, particularly in considerations of musical segmentation. Recent approaches in musical semiotics in particular adopt the parameters of pitch and duration as *a priori* analytic criteria for segmentation. In order to pursue a “neutral level” of analysis, some semioticians, notably Jean-Jacques Nattiez, rigorously delineate these parameters as the exclusive terms of the analytic endeavor. However, this methodological approach suggests a listening experience that prevents all other musical detail from informing the analysis.\(^{27}\)

Such decision making prior to and independent of listening seems an odd choice. The analyst may feel satisfaction with the integrity guaranteed by the methodological reproducibility of such an approach, yet the final product hardly seems *musical*. Although Nattiez and Ruwet take this analytic method to the extreme, at the other end of the spectrum many analysts, exhausting possibilities within the domains of pitch and duration, turn to other parameters at key moments in an analysis to bolster their claims. This approach is methodologically problematic and fails to treat other parameters with the same consistency and rigor accorded pitch and harmony. How does the analyst

elucidate particularly memorable moments that fall beyond the description of pitch and durational criteria? Is it possible to consider segmentation in terms of a multi-parametric approach, one in which the analytic method provides the flexibility to move between parameters as listening guides us, without operating in a completely ad hoc approach?

The form of a theme and variations can illustrate this quandary by revealing the structural importance of parameters other than pitch and duration in the perception and appreciation of variation form in Mozart’s “Twelve Variations on ‘Ah! Vous dirai-je Maman,’” K. 265. The basic melody, harmonic progression, and phrase length of the theme (Example 1.4) remains fairly constant throughout the twelve variations such that paradigmatic segmentation along pitch and durational repetition would add little to the form that isn’t already indicated in the title and variation divisions. Aside from some variations, such as the substitution for a more chromatic cadential figure at the end of the second variation or the brief journey to the parallel minor in eighth variation, the general harmonic progression and voice leading structure are largely uninteresting in this form. Attention during listening is instead continually redirected onto various emergent parametric characteristics in a multivalent experience. Changes between each theme and its variations in the domains of rhythm, register, dynamics, and articulation direct the listener’s attention toward novelty in these parametric fields. The musical intrigue of the theme and variations lies largely in the temporary showcasing of particular parametric characteristics facilitated by unmarked repetitions in melody, harmony, and phrase length.

At the onset of each variation, a new combination of characteristics serves to distinguish this harmonic repetition from the last. Rhythmic invigorations of the initial
two-part homophonic theme play a primary function in this role. A gradual rhythmic
deceleration from sixteenth notes in variations one and two (see Example 1.5 and
Example 1.6) to triplets in variations three and four (see Example 1.7 and Example 1.8)
to eighth notes (Example 1.9) places rhythmic character in primary focus for textural
identity. Pairs of variations, however, need further distinction achieved by placing the
rhythmically florid line in either the right or left hands and positing registral distinction
also as a key characteristic of each variation’s textural profile. In variation five, in which
the greatest rhythmic simplification occurs, the two-part melody-accompaniment
hierarchy of the first four variations collapses into a single line, resembling a hocketed
exchange between the right and left hands. Rhythmic and registral activations thus serve
to shape the textural differences between each variation, while harmony plays a relatively
muted role. This is illustrated in Figure 1.2 where parametric characteristics that are
marked or activated in each variation are highlighted, while parametric features that
remain constant and recede from attention are rendered in lighter text.

This experiment in phenomenological listening might be taken even further to
consider how additional characteristics such as registral span, voicing, or (more broadly)
orchestration further shape unique parametric profiles for each variation. Beyond the
mere placement of the florid line in the treble or bass, register is further activated when
the “normative” span of the opening theme from c-a\(^2\) is challenged. Although the overall
registral span of the first two variations does not significantly deviate from the theme, the
expansion into a lower octave with the left hand’s C in the third variation activates a new
octave where previously registral span was constant, and therefore unmarked. This chasm
opened in the left hand remains active in the following variation. The return to the
“normal” register in the fifth variation, then, is thereby reactivated and contextually marked. Registral span is thus relevant to the textural profiles established in variations three and five, while it remains a constant, and thereby unfeatured, parametric characteristic in variations one, two, and four. Similarly, the “density” or number of lines in each variation may emerge as a prominent feature when it sways from the basic two-voice homophonic profile of the theme and first variation. In the second variation, the richly scored suspension figures in the right hand thicken the texture through inner voices. The fifth variation acts in exactly the opposite way as the texture is thinned to essentially one sounding “line,” though registrally and rhythmically split between two hands. Finally, articulation plays a key role in several variations, notably three, five, and six, where the shorter stacatto notes diverge from the legato slurrings of earlier variations. These parameters thus remain “inert” until activated within a particular variation’s texture.

Of course, this is not to say that pitch processes are completely excluded from shaping texture. But like other parameters, its procedures may lie dormant in perceptual experience in the face of other parametric characteristics. And although I have selected a particularly convenient example to illustrate the prominence of other parameters in the face of harmonic uneventfulness, this parameter also occasionally remerges in the variations as a prominent feature. In the eighth variation, the striking move to the parallel minor reinvigorates harmony at the forefront of the textural profile (Example 1.10). My aim in this exercise is not to describe the self-evident parametric qualities in this work, but to illustrate conscientiously with a relatively straightforward form such as a theme and variations how listening attention is anything but predetermined as those
paradigmatic analyses of Ruwet and Nattiez predicate. Instead, the listener’s attention is constantly redirected in rather deliberate ways, such that the dialogue between listener and work follows something like: “look (or listen) here, now pay attention to this, but ah, here is a new detail…” Listening is anything but focused on particular parametric criteria, and an appreciation of this scattered and disjunct perception actually enhances our enjoyment of this work. Certainly harmonic repetition is integral to the form of the work, but only in as much as it recedes into the background to allow for an interplay of parametric hierarchies – a vying for attention between parametric details throughout the work. A textural analysis then considers a listener’s decision-making and preferences about which parameters emerge as most central to perceiving the textural segmentation of a work.

The semiotic language of Charles Sanders Peirce is particularly potent at this juncture. Viewed through this lens, textural analysis might be deemed the study of how parametric attributes dynamically move in and out of what Peirce calls higher “categories” of thought. In his first trichotomy that explores the basic attributes of the sign, Peirce distinguishes between qualisigns and sinsigns. Qualisigns represent mere qualities or details that may suggest semiotic potential. Therefore not all parametric details are equal: some may emerge with greater prominence or weigh more heavily in a particular passage. Naomi Cumming describes qualisigns in music as details of sound that are “heard as something, inviting metaphoric descriptions…a qualitative sign has emerged when technical features are linked with further attributes.”

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attributes” are units of texture – signs that stand for the totality of prominent parametric details. Whereas any single parametric characteristic (loud, short, fast, etc.) may be notable but not yet semantic, such qualisigns combined form a sinsign, an event or an actuality deemed meaningful within a semiotic framework. Thus, for Peirce, qualisigns are embedded in the sinsign. “A sinsign…is an actual existent thing or event which is a sign. It can only be so through its qualities; so that it involves a qualisign, or rather, several qualisigns.”29 The distinction between categories of thought translates to the potentiality of an individual parameter to contribute to a sign versus the actuality of the unit of texture, the sinsign.30

Off-tonic recapitulations illustrate quite potently this process by which certain parameters are elevated to semiotic significance. In Mozart’s C Major Piano Sonata, K. 545, ambiguity arises at the subdominant appearance of the primary theme at m. 42 (Example 1.11) while the harmonic return to C major does not occur until mm. 58-59 (Example 1.12).31 In a strictly harmonic conception of sonata form, the event at m. 42

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30 Dora Hanninen proposes a similar theoretical framework in her discussion of segmentation along genosegments and phenosegments. Hanninen theorizes that one might limit the parameters (what she refers to as “sonic criteria”) along individual parameters so as to produce “genosegments.” Genosegments refer to segmentation in isolated domains of pitch, duration, register, dynamics, etc. However, and perhaps more true to actual listening I might add, a “phenosegment” occurs when “one listens holistically – that is, without consciously limiting one’s attention to a particular dimension(s) while excluding others.” Hanninen likewise challenges the tendency to approach analysis with certain parametric limitations, despite the complications that this plurality presents. In this manner, segmentation becomes less an end and instead a method of interpretation. “Once I can identify what I am attending to, and perhaps why,” writes Hanninen, “you and I can actively engage one another in meaningful discussion of how our individual hearings, or ‘musical interpretations,’ differ; close study of musical segmentation becomes a tool for exploration and discourse, rather than an end in itself.” See “General Theory of Segmentation,” Journal of Music Theory 45:2 (2001): 375 and 388-389.
31 Bartok places the return of the first theme at m. 42, while Schenker places the recapitulation, or resumption of the Urlinie at m. 59, interpreting the previous F major key area as a V<sup>6</sup>/7 of the development. James Webster in the New Grove entry on sonata form, argues in yet a third interpretation that the subdominant return is not only part of the recapitulation, but constitutes a “full recapitulation” because the subdominant return “does not then simply repeat the exposition mechanically, transposed down a fifth…in K. 545 the transition is expanded and leads, as did the exposition, to a half-cadence on the dominant.” A
would be subsumed into the development, delaying the recapitulation until the I⁶ in m. 58-59 following the half cadence in m. 57. But the event at m. 42 is not salient merely because of its thematic return: after all, the material of any of the themes from the exposition may be the subject of discourse in the development. Rather, it is the entire textural presentation of the theme that solidifies its congruence with the opening of the exposition. In the exposition, the theme in C major occurred in a clear melody and accompaniment division, the left hand taking an Alberti bass and situated unusually high in the fourth octave (Example 1.13). This texture thus assumes a *semiotic* function of “beginning” through the unique textural guise of the opening. At m. 42, the left hand Alberti bass again appears in the fourth octave and preserves the two-octave span of the theme and accompaniment. Distinctive in its melody, accompanimental rhythmic figure, and fixed registral span, this texture is a fundamental component of the exposition’s primary material. The harmonic reading is thus in conflict with the textural reading of sonata form facilitated by the particular parametric complexes of the work.³² It is imperative to recognize that the false recapitulation in this sonata form is not merely possible through thematic return, but rather through an entire textural complex lifted from the opening of the movement.

³² It is perhaps ironic to note that despite the centrality of octave equivalence to Schenker’s theory, among others, the registral displacement due to the return in F major rather than C major might serve as a salient feature of the texture to undermine the recapitulatory moment at m. 42. Such a reading would strengthen Schenker’s argument to place the recapitulation at m. 59. Thus, my reading of a primary “textural area” privileges the registral span of two octaves over the differentiating characteristic of repetition a fifth higher.
Given the congruence of textural segmentation with phrase rhythm in Mozart’s variations, it remains a radical assertion to subsume pitch on equal footing with other parameters in a broader sphere of analysis. Certainly, my use of Mozart’s K. 265 is particularly convenient in that its modular form is quite conducive to the textural segmentations that I demonstrated. And while I illustrated the semiotic nature of texture in Mozart’s C Major Piano Sonata, here too textural articulations closely coincide with cadence and phrase rhythm. At this juncture, the reader may remain uncomfortable with the seeming subjectivity when the only a priori condition for analysis is an equivalence of parameters: surely due to the precision with which pitch and rhythm are notated, some significance ought to be accorded these parameters in analysis. But let us briefly turn to an example from the post-tonal repertory to see how these textural complexes emerge.

In the first movement of Webern’s Variationen, Op. 27 (Example 1.14), where variation form refers to permutations of the row rather than the clearly articulated textural variety found in Mozart’s variations, a similar procedure nonetheless arises whereby parameters other than pitch serve to energize an otherwise cyclical harmonic structure. The movement texturally divides into something of a ternary form, with the A sections (mm. 1-18 and mm. 37-54) characterized by a rocking texture that initially alternates between dyads of sevenths or ninths slurred to single tones. The passage gradually swells, though it maintains continuity through the rocking gesture of sixteenth notes, left-right hand alternation, and registral span of A to b. In m. 19, the texture suddenly breaks into faster thirty-second notes and sparse voicing predominantly sounding only one pitch at a time. Register and articulation also assume a more salient role in this passage. The punctuations of isolated, rearticulated pitches on sforzandos and tenutos at registral
extremes (c♯ and g² in mm. 20-21, D and g♯² in mm. 24-25, and F♯ and c³ in mm. 28-29) activate these parametric characteristics in the forefront of this textural identity. In m. 30, yet another texture commences, similar to the second, though now with a prominent staccato motive occurring in the lower register in m. 31, 33, and 36. Furthermore, the oscillating tones, dyads, and triads embark on the longest passages yet, uninterrupted by rests (as characteristic in mm. 1-18) or pitch decay (on the tenutos in mm. 19-29), and resulting in a lengthy, fluid section characterized by the uninterrupted motion of thirty-second notes.

The variations implied in Webern’s title would seem to suggest a form ordered by permutations of the tone row. But the palpable affective structure in Webern’s Op. 27 of a ternary form is most clearly articulated by the repetition of salient parametric characteristics in the domains of rhythmic subdivision, articulation (slurs, tenutos, and staccatos), and registral extremes. Although each of these textural breaks coincides with ends of row forms, textural succession seems to articulate row form, rather than vice versa. Successive articulations of the row are contained within these textural units, suggesting texture acts on a hierarchically higher level of segmentation than the row form alone. Furthermore, texture serves to encompass phrasing units implied by rests and ritardando indications, thus allowing for a higher order over antecedent-consequent pairings. As in the Mozart Variations, textural differences serve to encompass and demarcate phrasing and cadential figures as structurally distinct entities.

A brief foray into the historiographic valuation of both the term parameter and its constituent categories might provide a final angle to challenge any lingering biases toward my equal engagement with different parametric characteristics. Like texture, the
notion of a parameter was initially borrowed from another discipline: mathematics.\textsuperscript{33} In the mid-twentieth century, composers looked to this term to describe compositional practices of total serialization. In works such as Boulez’s \textit{Structures for Two Pianos} (1952), the 12-integer sequence of a row was not only applied to pitch, but other musical domains such as rhythm, dynamics, and articulation. Boulez constructed twelve values within the spectra of soft to loud and short to long such that the row could be applied in these domains as well. The row thereby acts as the mathematical “function,” while the variables (or parameters) of the equation correspond with pitch, rhythm, dynamics, and articulation:

\begin{align*}
    f(x) \\
    f(\text{pitch}) \\
    f(\text{rhythm}) \\
    f(\text{dynamics}) \\
    f(\text{articulation})
\end{align*}

In this sense, different domains of musical perception could be treated to the same procedures, despite vastly different criteria for “increments.”

Although Boulez’s approach to parameters may have been something of an idealization, fifteen years after the composition Leonard Meyer, in his monograph \textit{Music, the Arts, and Ideas}, was at pains to argue for fundamentally different criteria for segmentation and process in pitch, duration, dynamics, timbre, and articulation. These criteria separate into “primary” parameters of pitch and time that form “stable relationships,” versus “secondary” parameters that are relative and dependent processes.\textsuperscript{34}

More recently, Meyer has taken much greater care in explaining his definition of and


distinctions between parameters. In *Style and Music*, Meyer roots the concept of parameter more generally in the spheres or relationships between different objects, ideas, or institutions “governed by somewhat different constraints.” Parameters are capable of influencing one another, but these processes are by no means straightforward. For Meyer, these parameters are first and foremost located outside music: as examples he lists politics, commerce, and religion as forming interdependent relationships that shape the human experience. Only then does Meyer turn the concept toward parametric constraints “internal” to music.35

In this later work, musical parameters form two classes for Meyer: syntactic and statistic. Syntactic parameters are those defined by “constant, nonuniform, proportional” means of dividing musical material. Syntactic parameters, mainly pitch and duration, achieve closure by establishing for the listener clear expectations of termination that are stylistically conditioned. Statistical parameters, however, “cannot be segmented into perceptually proportional relationships.” In this sense, statistical parameters encompass “natural” criteria for closure, and their processes cannot be predicted exactly as in the case of syntactic parameters. For this reason, Meyer argues, syntactic parameters are more desirable and possess greater influence over listening than statistical parameters.36

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36 I have adopted the terminology “syntactic” and “statistic” here, though Meyer more commonly refers to these categories as “primary” and “secondary,” respectively. The value judgment concealed in this later terminology is revealed where Meyer writes, “To put the matter bluntly, the syntactic constraints – the rules and strategies – of a style are to a considerable degree learned and conventional. Insofar as a larger proportion of nineteenth-century audiences lacked familiarity with these constraints, the ability of members of an audience to respond sensitively to the nuances of syntax and the subtleties of form suffered…One of the most important means employed by composers to compensate for the decline in the ability of many members of the audience to respond sensitively to the subtleties of syntactic process and formal design was the increase in the relative importance of secondary parameters in shaping musical process and structure – and hence musical experience.” Yet Melanie Lowe has convincingly argued that these very “surface,” non-syntactic parameters, often in the form of gestural formations such as musical topics, were essential for...
Meyer’s distinction between syntactic and statistical parameters is helpful in as much as it identifies fundamentally different processes in the perceptual organization of sound. One might even attribute these differences to discursive conveniences: syntactic parameters are easier to describe due to their quantitative nature and because they easily lend themselves to clear or “absolute” notation. Thus, extensive analytic language exists for describing rhythmic, melodic, and tonal procedure. On the other hand, statistical parameters, such as dynamics, articulation, and register, are relative or qualitative criteria. There is no absolute designation of a “high” note or a “loud” volume; what may seem low or soft in one context may be unmarked in another. Nonetheless, one cannot then conclude that processes do not occur in these domains or that statistical parameters are secondary to syntactic processes. As Christopher Hasty has argued, “each domain [parameter] is characterized by the range of different values which we hear in a particular quality of musical sound… [T]he relative importance of certain domains is not universally fixed… [W]hile not functionally independent, [the domains] are transparent of one another.”37 In order to speak comparatively of processes in the different parameters, clear models must emerge within which the analyst may describe and map concurrent statistical and syntactic parameters.

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SATURATION AND SEGMENTATION

The analyses of Mozart and Webern above involved something of an implicit simplification of parametric processes. But if we look more closely at Webern’s Op. 27, we can observe a disruption of parametric stability as early as m. 8 where the voicing intensifies to a greater frequency of triads and tetrachords and single tones become more infrequent. In m. 11 the dynamics suddenly increase to forte and a burst of motion uninterrupted by rests drives onward for a full four measures before returning to piano and a ritardando in mm. 15-18. Thus, disruption occurs in voicing and dynamics, while articulation, registral span, and rhythmic character remain constant. How are we to account for this brief intensification of some parameters, while other characteristic features remain constant?

Despite the clear parsing of texture in the Mozart variations above, this challenge to textural identities also occurs in the Classical style. In the first movement of Mozart’s Serenade in G Major, K. 525, a clear textural distinction occurs between the homorhythmic texture in octave voicing in the opening four measures and the theme and accompaniment texture beginning in m. 5 (Example 1.15). This second texture remains fairly stable until m. 9, where the motivic unity of the theme suddenly becomes fragmented, the bass line abandons its pedal, and the inner voices swap rhythmic roles, viola taking up sixteenths and the second violin engaging in an active eighth-note counterpoint to the first violin’s melody. Certainly, the disruption to the texture that we sense between mm. 8-9 is not as strong as that between mm. 4-5, and yet the stable texture established in m. 5 somehow seems intensified (and thereby dramatized) in m. 9. How does the analyst distinguish between these gradations of textural process?
Inherent in my definition of a stable unit of musical texture is the understanding that no unit can be entirely stable. This would be rather boring. Yet existing treatments of texture fail to elucidate the processes as texture (or textures) as they unfold in time. Instead, the pervasive and enduring image for texture is one of a static, atemporal cross-section of the score. Brian Newbould, for example, describes texture as “a series of snapshots…of the vertical cross-section of a musical passage.”\(^\text{38}\) The image is an unusual, even \textit{macabre}, form of musical description. One might imagine Gunther von Hagen’s \textit{Körnerwelt} (Bodyworld) exhibit in which plasticized skeletons and muscular systems are displayed frozen in athletic poses – perplexing, though eerie, grotesque, and, ultimately, grossly incomplete.

A theory of texture must be able to incorporate parametric flexibility into a theory of parsing, for parameters always exhibit some degree of flux. This phenomenon is well studied for pitch processes in the Schenkerian notion of structural levels and for duration in metric theories of hierarchy. Although we lack these analytic tools for statistical parameters, the excerpts from Mozart and Webern demonstrate that changes in dynamics, articulation, and instrumentation can also occur at varying levels of intensity. In Meyer’s discussion of syntactic and statistical parameters, statistical parameters are defined in terms of binaries – high versus low, loud versus soft, short versus long – or as having “amounts” rather than qualitative properties.\(^\text{39}\) The problem with this approach is that a


\(^{39}\) Meyer writes “Secondary parameters tend to be described in terms of amounts rather than in terms of classlike relationships (antecedent-consequent melody, authentic cadence, or anapest rhythm) as the primary parameters are. That is, dynamic levels, rates of activity, and sonorities are characterized as being more or less, greater and smaller, and the like. […] Though not governed by syntactic constraints, secondary parameters may give rise to processive relationships. […] Such modes of activity may be ones of constancy…; ones of gradual change…; or one of regular alternation…” \textit{Style and Music}, 15. Nicholas
binary, or even a distinct “calibration,” of a statistical parameter is deceiving. The “calibrations” of statistical parameters are interpreted differently in any given context or style. The distinction between piano and forte may aid in a textural break in one context or, as in Webern, merely embellish an established texture. Thus, unlike labeling a chord as a tonic or a dominant, or classifying rhythm according to durational values, the very taxonomy of statistical parameters tells little about their actual structural role.

Danuta Mirka has convincingly argued for how me might describe parametric change in relative – rather than absolute – terms. Mirka explains that in mathematics, binaries may appear as fuzzy sets in which the boundaries for terms appear as border zones rather than distinct lines or thresholds defined by absolute relationships between calibrated terms (Figure 1.3). The “zones” of fuzzy sets depend on context for interpretation and allow for a gradual crescendo from piano to forte, or a smooth ascent from low to high registers (as opposed to terraced motion in either parameter). While the terms at either end of the binary may correspond to “loud” and “soft,” the chasm between these terms – the gradation that separates either term – is fluid and contextually defined.

Ruwet has a slightly different take on his distinction between “types of musical elements(s),” which resemble, though not exactly, Meyer’s distinction between syntactic and statistical parameters. Whereas pitch and duration for Ruwet are “non-parametric” elements of music, parametric elements include “an element which is constant throughout the whole duration of a piece, such as for example tempo in certain Bach allegros, or the monodic character and timbre in a solo vocal melody… the element takes the form of a binary opposition which divides the piece into sections characterized by the presence of now the one and now the other term of the opposition; cf. the opposition soloist/chorus in antiphonal singing, the opposition piano (= ‘solo’)/forte (=‘ensemble’) in Venetian poly-choral music, that between the ‘original’ and the ‘echo’ (= ‘near’/‘far’…” In summary, Ruwet designates “parametric” to mean those parameters which are quantified in terms of oppositional terms. “Methods of Analysis in Musicology,” 16.

The nature of the fuzzy set, the relative diffusion of the boundary zone, presents a theoretical model for what Wallace Berry has termed the “activation” of textures. By increasing the activity of a passage by “dynamic, articulative, rhythmic, coloristic, and other means,” argues Berry, a passage may achieve a sense of tension and “textural inertia.”41 As a complement to Berry’s notion of activation, I would argue that every textural unit possesses a distinct tolerance for “saturation,” beyond which the unit cannot sustain further internal parametric development. In the example from “Eine Kleine Nachtmusik,” we see a textural unit striving for, and reaching, its point of greatest activation by m. 10. The texture becomes saturated and therefore must succeed to an entirely new textural unit in m. 11.42

Saturation levels are a distinct part of a textural identity because different textures sustain different levels of activation. A monophonic texture, for example, has an extremely low point of saturation: any additional voices would disrupt the textural complex. Similarly, the first texture in a fugue has a very distinct saturation point (the entry of all the voices), yet in introducing those voices the texture thrives on the systematic activation of the unit. This can be illustrated in the C Major Fugue from Book 1 of The Well-Tempered Clavier (Example 1.16). Here, the texture is gradually activated by the layering of four voices over the first six measures. Saturation is reached with the

42 Hatten describes a similar process in his notion of plenitude. For Hatten, the concept of plenitude may be defined as a “saturation” (primarily motivic) that encompasses a goal-oriented process whose outcome may be either dysphoric or euphoric. My definition of saturation, however, differs from plenitude in that Hatten couches this process as an expressive type. I would argue that many distinct textures have the potential for saturation, therefore the procedure is too general to correspond to a particular affect and must be considered in tandem with other stylistic criteria for interpretive insight. I have therefore chosen this terminology primarily as an expressively neutral designator but will explore in later chapters how it may contribute to expressive readings. See Hatten, Interpreting Musical Gestures, Topics, and Tropes (Bloomington, IN: Indiana University Press, 2004), 43.
fourth entry of the subject in the bass in m. 5 and sustained through m. 6. Ultimately, however, saturation leads to dissipation of the unit in m. 7, a reduction to two voices, and a reorganization of temporal intervals between the entrances of the subject. Of course, one could posit a textural divide in m. 2 when the soprano disrupts the initial monophonic texture. But such a reading occurs on a hierarchical level not particularly helpful to analysis. In Mozart’s “Eine kleine Nachtmusik,” the opening texture has a low saturation point due to the centrality of the octave scoring, use of all four instruments, and homorhythmic disposition. Any differentiation between the instruments or intervallic variation would immediately disrupt this texture. The following texture, however, as we have seen, supports motivic intensification, instrumental swapping in the inner voices and activation in the bass line as the texture moves towards its saturation point in m. 10.

In each of these examples, saturation levels are contextually determined and constructed uniquely for each texture. But saturation must also follow certain stylistic constraints. In the Bach’s fugue saturation is designated quite meticulously by the number and behavior of voices; in Mozart’s serenade activation unfolds over a two-measure push toward a cadence. In chapter three, I expound my methodology for identifying and illustrating these saturation levels so as to construct the beginnings of a lexicon of textural types. In chapter five, I demonstrate that in the Romantic period, textures reveal high levels of saturation, thus enabling longer units of textural unfolding before instability dissipates the unit. In this instance, high saturation points, or the development of lengthy, internally tumultuous textures, become a main feature of the nineteenth century. For now we shall merely keep in mind that saturation points are key
to the definition of textural types and also are indicators of stylistic differences among various composers and repertory.

Whereas saturation constitutes the internal processes of textures, there might also exist passages where textural stability seems to dissipate entirely, yielding passages that cannot be parsed into any distinct textural units. If we return once more to Mozart’s Serenade, K. 525, three distinct textural regions unfold with their juxtapositions falling between mm. 4-5 and mm. 10-11. In m. 18, however, things start to go awry. The texture here initially exhibits a great thrust of volume and rhythmic activity, despite the three-part voicing (viola and cello double the bass line). In m. 20, while the overall registral contour of a pedal on g against a registral expansion into the treble continues, the rhythm and orchestration shifts with the violins abandoning the rhythmic interest of m. 18 for straight sixteenth notes and the viola leaping up an octave to fill the growing registral expanse. The unit of m. 18 has clearly dissolved at this point, yet the new passage at m. 20 seems unformed, more derived from rhythmic motion and upper registral expansion than anything else. In m. 22, the texture yet again changes, now freezing the registral span at d-d\(^3\), with a fixating motive in the melody and sixteenths in the inner voices over a pedal in the cello. Yet the texture is still not settled. At m. 24 this patterning is interrupted as the quartet pairs off with a cadential vamp in the lower strings under the frenzied syncopations of the violins. The entire passage from m. 18 to m. 27 therefore seems to lack the clear textural parsing exhibited at the opening of the movement. Yet the dynamic nature of this passage cannot be attributed solely to the harmonic process of the sonata transition’s modulation. The pause on the dominant in mm. 22-25 adds an element of tension to the passage, without the instability of texture here, the passage would unfold
with uneventful, painfully sluggish harmonic rhythm that belabors toward the dominant key.

In order to understand the textural procedure here, how the clear succession of units in the opening of the work becomes derailed, fractured, and vagrant at m. 18, we must consider how textural units end and make way for the succession of new units. The issue returns us once more to Mirka’s study of texture, for in addition to the model of fuzzy sets, Mirka also explores the distinction in binaries between contradiction and contrariety. Contradictions involve a relationship between a set and its complement, while contrarieties are characterized by a middle ground that exists where “neutral terms” emerge, classified under neither term of the opposition itself (Figure 1.4 and Figure 1.5).43 This model may be extrapolated further for textural succession, where S₁ and S₂ represent distinct units of texture. In mm. 4-5 of Mozart’s “Eine kleine Nachtmusik,” the textural succession resembles the model of contradiction: two textures directly succeed one another. The succession of texture in mm. 18-27 is quite different, however, constituting a dissipation of the texture in mm. 11-17 without providing a new, stable texture until m. 28. The textural process in mm. 18-27 suggests a contrariety in which a chasm opens up between textural units S₁ and S₂, allowing for a transitional term or region to suspend textural stability briefly.

The notion of textural transitions, further elucidated in chapters five and six, is a central contribution of my theory of texture, for in relying on models from the visual arts and treating texture as an atemporal and/or a surface phenomenon, analysts have not yet considered the dynamic processes of tension and release generated within texture. While

some theorists have discussed processes of tension and abatement within a texture, the notion of textural “suspension,” passages of ill-formed material wholly independent of a stable unit, is a novel ideal. I will be elaborate this idea in chapter five where I posit that transitions unfold along three distinct paradigmatic criteria, characterized as juxtapositive, predictive, and retrodictive. Although the types, and especially the lengths, of deployment for predictive and retrodictive transitions vary across musical styles, the three types were not coeval in their development. Thus, transitional types are highly indicative of stylistic period and can act as indices of their respective stylistic periods in subsequent repertories. Textural transition is not only one of the central premises of a temporal theory of texture, but also important in considering the semiotic processes of texture, for it provides a stylistic background in which to frame readings of particular musical passages.

INTERPRETIVE FRAMEWORK

My theory of texture is ultimately one of interpretation. But stable units versus unstable transitions signify in fundamentally different ways. As I will explore in chapters three and four, stable units of texture exhibit hierarchizations of parametric details that can become broad types, identified by many listeners, and iconic of broader types with associative meanings. In chapter four I will explore the stylistic growth that these textural types may undergo to adapt these conventional meanings and expand the textural lexicon. In chapter five, I will then focus my attention on temporal, successional issues that govern the space between such textural units. I shall propose typologies for describing the junctures between textural units and argue that these techniques are an essential
component of musical style. Finally, attention will be dedicated in chapter six to several interpretive readings to explore how such transitions constitute indexes. They serve to direct attention toward 1.) salient moments or hermeneutic windows; 2.) analytic and discursive deficits in describing such moments; and 3.) moments where style itself becomes an interpretive sign. Finally, in a close reading in chapter seven of Stravinsky’s *Rite of Spring* and related historiography, I shall argue that the notion of juxtaposition central to readings of the work’s “anti-humanism” is deeply problematic due to neglect of textural properties and stylistic precedents in the work. I demonstrate that Stravinsky exhibits notable affinity in both the textural content and transitional procedures of the work with the Classical style, countering the reading of an attempted anti-social “rupture” with a stylistic past. This reading provides a dramatically revised historical and cultural reading that uncovers new stylistic continuities with Stravinsky’s predecessors and argues that rather than coercion, the textural discourse of the *Rite* invites an *intersubjective*, critical reading of the events that unfold onstage.44

The title of this study delineates the modernist period of 1890-1920 as a reportorial scope for consideration of texture here. Yet the discussion so far of primarily tonal works from the Baroque, Classical, and Romantic periods may seem to miss the mark. Nor will these earlier repertories fall by the wayside in the following chapters. The works of the modern period are, however, particularly relevant to textural analysis:

44 The overall structure of my theory is illustrated in Figure 1.6. Whereas this diagram captures the scope and semiotic underpinning of my research, in practice this model is dynamic, with textural types and compositional strategies emerging within particular historical periods. The diagram is meant to serve as a general roadmap for the theoretical exposition that follows in chapters three to six, but it does not incorporate the historical (or historiographic) discussions that will constitute an important component of the study.
historically, this was the stylistic period in which the metaphor of texture came to being.

As Laura Dolp explains,

Broadly speaking, the fin de siècle has often been the focus of an interdisciplinary discourse. Interrelationships between the sister arts frequently took a synesthetic turn, particularly in journalistic writing. Metaphorical language pointed to a symbiosis between musical and visual experience, especially for visual evocation as it related to music.45

But in order to account accurately for textural “markedness” in the repertory of 1890-1920, it is essential to have some sense of basic stylistic conventions established in the late eighteenth and nineteenth centuries. From the historiography of a “perpetuum mobile” that characterized the Baroque period to the “variety and integration of rhythmic textures”46 in the late eighteenth century, existent writing on texture carries stylistic baggage that must be explored and delineated. Late eighteenth-century textural practices mark a distinctive stylistic shift to be reckoned with in any subsequent consideration of the concept. In exploring the nature of units and transitions over the following chapters, these earlier periods will play a prominent role in illustrating fundamental practices that composers of the late nineteenth and early twentieth centuries expanded upon, departed from, and nostalgically evoked. It is only with this basic understanding that we can understand the aesthetic motivations behind textural decisions in the modernist period.

In this sense, an emphasis on conventions of the Classic and Romantic periods is necessary for what Hatten calls “stylistic competency” in the interpretation of modernist works. Competency, argues Robert Hatten,

…balances constraints with productive principles and provides flexibility such that apparent violations of lower-level constraints can be compensated at a higher...
level in order to preserve the consistency of those general principles…Thus, while style constrains expectancies, it must also provide room for unique strategies of realization.47

Underlying each of these chapters is a desire to understand the stylistic conventions and growth of texture, to make explicit and validate (or debunk) the implicit assumptions of texture embedded in many observations and interpretations of textural detail. Thus, historiography emerges as a central component, alongside developing an analytic and stylistic narrative, of textural study. Because the term texture is itself an analytic, metaphorical construction, the term indexes the cultural disposition of those who invoke it. Such scholarly preconceptions may cloud analytic readings, and therefore a historiographic deconstruction of textural style to shed such predispositions must serve as a prelude in chapter two to the theoretical exegesis that shall follow.

CHAPTER 2

The Historiography of Baroque and Classical Textures

Texture is a relatively new concept introduced through music criticism of the twentieth century, and therefore on some level presents an analytic artifice, particularly when applied to repertories that predate its introduction to music discourse. Nonetheless, the pursuit of musical textures enables the analyst to consider how composers and audiences understood music as a multivalent experience. Emerging instrumental configurations, developments in notation, and use of recurring textures within a particular compositional or stylistic idiom all indicate that greater conceptual coordination of multivalence is a central concern in instrumental music as well as a potential delineator of distinct stylistic periods of music history. This brief chapter serves as an interlude to illustrate a decisive compositional shift in the generation of new textures in late eighteenth century repertory. This is important because 1.) it is intuited by scholars but veiled by certain historiographic assumptions about Baroque textures; 2.) it introduces the presuppositions that will underlie the subsequent approach to identifying stable textures in this study; and 3.) the resultant conceptualization of texture for the late eighteenth century is particularly enduring, enabling a lexicon of textures that emerged in the Classical style to adapt throughout harmonic and rhythmic innovations of the nineteenth and early twentieth centuries.
The emergence of orchestration in the seventeenth century suggests an aesthetic shift in which composers began to delineate carefully the interaction not merely of pitch and rhythm, but also of timbre, dynamics, and articulation.¹ From English designations of “consort” ensembles to the Italian contrast between solo and ritornello sections and later development of nomenclature for dynamics and articulation, composers clearly thought about – and desired greater control over – how these parameters were to interact. The nature of how composers shaped that sonic space was cultivated just as any compositional technique deeply indicative of style. Twentieth-century historiography of compositional conceptualizations of multivalence in particular musical styles is, however, problematic. A significant shift in textural practice between the Baroque and Classical periods is often intuited but under-developed. Numerous notable historians contribute to the narrative of a mid-eighteenth century threshold between which Baroque and Classical composers approached texture in profoundly different ways. Charles Rosen distinguishes between the Baroque’s perpetuum mobile, or a “homogenous rhythmic texture,”² and a late eighteenth-century “Classical counterpoint.”³ In this stylistic account of the Baroque, once a particular rhythmic motion was established within a movement, the texture remained uninterrupted until the end of the work.⁴ The great achievement of the Classical style, so the story goes, was the rich variety of rhythmic texture, mediated by gradual

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³ Ibid., 117.
⁴ Ibid., 61.
dynamic contrasts, that helped articulate phrase structure and balance. Robert Hatten more explicitly states,

One of the most striking differences between Baroque and Classical styles is found in their respective treatment of texture. Classical composers typically articulate texture by implementation of clear phrase breaks and introduction of rhythmic contrast, thereby breaking up the Fortspinnung and ‘single-affect’ continuities characteristic of Baroque movements.

Providing further historical motivation for this shift, Leonard Ratner attributes the greater fluidity of the Classical style to the growing prominence of opera buffa. “Mozart’s orientation to opera” facilitates a stylistic transformation manifest in “sharply defined topics, aria, conflict among textural components, and the lift given by powerful cadential thrusts.” He further observes a “new orchestral style” characterized by “greater prominence of winds, changing roles of the strings, prompting the rapid shifts of texture and topic characteristic of buffa rhetoric, although not necessarily comic in flavor.”

The characterization of Baroque textures as homogenous rhythmic profiles of perpetuum mobile is deeply misleading at best, at worst a gross oversimplification of textures in the Baroque and a misunderstanding of the stylistic and historical drives of textural diversification in the mid-eighteenth century. Surely Rosen and Ratner’s approaches to the mono-chromatic rhythm and affect of the Baroque allow for more generous evaluation. In Bach’s C minor Fugue from the Well Tempered Clavier, Book I, a certain perpetuum mobile appears by m. 5 at the sixteenth-note level (Example 2.1).

The texture, however, may be further nuanced by observing the distinct ripieno-like

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5 Ibid., 64. Rosen also adds that perpetuum mobile had not vanished by the late eighteenth century, but rather that Classical composers used the technique sparingly as an “added challenge” reserved most often for finales and special dramatic effect. See pp. 61-62.
6 Hatten, Interpreting Musical Gestures, Topics, and Tropes, 240.
7 Leonard Ratner, Classic Music, 297.
scoring created by the registral contrast within the soprano line in the stretto of mm. 5-6 and amplified as the alto joins the lower anacrusis punctuations in the soprano line to contrast the upper solo-like register. The registral placement and motivic fragmentation invoke a particular texture reminiscent of Corelli’s rapid alternations between solo and ripieno parts in concerto scoring. The passage stands in stark contrast to the dispersal of continuous sixteenth notes exclusively in the soprano voice over the eighth-note homogeneity in the lower voices in the second episode in mm. 13-14. The notion of mono-affect characteristic of Baroque discourse prevents careful inquiry into textural variety in this repertory. A reading of such concerti-inspired scoring even in a solo keyboard work invites a more complex explanation for how Bach imagined, segmented, and diversified textures in his fugues than Rosen’s generalization of rhythmic homogeneity allows. It would seem the historiographic approach of Baroque perpetuum mobile and the Classical watershed of textural variety leaves much to be desired.

To argue that the Baroque style is as rich in textural variety as the Classical period requires a reconsideration of how composers of the late seventeenth and eighteenth centuries conceptualized the multivalent space in which they ordered sound. The rise of opera with accompanying instrumental ensembles and the growth of purely instrumental genres in the seventeenth century challenged composers to generate instrumental textures independently of vocal parts. Abandoning the earlier practice of merely doubling vocal lines, composers found instead a kinesthetic inspiration from singing to drive the diversification of instrumental textures. Elisabeth Le Guin observes that on string instruments, “Shifting up and down the instrument’s neck, progressively shortening and lengthening the strings, mimes the melodic ‘shapes’ created by the invisible shortening
and lengthening of vocal chords." Emerging from close sympathy with vocal music, notated instrumental music in the Baroque reveals a generative foundation for textures in the exploration of the physicality of instrumental performance.

This embodiment in Baroque textures is evinced in primary sources and has received newfound attention in recent analytic trends. In Monteverdi’s writings, one observes a conscientious experimentation with the affective potential of instruments created by dictating rhythmic articulations and instrumentation in a manner unprecedented by previous vocal or instrumental conventions:

Since according to all the best philosophers the fast pyrrhic foot was used for agitated, warlike dances, and the slow spondaic foot for their opposites, I took the whole note and proposed that one whole note correspond to one spondee. Dividing this into sixteen sixteenth-notes, struck one after the other and joined to words expressing anger and scorn, I could perceive in this brief example a resemblance to the emotion I was seeking.

At first, the musicians, especially those whose task it was to play the basso continuo, thought it ridiculous to strike a single string sixteen times in one measure, and so they reduced it all to one stroke per measure, thereby producing the spondee instead of the pyrrhic foot, and destroying all resemblance to agitated speech. Be assured, therefore, that the basso continuo must be played just as written, along with the other parts.\(^9\)

The reticence of Monteverdi’s musicians to perform this rhythm indicates the novel way in which the composer precisely indicated (and insisted upon) the particular articulation of sixteen notes on the same pitch. This more complex homorhythmic structure, although rooted in poetic meters, further suggests that the new texture derived from a certain desired physical experience in which both instrumentalist and viewer are meant to experience the sensation of “trembling” in anger. Monteverdi finds inspiration for this

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new texture in a distinct kinesthetic experience created by the careful delineation of rhythm, articulation, and instrumentation contrary to the conventions suggested by the harmonic rhythm.

Suzanne Cusick finds a similar kinesthetic experience in which imagined text invoked in a chorale prelude interacts with the physical experience of performing the work. Observing a particularly difficult passage in the chorale prelude on “Aus tiefer Not” from Bach’s *Clavierübung* Part III, BWV 686, Cusick suggests that the composer deliberately wrote the passage in a way that would leave the performer’s body off-kilter. The physical experience of performing the piece – and the respite that comes for the organist once the challenging passage subsides – corresponds appropriately to the text of the invoked chorale that calls upon God to grant one grace. “Grace,” writes Cusick, “dramatically represented as an absence by the body’s craving for a place to balance, comes to the organist at the end of the phrase.”¹⁰ Thus, Bach’s idiomatic writing at the organ is rooted in an embodied kinesthetic motivation meant to encourage a meaningful and personal, even spiritual, engagement in the performer through the particular texture deployed at this moment in the work.

While these examples from Monteverdi and Bach still rely on textual reference for their textural signification, composers also generated new instrumental textures in the Baroque through the unique visceral experiences enabled on a particular instrument such that recurring textures may be classified according to typologies of the physical and gestural experiences that they create. In Bach’s Two-Part Invention No. 8 in F major, a

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figure emerges at m. 19 that, in the left hand, consists of a brief pause or “exhalation” on the downbeat through the neighbor embellishment of g followed by an oscillating or rocking gesture as the left hand negotiates the introduction of the pedal on e\(^1\) in the inner voice (Example 2.2). This gesture in the left hand is accompanied in the right hand by simple eighth notes outlining of the diminished seventh harmony. The texture repeats in the next bar, now on d minor, before the figures swap registers in m. 21. Now the right hand takes up the exhalation/oscillation figure, while the left hand provides the harmonic outline in eighth notes. It is important to distinguish this texture from mere motivic pattern. The texture is first and foremost kinesthetically defined: both hands experience the sense of elongation on the downbeat created by the neighbor note and gesturally pausing on the outside edge of the hand before distributing weight more evenly over the open, rocking hand position in the following oscillation over beats two and three. The figure is not harmonically constricted, occurring on diminished, dominant, minor and major harmonies over these five bars. Nor can the pattern be reduced to its mere rhythmic qualities, i.e. its *perpetuum mobile*. Although these five measures do not disrupt the continuous sixteenth notes present since the second measure of the invention, mm. 19-23 are clearly distinguishable visually and gesturally from the descending scalar figures (mm. 1-3) or rocking motion manifest simultaneously in both hands (mm. 5-6) at the opening (Example 2.3). The invention is scored in “two parts,” but this compositional constraint hardly seems to hinder its textural variety inspired by the diverse kinesthetic experience Bach creates at the keyboard.

Notably, the texture derived from the exhalation/oscillation gesture is not particular to the keyboard and manages to transcend the genre of the two-part invention
to appear in other instrumentation conducive to this same kinesthetic effect. In the first movement of the Brandenburg Concerto No. 3 the down bow over three sixteenths embellished with a neighbor tone in first violins at m. 23 creates a similar sensation of exhalation, while the following rising line occurs in string crossings, suggestive of a rocking gesture in the bow arm similar to the open hand position in the keyboard invention (Example 2.4). This figure appears initially in the first violin, but gradually permeates the texture, appearing in the first viola (m. 24), second violin (m. 26), and second viola (m. 27). Beneath this figuration, the accompaniment pulses out steady eighth notes, but the essential physical relationship to the instrument echoes throughout the larger ensemble. Although the concerto and two-part invention cannot be linked by instrumentation or literal pitch repetition, a broader gestural sensation created through articulation, register, and particular idiosyncrasies of the respective instruments nonetheless finds a similar textural typology manifest in both the keyboard and string instruments.

Such textural types can become conventional figures in the Baroque repertory. One such passage appears in the same Brandenburg Concerto at m. 87 where the violins and violas engage a string crossing that achieves a remarkable degree of gestural stability as the entire ensemble (sans bass line) lock into three and a half bars repeating the rather cumbersome string crossings (Example 2.5). The texture may also be found in the earlier “Summer” Concerto by Vivaldi in the third movement at m. 32 (Example 2.6). The Brandenburg’s larger ensemble requires a plodding bass line to ground the texture, yet the prominent shared string-crossing creates a similar texture in both excerpts. Another conventional Baroque texture features a uni-directional arpeggiation of the octave in the
upper voices over a sturdy bass line. Such a procedure occurs in Handel’s G major Chaconne for Harpsichord (HWV 435) in Variation 18 (English MS Copy) and in the “Summer” Concerto at m. 29 with the upper strings in contrary motion (Examples 2.7 and 2.8). The distribution of weight rapidly across the open right hand at the keyboard before quickly resetting the weight for the next upward arpeggiation mimics the quick rest in the level of the bow arm on each beat for the string player to execute the arpeggios spanning an octave (and two string levels) in the violins.

The Baroque lexicon of textural types might continue, but these brief examples serve to illustrate a predilection for textural variety derived from a tactile experience with the respective instrument or ensemble. Although this generative process exploits the idiosyncrasies of the instrument, they also exhibit transferability when a similar gestural Gestalt is possible across various instrumental families, though the techniques to yield such a sensation might be quite different.11 Given this conventional status achieved when such textural types arise in different genres and composers, the analyst might next consider whether such conventionality also invites stable semantic relationships: what do these textures mean? Monteverdi quite explicitly sought a tactile experience through which to provoke a particular affect in his listener. It is beyond the scope of this study to explore particular meanings throughout the Baroque (my focus in this regard will be weighted in the next chapters more heavily toward stylistic precedents of the late eighteenth and nineteenth centuries that influence the semantic machinery of the early

11 It is striking to note that these gestures do not occur with the same frequency in woodwind repertory, suggesting that not all instruments can support or exhibit “sympathy” for the same gestural properties. The wind repertory no doubt carries its own idiosyncratic textural language in which a tactile and kinesthetic experience might be generated by tonguing and other articulation techniques, breathing, and even sensations created by particular fingering patterns. This author however, as a violinist and pianist, is better able to account for the shared gestural experience in keyboard and string repertory.
twentieth century). But some music historians will no doubt experience reservations in exploring the tactile experience of Baroque textures. These inquiries into Baroque texture may seem quite radical, perhaps even unsavory: recourse to such a kinesthetic expressive model certainly doesn’t provide the empirical security provided by more traditional analytic methods for this repertory. The historiographic underpinnings of such discomfort, however, reveal certain limitations in the narrative of stylistic shift between Baroque and Classical textures that must be reconsidered in order to understand the narrow lifespan of Baroque textures and remarkable endurance of Classical textures into the twentieth century.

Le Guin roots the scholarly apprehension with such kinesthetic models in the intellectual history of the late eighteenth century:

Our disdain of theatricalization and visualization in instrumental performance runs deep, a legacy of the German idealism that was developing during Boccherini’s own day, and of the powerful notion of absolute music that emerged from it; more even than physical sensation, the notion of visual effect as intrinsic to the instrumental work is likely to seem excessive, even repellent.¹²

Le Guin’s observation is directed toward potential criticism of her methodology to understand Boccherini’s virtuosity, but her historicization of the analytic legacy of German idealism might just as easily apply to oversimplifications of Baroque textures that circumvent the need for a more nuanced understanding of Baroque textural kinesis beyond mere *perpetuum mobile*. As evinced in the gestural shapes of the textures explored above, Baroque composers clearly generated new instrumental textures independent of vocal genres by seeking inspiration from the immediate, visceral possibilities of a particular instrument.

What therefore evolves between the Baroque and Classical periods, and will require careful scrutiny here, is not necessarily a sudden blossoming of textural heterogeneity in the late eighteenth century, but rather a conceptual shift in the embodiment that underpinned the Classical style’s textural lexicon. In the mid-eighteenth century composers, perhaps liberated from reliance on instrumental virtuosity and literal embodiment at the instrument, generated a new lexicon of textures that enjoyed more “universal” status across ensembles and genres, regardless of the gestural and kinesthetic possibilities available to a particular instrumental family. While Rosen intuits this shift in his discussion of “Classical counterpoint,” those textures may be further delineated by the kinds of stylized physical comportment they invoke.

In Mozart’s Piano Sonata in C Major, K. 309, for example, a melody-accompaniment texture emerges at m. 21 (Example 2.9). The distinctive melody features embellishments, staccato articulation, and scalar runs that begin on weaker beats while the accompaniment is contained with the middle register around c¹ and unfolds in continuous eighth notes on repeated pitches yielding hypermetric harmonic rhythm. Both melody and accompaniment present unique profiles, but it is the composite affect of this homophonic passage that best characterizes the texture: its lightness, conjunct motion, slow harmonic rhythm, and clear metric underpinning are evocative of a simple physical comportment cultivated in the simplicity and abandon of lower class dance. The kinesthetic affect generated by the texture is no longer linked to a literal embodiment generated immediately through performance, and one could not simply sum up the texture with a single kinesthetic adjective such as “rocking,” “exhaling,” or “wobbling.” Rather, an abstracted evocation of movement emerges that the performer and listener
might comprehend through a web of shared cultural signifiers, but nonetheless remains imagined rather than immediately embodied.

“Kinesthetic” in the Classical era therefore comes to mean something quite different. No longer the literal imitation of movement, textures signify metaphorically through the associative properties of movement. As Wye J. Allanbrook explains, in Mozart’s operas embodiment transcends stage direction for the actual movement of characters and instead emphasizes the relationship between physical comportment and idealized affect. Allanbrook writes,

> The motions of the singer on the stage will be directly revelatory of the character he portrays, which is as much as to say that the music written for that character is in itself a demonstration of his nature… Dramatic music could bear any number of relations to the text: it could contradict, question, interpolate, or reinterpret.\(^{13}\)

Textures no longer denote movement, but connote abstract ideas about how movement reflects not only affect, but also social standing and even morality. Melanie Lowe corresponds such a shift to the intellectual debates surrounding *Affektenlehre* in the second half of the eighteenth century arguing that the theory of musical expression “involves not just the arousal of the passions in the body but the stimulation of ideas in the mind as well.”\(^{14}\) Classical textures move away from the limited kinesthetic sympathies of isolated gestural movement and instead take on more global physicalities, such as dancing, hunting, and marching, which each come with conventional affective significations as well.\(^{15}\)

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\(^{15}\) We might also turn, as Elisabeth Le Guin does, to *commedia del’arte* style and pantomime ballet as additional influences on shifting attitudes toward gesture in the Enlightenment. She writes, “In developing the pantomime ballet, as they called it, these Viennese reformers built upon this identification between performer and audience, and transformed bodies from symbols to protagonists: suffering, changing fellow
I shall conclude with a final observation about the transferability of textures cultivated in the Classical style. Whereas instrumental textures of the Baroque exhibited certain limitations due to the kinesthetic possibilities of a given instrument, the textural lexicon cultivated in the late eighteenth century relies on an imagined, rather than literal, embodiment inspired through stylized movement, often cultivated in dance and conventional gestures of the buffa stage. Thus, the texture explored above in Mozart’s Piano Sonata in C Major extends beyond the immediate physicalities of the keyboard. The texture (and its affective connotations) reappears in Schubert’s String Quartet No. 7 in D Major in the fourth movement (Example 2.10). At m. 110, the violins double a melody that begins on a weak beat, exhibits strict articulation markings, and occurs over an accompaniment that is scored in the middle register (from a to e\textsuperscript{1}) and features repeating eighth notes and slow moving harmonic rhythm. All of these parametric characteristics bear striking resemblance to the analogous passage in Mozart’s Piano Sonata in C Major. Key, instrumentation, and meter are different between the piano sonata and the string quartet, but distinctive parametric characteristics that shape the textural profile nonetheless establish affinities between the two passages.

The transferability of the Classical lexicon, however, extends even beyond the geographic and chronological proximity of Mozart and Schubert. This particular textural unit shared between these two composers also occurs as late as Shostakovich’s Sixth Symphony (Example 2.11). Once again, a playful melody embellished with pickup notes and staccato articulations occurs over the steady pulsating accompaniment in the strings.

selves whose embodiment, displayed upon the stage, evoked or provoked the bodies watching and breathing in sympathy from under wigs and within corsets.” Boccherini’s Body, 47.
Despite obvious differences of historical, generic, and stylistic contexts, this appearance points to the striking continuity and endurance of the Classical lexicon well into Romantic and modernist repertories. The reconceptualization of the generative impetus of Classical textures as one stemming from abstract ideas of embodiment and comportment, as opposed to the literal gestures performed on an instrument, provides insight into the permanence, adaptability, and potential for growth in the Classical textural lexicon that endures well into the twentieth century.

Classical textures, unlike their Baroque counterparts, are best defined by the parametric characteristics, such as articulation, register, dynamics, etc, rather than the idiomatic performance gestures, most salient in the identity construction of the texture. Christopher Hasty similarly observes:

> Each domain [timbre, dynamics, intervallic associations, register, and contour] is characterized by the range of different values which we hear in a particular quality of musical sound. The definition of each domain is largely a stylistic matter. Also the relative importance of certain domains is not universally fixed. For these reasons the works of a single composer or an individual piece or even a section within a piece may create a particular definition of various domains.\(^{16}\)

Rather than particular gestural or kinesthetic attributes, Classical textures engage a continual reevaluation and emergence of parametric domains and characteristics at the forefront of the listener’s awareness. The three articulations in Mozart, Schubert, and Shostakovich of the same textural type indicates that the Classical lexicon of textures is best defined by the conventional means of weighting and prioritizing diverse parametric information within the listener’s mind. In all three examples, a melody plus accompaniment scoring was further characterized by the registral span of the

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accompaniment, rhythmic profile of the melody, staccato articulations, and slow harmonic rhythm. Identifying a textural unit involves privileging domains of stability and placing lower perceptual value on those of change.

The conventional textures that emerge in the late eighteenth century present a new means of ordering and prioritizing diverse perceptual fields. Consequently, the semantic meanings that attach to such textures form an enduring and stable semiotic universe to be explored in the next two chapters. The Classical lexicon as a hierarchic network of parametric details provides insight into the striking durability and adaptability of Classical textures in subsequent repertories, whereas Baroque textures are rarely reproduced except to self-consciously anachronistic ends (as in Stravinsky’s neo-classicisms of Pulcinella, for example). The processes of how the Classical lexicon emerged, adapted, and continues to signify are subjects that will be addressed in considerable detail over the next two chapters.
In the third movement of Bartok’s First String Quartet at the beginning of the development section, a rather uncanny moment occurs (Example 3.1). After the driving rhythms and persistent pedal tones of the opening, the texture suddenly settles into a simple melody-accompaniment pattern at rehearsal number 16. The cello dutifully articulates the downbeats with the viola and second violin echoing in chordal accompaniment while the first violin sings a rather, melodious rendition of the movement’s pervasive motivic idea. The distinctive accompaniment here evokes a familiar texture from the Classical era that Janet Levy would describe as “homophonic with a stock accompaniment pattern.”\(^1\) Despite this conventionality however, in Bartok’s string quartet the texture has a jarring, other-worldly effect. The passage is a prime example of Freud’s *Unheimlich* in which an object presents something both familiar and foreign.

An obvious interpretation might suggest that the phenomenon hinges on an anachronistically invoked Classical texture within a work of the modernist repertory. The “uncanny,” then, is an effect of recognizing the Classical texture within the unexpected context of the twentieth century. But this reading, which assumes a status for this textural sign as an index of a past, archaic stylistic convention, demands closer scrutiny. While Amanda Bayley views the motivic economy of this string quartet as evidence of a

\(^1\) Levy, “Texture as a Sign,” 488.
stylistic continuity with “a tradition based on predominantly Classical and Romantic techniques,” the texture itself might also suggest anchors, rather than ruptures, in a stylistic past. Bartok strategically places this texture at the outset of the movement’s development where the listener expects greater instability. Levy, however, explains that such presentational textures “cue us to what we will not hear. The passage is not likely to be the beginning of a transition, for example, or even of a phrase group that is complementary to the first.” From a stylistic perspective Bartok’s use of the texture seems to evoke the uncanny through the introduction of an outdated texture, but within the structure of the movement the passage operates by offering a presentational texture at a formal moment where stability is least expected, invoking an expectation well established since the eighteenth century. Despite the seeming anachronism, the perception of the uncanny at this moment is firmly rooted in Classical conventions that are still very much active, and therefore able to be subverted, within Bartok’s modernist style. The perception of interruption on the synchronic plane is therefore dependent on continuity along the diachronic plane.

The challenge for analysis lies in clearly codifying textures so that articulations of similar figures can be established and underlying stylistic expectations mapped. Similarity in texture does not arise through literal repetitions afforded exclusively by quantifiable parameters such as pitch and rhythm. Instead, the criteria for similarity in this chapter will involve replication of relationships among different characteristic features in highlighted parametric categories. This methodology reveals new insight into

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points of continuity between the Classical and modern periods. Contrary to a reading of
stylistic rupture, many of the textures codified in the late eighteenth century appear fully
functional in the early twentieth century as these essential relationships are able to be
preserved despite experimentations in individual categories of pitch and meter. Recurring
textures, I argue, provide shared experiences by which listeners prioritize diverse
parametric information. This chapter will present a basic methodology for identifying and
describing textural units in this method. In the following chapter, the investigation will
return to how such “conventional” hearings likewise give way to conventional meanings.
Thus, the structure of the sign provides clues as to the scope of meanings available.

TEXTURE AS A HIERARCHY OF PARAMETRIC CHARACTERISTICS

The identification of the textural similarity in Bartok’s First String Quartet with a
textural typology identified by Levy is based on a hierarchic prioritization of certain
parametric characteristics over others. The similarity between Bartok’s texture and, for
example, the passage in mm. 29-35 in Mozart’s Second String Quartet, K. 155 (Example
3.2) requires that the listener put aside differences of harmonic language and instead
assign taxonomic priority to characteristics such as orchestration, registral distribution,
harmonic rhythm, and homophonic disposition between melody and accompaniment.
Despite the obvious chronological, national and stylistic differences between the
respective composers, as well as the contextual formal dissimilarity between the
appearances of these textures within each movement, both of these examples share
similarities of texture.
In textural analysis, the criteria for similarity cannot be limited to harmonic language or other syntactic parameters. In place of literal repetition, similarities often arise in statistical parameters, those whose exact attributes cannot be quantified in the same way that pitch and rhythmic repetitions lend themselves to verbal and graphic explication. A forte dynamic, for example, shared by two passages does not alone establish a very meaningful link. But if that forte dynamic is paired in two passages with brass instrumentation, dotted rhythms, and triadic arpeggiation, suddenly a link of similarity, colloquially identified as a “fanfare,” can be established. The forte suddenly becomes meaningful when joined with specific features. The analyst may thereby establish textural similarity by the complex inter-parametric relationships rather than by considering each distinct category in isolation. These networks may be theorized through the principle of type-token relationships, borrowed from semiotics, which enable the analyst to draw on non-literal repetitions as criteria for meaningful comparison. A type, according to Robert Hatten, “is an ideal or conceptual category defined by features or a range of qualities that are essential to its identity,” while a token “embodies or manifests the features or qualities of the type.” Unlike literal repetition, in which a prototype provides an exact exemplar to which other terms are compared, with type-token relationships there is room for flexibility in the interpretation of the set, for there exists no single source or Ur-model against which others deviate. The type is only as strong as its actual manifestations.

Hatten’s exhaustive description of the pastoral can serve to illustrate the parametric complexity with which textural identities are established within a musical

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work. Hatten offers a list of ten characteristics of the pastoral style in Beethoven’s piano music (summarized in Figure 3.1). The characteristics cover such diverse parametric attributes as soft dynamics and rocking accompaniment, as well as qualitative observations of pitch contour including appoggiaturas, parallel intervals, and “wedge” shaped contrary motion. The list reveals that the parametric complexity involved in conveying the pastoral extends far beyond methods analysts rely upon to taxonomize pitch and rhythmic procedures.

Despite the parametric complexity of the list, a number of the characteristics Hatten mentions would preclude the pastoral from manifestations in post-tonal repertory. Characteristics dependent on functional harmony emphasizing clear contrast between consonance and dissonance within the tonic-dominant polarity quickly erode when one considers the highly chromatic or atonal music of the early twentieth century. Nonetheless, there are many examples in the modernist repertory where reception history would seem to support a “pastoral” reading. Debussy’s Prelude to the Afternoon of a Faun is a particularly notable example. Ernst Decsey, writing in 1948, describes an evocation of Arcadia in the opening, “partly through the sun-glinting harp glissando, partly through the blissful call of the horns, which sound like someone talking in his sleep, but above all through the tonal wreathing of the low flute, which in this register sounds penetrating, indeed hypnotic, as if it were the strongest instrument of the orchestra.” Writing more recently, Raymond Monelle identifies the Prelude as the most

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5 Ibid., 97-99.
famous example of Debussy’s particular use of the pastoral.  
Indeed, a number of Hatten’s parameters are evident in the opening of Prelude to the Afternoon of a Faun
(Example 3.3). Compound meter prevails and the undulating flute melody consisting only of half-steps within the range of a tritone presents a simple contour. Appoggiatura-like gestures appear in the flute and horns despite the ambiguity of the underlying harmonies that might frame the non-harmonic tones. Light scoring reinforces soft dynamic markings, while the sustained chord in the woodwinds creates a sense of harmonic stasis, albeit not necessarily tonal. A similar case may be made for Stravinsky’s “Pastoral” from A Soldier’s Tale (Example 3.4). Although many of the parameters on Hatten’s list – such as pedal points on 5, V7 arpeggiation, and elaborate resolution of dissonance – erode in Stravinsky’s ambiguous harmonic language, the passage still exhibits pedal tones in the violin at the opening, soft dynamic indicators and light scoring to achieve a subdued effect, and rocking motion in the almost obsessive play on f#-g# in the bassoon. Furthermore, while the meter fluctuates, triplet figuration, triple meter, and, eventually, 6/8 meter all appear in this passage. With a loosening of certain characteristics, we can easily apply Hatten’s list to the twentieth century. As in Ludwig Wittgenstein’s description of family resemblance, a similar phenomenon appears whereby we see “a complicated network of similarities overlapping and crisscrossing: sometimes overall similarities, sometimes similarities of detail.”

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Instead of merely offering a list of features observed in a multivalent identity such as the pastoral, the texture may be illustrated with the weighted hierarchy shown in Figure 3.2. The characteristics at the top of the pyramid (pedal points or drones, quiet dynamics, simple melodic contour, rocking gestures, and rhythmic or metric organization in threes) are essential to the textural identity. All five of these parameters must be present for a successful evocation of the texture. At the same time, these parameters are the most flexible with regard to stylistic diversity. Other characteristics, such as parallel intervals and scoring for woodwinds, while quite common to the texture, are non-essential for a token appearance and are therefore accorded mid-level status. Parameters occupying the lowest level are the most limited in their stylistic adaptability. Arrows in the diagram illustrate those lower level characteristics that may serve as stylistically particular manifestations of those broadly recognized attributes at the top of the hierarchy.

In effect, this schematic illustrates the abstract category of “type” in Hatten’s type-token typology. It also highlights a critical distinction in the nature of textural repetition from literal forms of imitation such as quotation or borrowing. While it is easy to point to tokens (for they exist in actual musical scores), the type may elude analytic description. Through careful consideration of the cognitive process that precedes recognition of the type, this method of textural definition can account for the cognitive fluidity with which listeners identify textural types in a wide range of styles, and beyond the theoretical apparatus of literal repetition, imitation, and quotation. It is this conceptual

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9 Hatten alludes to this inequality between characteristics when he observes that they “do not have the same exclusivity in defining the pastoral.” He fails, however, to elaborate further on how these parameters may interact in more dynamic relationships. Hatten, Musical Meaning in Beethoven, 99.
flexibility that offers the profound stylistic shift at the end of the eighteenth century, enabling a certain stylistic growth inherent to the Classical style’s textural lexicon whereas Baroque textures, constrained to particular visceral experiences, lacked a broader semantic adaptability.

My language at this juncture has perhaps begun to invoke similar terms as Leonard Ratner’s theory of musical topics. Like the aesthetic shift in texture, topics similarly emerged in the late eighteenth century as new forms of embodiment and reference in musical discourse. Tellingly, the relationship between topic and texture has always been ambiguous. Texture inhabits the periphery of topic theory, at times emerging more prominently in explications of the theory. Lowe writes that topics are “rhythms, textures, melodies, accompanimental patterns, etc… that imitate, evoke, or are otherwise associated with the music, sounds, and objects an ordinary listener was likely to encounter.” Agawu similarly describes the signifier of a topic as the “disposition” and “relations” between “musical dimensions of melody, harmony, rhythm, and so on.”

Like the motley definitions of texture explored in chapter one, descriptions of topics invoke similar ontological problems with regards to constituent parameters. Elaine Sisman observes, “The principle problems [of topic theory] concern the identification and limits of topics within a piece: what is a topic and what is not?” In light of the motley definitions of texture in critical discourse overviewed in chapter one, texture might just as easily substitute for topic in Sisman’s observation.

11 Lowe, Pleasure and Meaning in the Classical Symphony, 13.
To reconcile this overlap between the two terms, I would argue that for many textures, topical analysis can provide the kind of initial parametric “inventory” that Hatten includes in his description of the pastoral. Most scholars invoking topic theory include some sort of descriptive exegesis. Topics are formed through diverse, rather than mono-parametric, criteria and invite a hierarchic ordering of constituent characteristics. The analytic, and thereby interpretive, work proposed here therefore begins from such lists, yet proceeds further by making calculated decisions about the weighted importance of constituent parameters. Topics, therefore, are special kinds of textures, in which the weighted hierarchy achieves a particular degree of conventionality that likewise invites semantic meaning. Whereas wholly unique textures may yield discrepancies between listeners as to the most salient features, with topics and other conventional textures the type-token relationship invites a shared prioritization of certain parametric categories over others. Topics that encompass multiple parametric criteria emerge as special kinds of textural types that have achieved a high degree of conventionality in the presentation of their hierarchic networks. This conventionality by which listeners hear and order diverse parametric criteria enables a similarly high degree of conventionality in how

15 In her 1983 study, Allanbrook’s analytic approach to topics as a spectrum of meters overlooks many other parametric features that she incorporates into her analyses. Charles Ford is wary in his review of this delegation of other parametric features to the periphery and argues that the overly-simplistic mono-parametric approach to topic as meter is problematic. He observes,

…the method of attributing rhythmic *topoi* to various metric elements could not even be expected to be plausible when the distinctions between them, whether musical, psychological or ideological, are so ill-defined. Allanbrook never engages with melodic analysis; so all we are offered by way of determinants on dance types are metres, differences in up-beat durations, and relative stresses (in which melodic considerations remain implicit). It seem that anything in common-time can be called a bourrée (for example *Figaro*, No. 1, p. 75), just as anything in a moderate ¾ can be called a minuet (for example, *Figaro*, Act IV scene xiv, p. 179).

The methodology that I propose throughout this chapter, when applied to topics as a particularly potent form of textural meaning, should help allay some of Ford and others’ anxiety with the vague criteria for defining topics. Charles Ford, “(Review of) Wye Allanbrook, *Rhythmic Gesture in Mozart,*” 112.
those textures might be interpreted. Twentieth-century repertory therefore challenges the
cognitive flexibility of these hierarchies where drastic stylistic differences between
Classical and modern styles in individual parameters such as pitch and rhythm challenge
the complex inter-parametric relationships that define texture.

To illustrate the contribution of topical analysis to the construction of textural
hierarchies, we might turn to descriptions of the minuet by topic theorists. Lowe
identifies a reconceptualization of the dance between the Baroque and the Classical
period in which eighteenth-century composers, by exaggerating certain features of the
dance and moving away from the literal movement of the Baroque dance, emphasized (or
“exaggerated”) certain qualities of the dance in order to create the abstract idea of noble
simplicité. Central characteristics of the Classic minuet that Allanbrook identifies
include:

1. a time signature of 3/4 or 3/8
2. moderate tempo with regular movement
3. a bass moving in quarter notes
4. few ornamentations

Lowe also adds:

5. three beats in a measure “stressed nearly equally, giving the dance a steady
   rhythmic profile”
6. homophonic texture
7. “simple and normally unembellished melodic style”
8. a motto rhythm of a quarter followed by four eighth notes.

Unlike Hatten’s pastoral, the relative pitch freedom of the minuet already suggests a
texture highly adaptable to a variety of styles. The most particular feature, the rhythmic

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16 Allanbrook, Rhythmic Gesture in Mozart, 33.
17 Melanie Lowe, “Falling from Grace: Irony and Expressive Enrichment in Haydn’s Symphonic Minuets,”
motto, prominently featured in many tokens of Mozart and Haydn, might be loosened and
demoted from essential status if the type is to extend to twentieth-century manifestations.
Indeed, Allanbrook explains that in the late eighteenth century
the motto seems to be a deliberate attempt to signal ‘minuet.’ Its percussive
repeated notes in thick chordal texture intensify the dance’s traditional even
movement and restraint, in addition to protecting the dance against the distortion
of a rapid and light execution.\textsuperscript{18}

If we read between the lines, it would seem that of central importance to the
minuet texture is an even distribution of the three beats across the meter supported by chordal
texture, simple melodic lines, and, in its slower versions, continuous or predictable
rhythms that help provide a “check administered to a prominent downbeat [that] probably
contributes to the control and level contours which characterize the minuet measure.”\textsuperscript{19}

All of these characteristics contribute to a Classic texture that reveals the affect of a
“stately and quite serious” dance, or, \textit{noble simplicité} (see Figure 3.3).

These essential qualities are verified in a number of twentieth-century
manifestations. Stravinsky’s “Minuetto” from \textit{Pulcinella} Suite exhibits a rather
conservative token of the texture in 3/8 (Example 3.5). The three equal beats are
emphasized by repeated pitches on beats one and two in the first and second measures.
The melody, first in the French horn and then the strings and bassoon, also features a
largely diatonic, unornamented line with the motto rhythm appearing two and six
measures after rehearsal number 94 and two, three, and six measures after rehearsal
number 95. By rehearsal 95, once the strings join the texture, the homorhythmic

\textsuperscript{18} Allanbrook, \textit{Rhythmic Gesture in Mozart}, 34.
\textsuperscript{19} Ibid., 34.
accompaniment comes to full fruition. A more complex example from a compositional exercise by Alban Berg for string quartet also exhibits similar features (Example 3.6). Once more in triple time, the rhythmic simplicity of quarter and eighth notes emphasizes the evenness of the beats. Eighth notes sound nearly continuously throughout the texture, with the motto rhythm appearing in m. 5 in the viola and m. 7 in the second violin. The chromaticism and contour of the melodic lines is more elaborate than in Stravinsky, yet the essential features remain. A final example from Schoenberg illustrates the flexibility implicit in the hierarchy to facilitate token identification. Although the minuet from the Serenade, Op. 24 features a rhythmically complex counterpoint between the clarinet and the bass clarinet, the continuous quarter and eighth notes in the guitar help establish a clear metrical identity (Example 3.7). The mandolin further articulates this simple accompaniment at the beginning with eighth notes. Schoenberg’s minuet is the weakest token of the three twentieth-century minuets, and the issue of “degrees” of identification will be addressed below. But these analyses demonstrate that topical research can provide the initial stylistic inventory by which we can evaluate textural types, especially those that endure across distinct stylistic periods and harmonic or rhythmic criteria.

Recognition of textural types therefore involves two steps. First, the analyst must move beyond mere description of a texture. Instead, identification requires recognition of how certain parametric characteristics are privileged at a given moment and hold primacy over the aural phenomenological experience. A reading that establishes similarity

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20 “Homorhythmic” in this study shall refer to block-like passages in which all voices exhibit the same rhythmic patterns. The reader should not confuse this term with “homogenous rhythm,” meaning passages which exhibit only one rhythmic value, such as straight quarter notes. This usage serves to avoid confusion surrounding the term homophonic, which is variously applied to both melody plus accompaniment texture or block-like chorale structure – two fundamentally distinct textural types.
between the pastoral textures of the first movement of Beethoven’s Op. 101, Debussy’s *Prelude to the Afternoon of a Faun*, and Stravinsky’s *A Soldier’s Tale* overlooks the drastically different harmonic languages in order to privilege similarity in the relationships between essential parametric characteristics, particularly in the statistical domains of dynamics and instrumentation. Hierarchical parametric networks are therefore a critical component to the stylistic competency that enables the listener to recognize and evaluate a conventional textural type.

**STYLISTIC CORRELATION AND STRATEGIC INTERPRETATION**

How do we interpret these textural types that exhibit a morphological similarity between their eighteenth- and twentieth-century manifestations? Does a minuet mean the same thing in Haydn as it does in Schoenberg? To answer these questions, we might delve even deeper into Hatten’s semiotic model to understand how tokens and types invoke different kinds of meaning. Hatten’s model for stylistic competency involves a circular system in which types constrain the interpretive potentiality of tokens, while tokens themselves define and challenge the boundaries to types. In textural analysis, the ability to recognize a unit as belonging to a type, rather than an instance of imitation or quotation of a preexisting source, constructs a “stylistic competency” of texture. According to Hatten, stylistic correlation and strategic interpretation form ontologically distinct categories of meaning separated by the “general principles and constraints of a style, and the individual choices and exceptions occasioned by a work.”\(^{21}\) The “methodological dialectic” that emerges (as illustrated in Figure 3.4) facilitates a link

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between general meanings associated with type, genre, and other stylistic conventions, and their usage in particular tokens, or works. This model may be adapted to textural analysis such that types encompass a hierarchical ordering of essential characteristics, whereas actual tokens invite further nuanced interpretations through embellishments that occur on lower levels of the parametric hierarchy.

This model of stylistic competency is further based on the concept, borrowed from linguistics, of markedness. Markedness considers those binaries in which the opposition between terms is unequal, allowing one term to access a more limited meaning than the other. Markedness aids in interpretation when a signified with more specific meaning may be mapped onto a signifier. In language, clear examples occur in the man/woman binary, where “‘man’ (unmarked) can be used to refer generally to all humankind, whereas ‘woman’ (marked) invariably specifies gender.”22 As Hatten relates the concept to music, binaries in structure, such as major/minor, correspond to expressive oppositions, such as non-tragic/tragic, thus allowing the analyst to read meaning in certain musical structures. Hatten writes, “The marked terms [of structural and expressive oppositions] ‘line up’ with each other and encompass a smaller area, since they each reflect both a narrow range of (expressive) meaning and a less-frequent usage (or better, a more-constrained distribution of places where they can be used) than their unmarked counterparts.”23

Meaning is thus facilitated more effectively only where there is a sense of unmarked or “well-behaved” expectations against which to compare unusual

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22 Ibid., 34-5.
23 Ibid., 37.
characteristics of a particular token manifestation. While these binaries are easy to
construct for music of the late eighteenth century in domains such as major/minor,
consonant/dissonant, periodic/aperiodic, stable/unstable, etc., in the late nineteenth and
eyear twentieth centuries, these oppositions break down. As tonality erodes, terms that
were once marked, such as dissonance and unpredicatability, become more commonplace
and therefore unmarked in modernist repertory. The model of type and token so far has
helped to construct an analytic apparatus for conventional textures, but the system also
requires a concept of markedness to perpetuate the circularity of stylistic correlation and
strategic interpretation. Without a firm understanding of markedness in the modernist
styles of Stravinsky, Schoenberg, and Bartok, the interpretive model reaches an impasse.

This impasse is not insurmountable, however, for markedness is inherent in any
interpretation. On some level, or according to some criteria (whether made explicit or
not), the analyst draws on features considered unusual on which to hang an interpretation.
The tendency to overlook the normative expectations that support a reading is prevalent
in hermeneutic work of modernist music. The alleged waltzes of Schoenberg’s
instrumental music, for example, frequently bear the hermeneutic weight of the
composer’s affective and autobiographical musical expression. Writing on the waltz in
Schoenberg’s chamber music, particularly those that coincided with the composer’s
marital crisis of 1904-1908, Alexander Carpenter concludes that waltzes act as

meaningful personal signifiers that are connected to intimate and intense feelings:
they are abundant in his music, and serve a number of different functions… They
have a particular significance…as gestures that mark moments of crisis and
change, and that also often bridge these moments, metaphorically connecting past and present.  

If waltzes are pervasive in Schoenberg’s music, can they all be regarded as marked? Furthermore, do all alleged tokens behave in the same way, or lend themselves to such a nuanced reading? In order to interpret some as exhibiting meaningful signifiers, mustn’t others exist as unmarked tokens?

Perhaps what is needed to adopt the type-token model to modernist music is a spectrum of markedness, rather than a binary. Even Hatten encounters some difficulties with this neat system of oppositional pairs. Presentation material, for example, poses some unique challenges to markedness in the thematic content of sonata form, for it must evoke interest and distinctive character, while also exhibiting regularity and intelligibility. In effect, presentational material stands between unmarked closing material and the marked development. But how can this be in a system of binaries? As an explanation, Hatten acknowledges the conundrum and offers the following:

“Thematization alone can mark what might otherwise be merely unmarked stylistic material. Framing within a thematic location, as determined by formal genres, may also accomplish this goal.” Hatten seems to indicate, though not fully explicate, that markedness binaries can operate at the level of both token as well as type. In the case of Classical thematic material, stylistic markedness may be invoked on the basis of formal location, as opposed to thematic intrigue. While the material itself may not be marked, placed within the structural context of a beginning, themes invoke markedness. This

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model allows for markedness to occur at the level of stylistic correlation as well as strategic interpretation.

This distinction between stylistic versus strategic markedness is a pivotal, though underdeveloped, distinction in Hatten’s work, for it holds the key to more sensitive and stylistically informed readings of modernist music. To return to the passage in Bartok’s First String Quartet, for example, it becomes evident that the passage presents an unmarked token of a conventional texture that exhibits a stylistic continuity between the eighteenth and twentieth centuries. The appearance of such presentational material in the development, however, is stylistically marked within the thematic conventions of sonata from – conventions that also supplied points of stylistic continuity. The passage is therefore an unmarked token that nonetheless subverts a stylistic convention – it is marked at the level of stylistic correlation.

The concept of correlation can contribute greatly to the flexibility of interpretive machinery, when it allows meaning to arise where a textural passage resonates with, but fails to act as, a token of a particular type. To this end, the weighted hierarchy for textures proposed here enables a new category of “failed” tokens, in which passages exhibit some characteristics encompassed by the type, but not all essential parameters simultaneously. Although such meanings are not as narrowly constrained by strategic interpretation, they invoke a type’s correlation by the marked absence of its token. In the fourth movement Intermezzo interrotto of Bartok’s Concerto for Orchestra, a dance-like section emerges at rehearsal 43 (Example 3.8). I very deliberately here use the expression “dance-like” to follow in the scholarly convention for expressing unstated reservations and self-conscious unease in drawing upon topical language. Bartok’s Intermezzo certainly feels like a
dance, and specific characteristics arise that operate within the parametric hierarchies of
dance textures. A lugubrious chordal accompaniment in the first and second harps
underscores a lyrical melody in the violas while the timpani strokes leave no ambiguity as
to the downbeat. Despite the metric irregularity of the passage, a waltz-like sense of a
distorted 3/4 emerges. The passage bears long, soaring melodic lines of a waltz, yet an
om-pah-pah accompaniment is absent, resulting in a failure of this passage as a token of
the waltz type. (I will explore the parametric hierarchy of the waltz type in greater detail
momentarily.)

Nonetheless, one cannot deny that this passage somehow “feels” like a waltz: the
distribution of weight towards the downbeats and the clear delineation of melody and
chordal accompaniment are intrinsic to the waltz type. Yet in the absence of the
distinctive om-pah-pah accompaniment of the waltz, combined with certain metric
irregularities, the passage falls short of a waltz token. It would be improper to label this
passage a waltz, yet it still correlates with the affect of the type. It signifies the general
through absence of the particular. Failed tokens therefore act as markedness at the level
of stylistic correlation by suggesting quite clearly what is absent. They cannot afford the
nuanced meaning facilitated through strategic markedness, but nor do they fail to evoke
associative meanings.

Given the metric irregularity and harmonic dissonance of the modernist style –
characteristics that in the Classical style are strategically marked – how can one speak of
marked tokens in the early twentieth century where such characteristics become the
norm? Whereas the modernist style is typically viewed as a “rupture” with the aesthetic
balance and regularity of the Classical and Romantic periods, early twentieth century
composers nonetheless suggest continuity with those periods by invoking those expectations through their continual evasion. If “unmarked” instances are necessary to interpret, in contrast, “marked” tokens, by what interpretive methodology can we approach the modern style where everything seems strategically marked by still active Classical expectations? In this dilemma, the distinction between stylistic and strategic markedness can serve the analyst well.26 Consider the case of Stravinsky’s “Royal March” from *L’histoire du Soldat* which begins with a 5/8 bar (Example 3.9). In his reading of the work, Walter Frisch concludes that “if this is not an ironic march – a march about marches, or a march in the second or third degree – then I do not know what one would be.”27 This blunt tone, quite prevalent in discussions of twentieth-century “topical” analysis, oversimplifies the complexity of Stravinsky’s ironic treatment of the march here. Nor does it allow the analyst to appreciate the appearances of unmarked tokens in Stravinsky’s style that might construct stylistic continuity, rather than rupture, with his musical antecedents. The integral characteristic of Stravinsky’s march theme essential to its identification as a march is the indisputable quality of the first beat of the 5/8 measure as a downbeat with the accompaniment clearly marking duple time. The listener perceives metrical distortion of the 2/4 only at the end of the 5/8 bar, where by an extra eighth note in the melody displaces the accompaniment to offbeats, thus providing two very clear beats of march texture – quite sufficient to get the two feet in motion.

Furthermore, duple time is reinstated in the following measure, albeit now with melody

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and accompaniment working in opposition rather than in sync, yet nonetheless pulsing out a very clear sense of march movement.

A sense of “normalcy” in this passage, here defined by the ear’s quick acceptance of this metrical glitch on the fifth eighth note, may be explained in terms of Elliot Woodruff’s theory of metrical phase shifts. Woodruff argues that certain passages of metric irregularity on the surface in Stravinsky’s music are guided by a single steady background meter operating in different “phases.” Passages shift between those phases when downbeats get displaced by extensions or elisions in surface patterns, but each of the phases is governed by the same unifying meter. The different features of the march texture may project onto different phase levels while continually reinforcing a sense of duple time. As Woodruff explains, “Irregularities arising by way of displacement [phase shift] are cohesively bound on a system of out-of-phase meters of the same time signature. This interpretation spares us from redefining meter, foregoing periodicity as an intrinsic quality, to accommodate the invention.”

In the case of Stravinsky’s march, the initial 5/8 bar displaces the duple time onto the second phase level by delaying the second downbeat by one eighth-note. This phase shift, initiated by the melodic line, transfers the role of the accompaniment from on-the-beat support to off-beat action. The cadence of the melody at rehearsal number 1 corrects this mistake with the same procedure using an extension in m. 9 to add an eighth note and enact another phase shift. At the downbeat of m. 10, accompaniment and melody have lined up again. However, this procedure actually places the music on the third level of

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29 Ibid., paragraph 8.1.
phase shift, rather than moving back up to the first. What is fascinating about the passage is that the trumpet entrance in m. 10 is further delayed by a quarter note. This trumpet entrance, when interpreted in a duple meter as a three-eighth note upbeat followed by a clear downbeat in m. 11, actually activates another phase shift to the fourth level. The opening phrase’s cadence, then, by a series of three downbeats over three eighth notes, rapidly moves through the second, third, and fourth phase levels. Because both the first and second phrases utilize phase shifting at their onset, “normaley” is accorded this pattern within the piece. Although the relationship between melody and accompaniment becomes distorted by the metric shift, this unusual treatment is limited to one parameter, leaving a fundamental melody plus accompaniment division, clear percussive articulations, and brass instrumentation to signal the march in other essential parametric categories.

To return to Carpenter’s reading of waltz in Schoenberg’s chamber music, it quickly becomes evident that we are armed with a far more critical and discerning lens. If we were to examine such diverse samples of the waltz as Chopin’s Waltz in F minor, Op. 70, no. 2 (Example 3.10), Saint-Saëns’ *Danse Macabre* (Example 3.11), and Stravinsky’s “Waltz” from *L’histoire du Soldat* (Example 3.12), a parametric hierarchy of the waltz might emerge that includes triple meter in a moderate tempo, clear differentiation between melody and accompaniment, and a distinct registral divide between the first and second beats in the accompaniment created by the low-middle-middle or om-pah-pah gesture. The list of parametric characteristics, as well as their hierarchical arrangement, is provided in Figures 3.5 and 3.6. At first glance, the motivic pattern of a quarter followed by four eighths may also seem like an essential parameter due to its appearance in all
three excerpts. But if I broaden my examples to include such tokens as Strauss’s “Dance of the Seven Veils” or Ravel’s La Valse, I observe other motivic patterns – or no predictable patterns – in the broader sample, and therefore accord these “frequent,” though non-essential, status.

Carpenter cites as examples of the waltz topic the passages from the First and Second String Quartets (Examples 3.13 and 3.14). The “waltz” that he observes at rehearsal B of Op. 7 in the “bridge” section is far from the unmediated, unambiguous identity that he assigns. Given the “essential characteristics” clarified above, the passage is rather unwaltz-like. It lacks the characteristic om-pah-pah accompaniment and parses into two parts doubled in octaves rather than a top-heavy melody-accompaniment texture. What we do hear is a fleeting reference to a second-level parametric characteristic in the motivic lilt in the first violin and cello beginning on the second beats. This gesture, particularly characteristic of Viennese waltzes, points to the topic, but alone is insufficient to actually invoke the topic. Now compare this weak association with that in the second movement of Op. 10 at m. 165. Here, the repeated notes on beats two and three in the second violin serve as the “pah pah” to the cello’s downbeat articulations. The first violin provides a second-level embellishment with fleeting appoggiatura gestures further emphasizing the second beat.

On the other hand, by invoking a waltz token in Op. 10, Schoenberg facilitates a strategic reading of this passage. This room for interpretation is most obviously manifest in the frequently discussed usage of the folk tune “Ach du lieber Augustin.” But we might also observe the troping that occurs in this passage between the dance token and the imitative (or learned) treatment of the folk melody. The antecedent phrase does not
complete before the viola begins with the consequent in m. 168, overlapping, and thereby distorting, the melody by one bar. The entrance sounds more like a canon on rather than a continuation from the antecedent. Additionally, as a token the Op. 10 waltz offers further opportunity to challenge the stylistic constraints of the type to effect stylistic growth. In m. 171, the accompanimental pattern of the waltz is inverted from a low-medium-medium registral disposition to a high-medium-medium iteration in the cello. This presents a striking challenge to a first level characteristic. Yet the waltz association remains in place, because the token is already effectively invoked. The challenge comes from within the type and therefore deepens the cognitive Gestalt of registral differentiation within the hierarchic network.

To encompass the waltzes in Op. 7 and Op. 10 under the same interpretive reading oversimplifies the strikingly different topical usages in these passages. Whereas one is an incomplete evocation, the other quite unequivocally presents a token of the waltz type. This model does not exclude the experience of the listener who hears a waltz in Op. 7 as Carpenter does. Rather, it allows the analyst a more discerning stylistic competency, assigning Op. 7 an associative relationship with the waltz without allowing the specific interpretation within the waltz topic as privileged in Op. 10. In effect, the distinction between stylistic and strategic markedness allows for a more critical evaluation of how the waltz is evoked and the strength of its token identification.

INTERLUDE INTO IRONY

What implications might this nuance of textural identification have for our actual interpretation of the waltz as a signifier? Irony in the music of Arnold Schoenberg often
serves as the focal point for analysts’ “subconscious” appropriation of topical readings. But just as analysts have overlooked the stylistic continuity of some topical types from the nineteenth to twentieth centuries, so too have they run a risk of misinterpreting the extra-musical associations of these tokens. The typical historiographic approach in twentieth-century repertory treats topics as inherently ironic by virtue of their mere appearance. This is the basis for Frisch’s reading of Schoenberg’s treatment of the waltz as a modernist or “historicizing” irony in which the composer “embed[s] older forms and techniques…in a sonic world of new tone colors, harmonies, and vocal practices.”

What is largely ignored in discussions of Schoenberg’s treatment of the waltz is the historical continuity of the texture’s usage. Contrary to Frisch’s characterization as an “older form,” the waltz was very much alive in popular, stage, and concert musical spheres. Indeed, as Jennifer Goltz and Adrienne Dickson have demonstrated in recent dissertations, Schoenberg was deeply involved in the development of cabaret theater in the early 1900s, and ample examples of waltzes abound in this repertory. Like Ratner’s late eighteenth-century topics, the waltz culturally existed as a musical “commonplace,” a topic heard both in and outside the concert hall, creating the background of Schoenberg’s contemporary musical soundscape. The mere presence of a waltz in Schoenberg’s concert music cannot in and of itself be interpreted as ironic.

An example of an “unmarked” waltz in Schoenberg’s style might be found in the “Serenade” from Pierrot Lunaire (Example 3.15). Frisch conceptualizes this passage in

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30 Frisch, “The Ironic German,” 230.
terms of imitation or quotation rather than one of a token and type relationship. He writes that the “waltz has the character of quotation without being one; or…it is a waltz in the second degree. It may evoke any number of Viennese waltzes from Lanner through Lehár, but we would be hard pressed to find a specific model.” In a textural reading, however, we need not account for this passage in terms of quotation. Rather, we can describe the topic’s subdued presence here within a stylistically appropriate degree of abstraction necessary to translate this popular dance genre into the post-tonal, instrumental idiom. All the essential elements of a waltz are present: triple meter, melody-accompaniment texture between the piano and cello, and an om-pah-pah registral distinction, though characteristically inverted as Schoenberg is so prone to do.

Certainly, these elements of the waltz are not presented as explicitly in the score as the examples from Chopin, Saint-Saëns, and even Stravinsky discussed earlier. This is evident in varying performance interpretations of the work. To convey this topic clearly in the first measure, the cellist and pianist must link their gestures, the cello presenting the “om” and second “pah,” the pianist offering the first “pah.” The topic is further clarified if both instruments maintain the same dynamic balance and the pianist performs the sixty-fourth note flourish as the anticipation of the second beat rather than a virtuosic flourish in and of itself. And above all, the opening does not invite the extent of rubato present in many performances of the work.

32 Walter Frisch, “The Ironic German,” 230.
33 Compare, for example, the rhythmic rubato and dynamic imbalance of Andrássy Mihály’s performance with the Budapest Chamber Orchestra with David Atherton’s more rhythmically true leadership with the London Sinfonietta in which the “om-pah-pah” gesture is clearly established in the first measure. Arnold Schoenberg, Pierrot Lunaire, Budapest Chamber Orchestra, Andrássy Mihály, HCD compact disc 11385-2; Arnold Schoenberg, Pierrot Lunaire, London Sinfonietta, David Atherton, London compact disc 425 626-2.
In the “Serenade” from *Pierrot lunaire*, although the token appears in an atonal context, the waltz is ultimately an unmarked token, presenting a successful challenge to the type to accommodate this stylistic idiom. Irony does exist, however, in the final movement, entitled “Waltz,” of Schoenberg’s Op. 23 Piano Pieces. Here form and content, or “meaning of the story told and the manner of telling it”\(^\text{34}\) are truly out of sync. The *inactivation* of the expected waltz topic creates a cognitive dissonance with the movement’s title, eliciting a contradiction between the expected structure (a waltz) and the piece’s actual content. Despite the fairly consistent use of 3/8 meter throughout the piece, only a hint of the om-pah-pah rhythm occurs in two places: first in m. 23 and 25 (Example 3.16), and again in m. 94 and 96 (Example 3.17). In both these passages, however, a melody is absent, and the gesture sounds like a vamping accompaniment, waiting for the waltz proper to get under way. These two passages, out of the movement’s total 112 measures, hardly seem sufficient to invoke a waltz topic consistent with the work’s title.

The topic is further diffused by the impotence of the melodic presentation at the opening. In m. 1 and 2 (Example 3.18) the score suggests a melody-accompaniment texture in the right hand: an eighth, followed by a dotted-eighth sixteenth rhythm with a large upwards ascending leap exhibit the slight melodic syncopation on the second beat characteristic of many waltz melodies. When we actually hear the passage though, the accompaniment fully distorts this profile almost beyond recognition: each chord is delayed by a sixteenth rest and renders the downbeat difficult to place. In the opening 25

\(^{34}\) Erich Heller’s definition of irony is quoted in Walter Frisch, *German Modernism* (Berkeley: University of California Press, 2005), 186.
measures, while the three main parameters of the waltz are all present, they fail to coincide at any given moment, as in the opening of the “Serenade” from Pierrot Lunaire or the Op. 10 String Quartet. With the parameters dispersed through the opening in this manner, the texture is insufficient to realize the waltz topic. Irony exists as the content promised by the work’s title is thoroughly denied from the listener.

The ironic effect of the movement is further enhanced when another topic, contrasting with the waltz, is introduced at m. 78 (Example 3.19, Figure 3.7). Here, following the climax in the preceding bars, out of the stasis achieved by the low E, a clear march topos emerges. The dotted rhythms, with chords articulated in the left hand, temporarily render the triple meter imperceptible and shift to a duple feel. The irony of Schoenberg’s waltz is not merely that his title and content are in discrepancy. Rather, irony is completed when he fails to fully realize the waltz topic, spreading the individual parametric attributes of the topic across the piece, without ever allowing them to fully coincide in a manner that would manifest the topic. In its place, the passage of greatest textural stability coalesces on a very different, though clearly recognizable, musical topic: a march.

The discussion above has assumed a certain stylistic stasis in the applicability of textural hierarchies forged in the eighteenth century and appearing in tact in the twentieth century. Continuity on the diachronic plane allows the analyst to interpret tokens in Mozart and Bartok, Chopin and Schoenberg in similar ways. But these instances are somewhat the exception. More often types experience continual development that arises from the demands of shifting cultural tastes and social circumstances. How can the
hierarchic model expand to account for stylistic growth? It is this issue to which I shall now turn in the next chapter.
CHAPTER 4
Stylistic Growth of Textural Types

In his book on meaning in Beethoven, Hatten argues that stylistic growth is an inherent and necessary part of his circular model of strategic interpretation and stylistic correlation, and therefore emergent meanings are inevitable. Stylistic competency involves multiple steps in which

the listener must attempt, and the theorist reconstruct, in pursuing aspects of that elusive totality known as musical understanding (or Verstehen):
1. Identification of the structural types that exist in the style and their correlation with expressive types (cultural units);
2. Identification of tokens in works, and their potential correlations as tokens of stylistic types;
3. Interpretation of the contextual relationship among tokens in terms of their strategic usage;
4. Generalization of those features insofar as they define new types;
5. Incorporation of some of the new types (and their correlations) in one’s stylistic competency for interpreting later works in the style (style growth), as opposed to those that remain piece-specific;
6. Speculation about how to interpret the unique features of a work that are not (as yet) generalizable.1

The model illustrates the complex relationships by which new meanings are dependent on the old, both as offshoots of established conventions as well as for framing material which stands as new or novel in contrast to the old. Chapter three focused exclusively on steps 1-3 of Hatten’s model by presuming a particular stasis or continuity of stylistic expectations, as exemplified by the still-active expectations of the Classical style in Bartok’s string quartet. In the examples explored from Bartok, Schoenberg, and

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1 Hatten, Musical Meaning in Beethoven, 32-33.
Stravinsky, tokens served to challenge established types by broadening the accessibility and adaptability of the type in the face of particular stylistic change in individual parameters such as pitch and rhythm. More often however, the signifiers, conceptualized in textures as the hierarchic network, do undergo change, often the result of challenges from within marked token appearances, other times in response to new social and cultural demands on signification.

In this chapter, I will explore in greater depth the process by which new types are added to the textural lexicon in the nineteenth century. My analyses in this chapter underscore the importance of the hierarchic network – the actual structure of the signifier – to decoding and interpreting its deployment. An approach that considers the emergent structure of the signifier moves against the scope of Saussure who tellingly avowed that the relationship between the signifier and signified was largely arbitrary. But it also challenges methodological conventions within topical research as well. Topic theorists in recent years have increasingly focused on the etymology of topics, following what Agawu describes as a “morphological continuity and a referential discontinuity” in the relationship between the nature of the signifier and the interpretations available to that sign. Monelle similarly claims that there is an inherent “noncontemporaneity of signifier and signified.” This approach, however, overlooks a critical component of topical signification in which the relationships between the characteristics features and weighted hierarchy directly shape the interpretations available.

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2 Agawu, *Playing with Signs*, 137.
Political cartoons provide a prime example in which the manner in which signifiers are “distilled” from the object can have profound meaning for its interpretation. Audiences readily recognize prominent political figures despite the caricature of their images, and at the same time these distortions are central to evaluating public opinion. The conventions for portraying former President George W. Bush include certain recurring tropes across artists including small or squinting eyes, a protruding chin, a wide, pointed, or hooked nose, and prominent ears. Each of these conventions not only facilitates a cultural code for depicting the president but also is intrinsically bound up in the actual meaning of the images: small eyes suggest inattention to complex issues and closed mindedness; big ears with ape-like resemblance suggest lower intelligence; prominent hereditary traits such as the distinctive nose and cleft chin underscore the privilege and entitlement in the Bush family political legacy. My intention here is not to stir up old political rifts in recent American history, but rather to demonstrate that the conventions of representation, though often unrealistic, have direct consequences for the interpretation of the object and perpetuation of certain beliefs and opinions, whether or not they are fair or accurate.

A central tenant of my methodology for interpreting conventional textural types posits that the morphology, or the basic structure, of the signifier (in this case the texture as exemplified by its hierarchic network), provides key information as to how the sign ought to be interpreted. Topical significations are informed less by the literal historical objects that Monelle researches, and instead rely on the conventional means by which those real world sounds, experiences, and ideas are abstracted and conventionally adapted to an art music performance space. It is in the shared cultural practice of adapting sonic signs to art music where interpretation and valuation can be uncovered.
The minuet can help to illustrate how this phenomenon played out in eighteenth-century instrumental music. Lowe describes how a decontextualization of the minuet as the Baroque dance translates into the late eighteenth-century symphonic context where “the musical material of the Classic minuet is in essence a ‘classicized’ rendition of the Baroque dance, the Baroque minuet and the Classic minuet differ markedly in affect. The Baroque dance is lively and gay, the Classic dance is stately and quite serious.”4 This “distancing” from literal and embodied experience in the late seventeenth century at the court of Louis XIV to late eighteenth-century symphonic performances at the court of Esterházy has profound consequences for both the development of textural and topical lexicons with associative, semiotic potential. Monelle’s study of the hunt also demonstrates how literal study of sonic origins of topics does not necessarily help explain how they function in an instrumental context. His investigation of the hunt reveals a rich collection of horn calls used in the field for various stages in pursuit of quarry, and reveals certain variations of style along national identities. But how exactly we are to link this rich history of field uses of horn calls with their evocation in the concert hall is not clear. Topics are not quotations of these distinct calls, but abstractions, profiles, incomplete recollections. And it is exactly in this distortion, rather than a literal or prototypical link, that meaning is formed. Topical signification resides in the morphology, rather than etymology, of the signifier.5

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5 This notion of a morphology of topic is borrowed from Agawu, who suggests that “the more positivistically oriented analysist may wish to pursue the morphology of individual topics, arriving at a summary structural rhythm mirroring the flow of a work, but not tied to a single dimension.” Playing with Signs, 34.
Textural analysis therefore provides an exhaustive methodology to study the refinements of a topic’s meaning as the parametric hierarchy challenges the analyst to identify the conventional means by which the sign decontextualizes and abstracts that signified into an art music genre. Kofi Agawu hints at this challenge when he asks, “How, for example, is it possible to hear an Italian aria in a string quartet – especially when the latter uses no words?” We might ask not only what “minimum conditions” are necessary to denote the sonic event (as explored in chapter three), but also those particular features shape the connotations of the texture. Dance topics in the Classical period, for example, unlike their generic predecessors in the Baroque dance suite, no longer directly embody the movement of a particular dance. Rather, the notion of a “topic” involves removing the sonic item from its utilitarian contexts and characteristics and undergoing a transformative process to accommodate instrumental genres and forms. In this chapter, I will explore how the textural lexicon of the late eighteenth century continued to grow in the nineteenth century by means of several expansive procedures. First, composers often forged new meanings by invoking multiple textures at once to combine their correlative associations, a procedure that I will align with troping. Second, growth by subtype, I shall demonstrate, enables a composer to draw on a preexisting correlation while attaching such meaning to a new cultural, historical, or demographic context. Finally, textures may emerge as entirely new types, allowing us to review the importance of parametric hierarchies when interpreting particularly volatile textures that

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Agawu also poses this question, though his answer presents a semiotic framework between competence assumed of the listener and conventional associations of the sign. My approach will differ from that of Agawu in that I will employ a more thorough deconstruction of the lexical titles of topics, whereas Agawu takes such names at face value. See Agawu, *Playing with Signs*, 33.
support problematic cultural view and attitudes. I will explore each of these types of emergent meanings below. In some instances, old textures fall out of fashion or new ones are introduced.

**TROPING**

There are circumstances in which several textural types may be merged in such a way so as to form meaning from the distinct tensions that arise in the comingling of their essential parametric characteristics. This process is analogous to what Hatten calls troping, or “the bringing together of two otherwise incompatible style types in a single location to produce a unique expressive meaning from their collision or fusion.”

Hatten’s theory of troping has evolved somewhat over the decade between his initial work on the subject and his more inclusive study in *Interpreting Musical Gestures, Topics, and Tropes* (2004). In an earlier essay from 1995, Hatten lays out several explicit conditions for troping:

1. The trope must emerge from a *clear juxtaposition of contradictory, or previously unrelated, types*.
2. The trope must arise from a *single functional location or process*.
3. There must be *evidence from a higher level* (for example, Grabócz’s isotopies) to support a tropological interpretation, as opposed to interpretations of contrast, or dramatic opposition of characters.

Several questions remained unanswered with this model however. The distinction between contrast versus contradiction remains unclear. Moreover, the criterion for an overarching interpretive guide seems to limit severely the applicability of troping. These

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8 Hatten, *Interpreting Musical Gestures, Topics, and Tropes*, 68.
higher level isotopies evolve in Hatten’s theory into expressive genres, but there is considerable limitation to his narrative types (tragic to transcendent, tragic to triumphant, etc.) once composers engage increasingly complex narrative programs in the wake of Beethoven’s influence.¹⁰

In his treatment of the subject in his 2004 monograph, Hatten himself seems to have softened his stance on the theoretical conditions of troping. He allows in this later definition for “topical troping [to] occur…at the thematic level and at the level of genre.”¹¹ Furthermore, his study contains provocative musical examples to demonstrate ostensibly the distinction between contrast and contradiction. Hatten is at pains to distinguish instances of thematic integration of contrasting characters – a case that would not constitute troping – from passages that sustain a genuinely unresolved “dualism” between competing characters. Yet still this distinction between integration and dualism remains unclear and undertheorized. Too often, Hatten’s leaves his descriptive exegesis of musical excerpts to speak for themselves as to how they exemplify the theory without directing the reader toward the specific application of the theory in the example.

Troping, I would argue, is largely a generative device that proposes new textures through careful and creative integration of multiple textural hierarchies. Thus, troping engages markedness at the level of style through unique dialogue or correlative, rather than strategic, meanings. Compositional and cognitive challenges arise from the need to present two textural types such that both are recognized while still creating some sort of

¹¹ Hatten, Interpreting Musical Gestures, Topics, and Tropes, 69. Hatten’s extensive references to his own work in the 2004 monograph strikingly omit the 1995 essay on metaphor and troping from his bibliography!
tension by their temporal overlay or proximity. Textural hierarchies can help illustrate the actual mechanism of the distinction between contrast versus contradiction necessary for troping. Adapting Hatten’s later flexibility to troping, I would argue that a textural approach to troping allows for three distinct theoretical paradigms:

1. Troping arises from a conflict between form (or programmatic title) and expected content, as in Hatten’s earlier, more conservative definition of the concept.
2. Troping arises by merging distinct textural hierarchies to form new, highly saturated textures that sustain both identities. These textures may incorporate topics in either a cleverly synthesized fashion or in a discordant layering of types. The degree of synthesis depends on the extent to which the two textural hierarchies may serve as complements to each other.
3. Troping arises from a direct, rapid temporal succession, rather than simultaneity, of two types in which a synthesis of the hierarchies is not forged. The resulting texture is governed by an added hierarchical level of alternation between the distinct textural types left in tact.

I will explore each of these categories below as means for generating both new textural types and associative meanings within the textural lexicon.

The first category of troping builds on analytic insight derived from Lowe’s lengthy study of ironic treatments of the minuet in Haydn’s symphonies. Lowe describes a technique of “bracketing,” whereby an unexpected topic appears in contrast to the topical expectations suggested by the title of the work.\(^\text{12}\) In the modernist repertory, this technique already appeared in the discussion from chapter three of Schoenberg’s *Five Piano Pieces*, Op. 23, in which the token promised by the waltz title failed to appear, while a march, operating against the predominant meter of the work, emerged as the clearest topical texture in the movement. The march constitutes a “single functional location” that stands in metric tension to its surrounding material, while the overarching

\(^{12}\) Lowe, “Falling from Grace,” 180-182.
title of the work provides a higher level of topical expectation that the local event contradicts. As an example of irony, the textural mechanism here fulfills what Hatten describes as “a higher-order trope inaugurated by the contradiction between what is claimed (or observed, or done), and a context that cannot support its reality (or appropriateness).”¹³

Lowe explores this issue extensively in Haydn. In one such example, Lowe identifies the learned style that emerges in the minuet movement of Symphony No. 23 in G Major. The imitative texture does not interfere with the 3/4 meter expected, and the rhythmic profile and simple subdivisions help to reinforce the deliberate pacing of the dance.¹⁴ Although the imitative texture presents a strong challenge to the essential homophonic balance of the minuet texture, Haydn negotiates the imitation to support other essential features of the minuet texture. A critical difference emerges between Lowe’s reading of Haydn and mine of Schoenberg in the compatibility of the actual textures manifest and those suggested by the title. Haydn’s embedding of learned style within the minuet here is a particularly ingenious accommodation of two textures whose essential characteristics rub elbows, but do not flat out contradict each other. While the minuet is not established on the level of strategic interpretation (the lack of a clear melody plus accompaniment division is unsettling), in Lowe’s evaluation the passage does invoke the minuet at the level of stylistic correlation, inviting associations of the aristocratic and ecclesiastic high styles to mingle.¹⁵ Schoenberg, on the other hand, in Op.

¹⁵ This merging of stylistic correlation, rather than strategic interpretation, can also accommodate Lowe’s conclusions about the passage, where marked meaning emerges through the *stylistic* incompatibility of the galant and learned styles. “Underlying this combination is the long-standing conflict between dance music and sacred music. In this case, the steadfast audibility of the canon questions the dance, while its situation
23 makes no illusions to reconcile and accommodate the two textures. The march that appears at m. 77 contradicts the implied topic of the piece with a texture that operates counter to the predominant meter of the piece. Metrical prescriptions are essential to the identity of both the waltz and the march, thus the trope in Schoenberg where a march appears in the midst of a work titled a waltz suggests a greater degree of dissonance, or at least distance, between the expected and given parametric hierarchies.

Troping of title with unexpected content creates a sense of irony while largely freeing the composer of the difficulty to facilitate the cognitive recognition of two simultaneous signifiers. More common (and compositionally interesting), however, are tropes in which musical passages manage to simultaneously maintain and present two distinct textural types. Such instances occur in two manners. First, a composer may opt to merge two textures that share some degree of parametric overlap of essential characteristics, such as two dance types that exhibit the same meter. A composer might also blend textural types where an essential parametric category, such as articulation or dynamics, for one type is not essential in the other parametric hierarchy. By the same logic, a trope of the pastoral with a fanfare would be quite difficult due to contrasting characterizations in the domain of dynamics: the pastoral tends to be subdued while fanfares are loud and impressive. Tropes that manage to negotiate two distinct parametric hierarchies therefore often feature a loosening of parameters in both types in order to accommodate each other. This loosening results in incomplete or “failed” tokens of both types. Once again, the meaning invoked by the trope can only engage correlations of the

within a dance questions the canon. In other words, the integrity of both the galant and learned elements is affectively jeopardized.” “Falling from Grace,” 193.
type or associative meanings, rather than specifically nuanced strategic interpretations. One can image the effect of two people talking at once – the listener will probably catch the gist of both speakers (the correlation), but not the nuance of either utterance (strategic interpretation).

Many of Hatten’s examples of troping fall into this category, and identifications of either type may be quite weak given the paucity of essential characteristics necessary to accommodate the cohabitation of both types. Hatten finds a number of instances of largely incompatible types coexisting within a trope, such as a waltz with elements of fanfare (Example 4.2). The fanfare sacrifices its duple meter and homorhythmic features, while the triplets in diatonic ascending arpeggios challenges the expected rhythmic and melodic profile of the waltz. Both textures have yielded at the level of essential features to manifest the trope. Thus, the trope arises through a loose stylistic correlation that plays on the incomplete appearances of either constituent texture.

Where loose accommodation of each type becomes challenging, composers may also opt for a more forceful layering of contradicting types. In this instance, neither type cedes its essential features – instead, the composer will often present both textures simultaneously in their complete form in the trope. Although both textures are equally manifest in the trope, the presence of the competing texture likely distorts the individual identities. This is the case in Hatten’s identification of troping of the pilgrim’s procession with the polka in Bruckner’s Symphony No. 4 in E-flat Major (Example 4.3). Here, one could eliminate voices participating either in the polka or the chorale and be left with the other token in tact. But by virtue of their simultaneity, the polka presents a challenge to the homorhythmic, chordal succession of the chorale while the lively tempo and brisk
articulations of the polka seem weighted down by the sustained chords of the chorale. Despite their seeming coexistence, each type nonetheless loses its autonomy. Stravinsky also exploits this particular procedure of troping quite strikingly in *Petrushka* (Example 4.4) with the simultaneity of both organ grinder and music box textures at m. 148, later joined by the crowd texture as well at m. 153. Each element is introduced separately earlier in the score, thus strengthening the recognizability of each texture within the trope. Although in this passage each texture is presented in its entirety, the unique temporal juxtaposition creates a distinct spatial correlation to the staging of the crowds in the ballet. The result is cacophonous and disorganized, despite the very clear presence of the essential characteristics for all three textures.

A third type of troping involves the rapid, temporal alternation of distinct textural types. Through brevity of statements (each token often appears for only a measure or two) and repeating pattern of alternation between the two distinct textural hierarchies, it becomes evident that such passages are governed by a higher order aggregate of two distinct types, rather than identifying each token as a distinct appearance alone (illustrated in Figure 4.1). Hatten identifies this kind of troping in Mahler’s Symphony No. 6 in A minor, second movement (Example 4.5), where one bar of a march topic in 4/8 is immediately followed by one bar of a *Ländler* topic in 3/8, before the pattern repeats once again. As Hatten explains, such instances of troping arise from “a successive rather than simultaneous fusion of topics.”

This procedure for troping is more common in the later nineteenth century as composers become more willing to alternate written meters, though Hatten does observe an earlier example of this kind of troping in the third

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movement of Mozart’s *Linz* Symphony whereby the minuet gives way to a march through a hemiola effect.

Schoenberg’s penchant for juxtaposing waltz and march topics not only relies on the troping of title and content as exemplified in the Op. 2, but also incorporates the troping technique of alternation. In the “March” from *Serenade*, Op. 24, Schoenberg presents march and waltz topics in immediate and direct alternation. Although Frisch observes a certain “full-textured context that has distinctly marchlike features,”17 the reader is left to scavenge the surrounding paragraphs for what those textural features might be.18 Frisch primarily attributes this reading to the behavior of the bass line, but the reading may be strengthened by observing the parametric hierarchy that serves to reinforce the waltz and march identities.19 The inner voices of the accompaniment in the mandolin, guitar, and viola notably alternate roles as the eighth notes that subdivide the second beat of the march and the mid-register punctuations that form the “pah-pah” of the waltz accompaniment. Schoenberg reshapes the melody as well to follow this scheme of alternation, shifting between the conjunct and clipped movement of the march passage to the striving, Viennese leap on the third beat (preceded by a sixteenth-note anticipation) in the waltz. The articulations of each token are meticulously notated, separating the two types by accents and staccatos reserved for the march, and sforzandos, martelés, and tenutos appearing with the waltz. Contrary to the “identity crisis”20 that Frisch reads, Schoenberg meticulously manifests both tokens in the troping strategy of alternation. He

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17 Frisch, “The Ironic German,” 235.  
18 Ibid., 235.  
19 Frisch describes the bass line as “fail[ing] to adhere to the metrical grid of 2/2. In fact, Schoenberg sets up a pattern of five beats parsing as 2 +3, 3 + 2, 2 + 3.” Ibid., 235.  
20 Ibid., 235.
opts not to cede essential features of either type, but rather to sustain both in a newly synthesized texture governed under the third troping principle of alternation.

**TOPICAL GROWTH BY SUBSET**

Among Hatten’s hypothetical models for stylistic growth and emergent meaning is that of growth by subset, in which a marked token (or tokens) of a type becomes more commonplace through increased usage, thus passing into unmarkedness as it establishes a new, normative type (Figure 4.2). The meaning that emerges from such subsets may likewise be a subset of the parent type’s meaning, but the new type may also occupy a wholly new meaning. Although Hatten’s models are speculative, exploring the extremes of his Peircean reading of style, a textural approach can provide concrete backing for these diagrams. In a textural reading of this model, subsets form when characteristics occupying lower levels of the hierarchy are elevated to essential status (Figure 4.3). This process was already indicated in Schoenberg’s unique realizations of the waltz topic where he inverts the om-pah-pah registral profile. In this instance, the waltz topic is left in tact, but within Schoenberg’s idiomatic typical expression, this registral inversion is elevated to an essential characteristic. Nonetheless, in Schoenberg’s idiomatic expression the meaning of the waltz has not necessarily changed. Specific meaning does form in the emergence of the Viennese waltz subtype in which a slightly delayed beat as well as characteristic motives are elevated to essential parameters. In other words, in order to identify the Viennese waltz not only must the essential parameters of the waltz be evident, but additional characteristics that contribute to this subtype must also be present.

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Thus, the Viennese waltz occupies a more narrowly defined texture, while this signifier invites more particular geographic and cultural correlations. In both of these instances, although subtypes occupy new criteria and perhaps form new meanings, they are unable to “escape from [the] original type categorization and become independent of any implied subordination of the original type.

Topical growth by subset presents a new perspective on certain established, though problematic, signifiers of the nineteenth century, namely orientalism. By approaching orientalism as a textural topic engaged in the circular model of stylistic growth and strategic articulations, a more nuanced understanding of this signifier’s contribution to the perpetuation of certain cultural stereotypes may be established. The “Oriental,” conceived of as a Middle Eastern, feminine, and sensual “Other” in French and Russian music, has all but in name been addressed as a musical topic in scholarship. Taruskin identifies the key characteristics of Russian musical orientalism as chromatic motion between scale degrees six and five, descending chromatic lines, rhythmic undulation around a particular tone, and use of the augmented second. More elaborately, Susan McClary sees Bizet’s musical exoticisms in Carmen’s ability to wield a variety of musical discourses: she resists being tied down to unitary identity. Her principal musical motif…is made up of the illicit augmented-second interval that had long been the musical sign for the Jew, the Arab, the all-purpose racial Other; this is the motif that is finally forcibly expunged by the final triad of the opera.

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22 Such correlation associated with the Viennese waltz is clearly demonstrated in Carl Schorske’s reading where “the waltz, long the symbol of gay Vienna became in [Ravel’s] hands a frantic danse macabre… His grotesque memorial serves as a symbolic introduction to a problem of history: the relationship of politics and the psyche in fin-de-siècle Vienna.” Fin-de-siècle Vienna: Politics and Culture (New York: Vintage Books, 1981), 3.

23 Beethoven, Musical Meaning in Beethoven, 263.


25 Susan McClary, Feminine Endings (Minneapolis: University of Minnesota Press, 1991), 64.
Yet both scholars limit their readings of the Middle Eastern Other to primarily mono-parametric profiles that pertain to specifications of pitch behavior. This narrow reading, particularly one based on such a simple dichotomy as consonance and dissonance, creates, especially for McClary’s critics, “a kind of methodological gap” that arises “between remonstration and practice: we are continually *told* of the historical contingency of these codes, but we are never *shown* how they have arisen or how McClary has arrived at her readings of them.”

Ruth A. Solie further adds that to read chromaticism as ‘feminine’ is a cliché of such durability as to be hardly worth a raised eyebrow at this late date. But not every case McClary makes is so clear: it’s news to me that the sixth scale degree is described as ‘feminine’ and the fifth as ‘masculine,’… and I would like to know the sources of this attribution.

The problematic issue of cliché, versus careful readings guided by the interpretive dialectic of stylistic correlation and strategic interpretation, is a critical issue in analytic approaches to such musical features.

The pitched features of orientalism would seem to point to a certain mimetic response to adaptive incorporations of Middle Eastern “sound” into Western music idioms. The chromatic elements that Taruskin describes, as well as certain timbres such as the English horn, are mimetic reinterpretations of a Middle Eastern “sound” through the lens of Western composers and concert-goers. But in its mimesis, it is still unclear how these clichéd adaptations of new musical cultures translates into the culturally encoded stereotypes of gendered and racial Others. To this end, the analyst must explore the particular musical techniques with which the Middle Eastern sound is abstracted and

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27 Ibid., 576ff.
decontextualized from its real origins for Western listeners. Closer examination of several well known tokens of orientalism reveals a process not of forcible integration of foreign elements into a Western musical idiom, but rather a “piggy-backing,” or an infusion of particular marked features into established signs that form an emergent, autonomous subset.

One of the earliest examples of the Russian orientalist topic may be found in the third movement of the “Oriental Dances” from Glinka’s *Ruslan and Lyudmila*. The first two dances of the divertissement, marked “Persian” and “Arabic” dances respectively, exhibit topical references to the gigue and waltz. But aside from the programmatic information that marks these dances as Middle Eastern, there are no further indicators that these common musical signifiers of Western galant style are notable. The third dance, however, marked “Lesginka,” emerges in striking contrast (Example 4.7). Unlike the Persians and Arabs who occupied political entities distinct from the Russian empire, the lesginka was attributed to the ethnic Islamic tribes of the Northern Caucuses, an internal Other as the Russian empire expanded its boundaries into the region throughout the nineteenth century. In addition to this linguistic marking, the dance also bears notable music features that diverge from the first two dances. As Taruskin would observe, the passage exhibits undulation around the pitch d, an augmented second between 6 and 7, chromatic motion between 6 and 5, and a striking chromatic descent in the consequent phrase. But the analyst might also look beyond the melodic profile to note several important features of the rich orchestral scoring and vibrant accompaniment. The passage features duple meter, clear melody-plus-accompaniment orchestration, energizing offbeats in the inner voices, and syncopations. This closer analysis reveals that the
passage more broadly resembles the European contredanse, adopted in late eighteenth-century operatic and instrumental genres of art music to represent the urban lower classes.

Wye Allanbrook identifies key features of the contredanse to include simple or compound duple meters lacking melodic or rhythmic complexity faster than a sixteenth note, a “doodling” quality in the melody, and continuous rhythmic action in the melody consisting of several characteristic and often syncopated motives (Figure 4.4). The (in)famous contredanse from “Se vuol ballare” in Mozart’s Le Nozze di Figaro exhibits a richly scored accompanimental texture of continuous eighth notes with off-beat punctuations in the second violin articulations and vibrant play in the first violin’s rapid ornamented figures (Example 4.8). Similarly, the orchestration of the contredanse in the fourth movement of Mozart’s Quintet in E-flat major, K. 614, points to an accompanimental complexity that betrays the relative simplicity of meter and affect in the contredanse (Example 4.9). Certainly not all contredanses, especially those composed for the public dance hall, exhibited this type of instrumentation. But in its transference from utilitarian use in the dance hall to its adaptation (and decontextualization) in instrumental music, the rich accompanimental figures of the contredanse provide an essential complement to the superficial simplicity of the texture’s melodic profile.

The lesginka of Ruslan and Lyudmila, then, is a richly scored contredanse strategically marked by those elements of Middle Eastern exoticism that Taruskin identifies. While the third dance follows suit of the first two by portraying “oriental”

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28 Allanbrook, Rhythmic Gesture in Mozart, 55-57.
29 Ibid., 79-82.
people in Western dance types, the peoples of the Northern Caucuses are distinctively marked in a way the people of the “Arabian” and “Persian” dances are not. Whereas the contredanse for the Western European aristocracy represents a certain “internal other” in the urban, rowdy middle and lower classes (epitomized in Figaro’s “Se vuol ballare”), a similar anxiety is projected by the cosmopolitan upper classes of Moscow and St. Petersburg onto the rural, Islamic, newly acquired subjects in the Northern Caucuses.\(^{30}\) Francis Maes describes this branch of orientalism as a “Dionysian intoxication,” yet one need not look back to myths from antiquity to identify the prototype for such attitudes.\(^{31}\)

Looking west to European cultural and musical exemplars, Russian composers adapted a musical trope for a moral evaluation of the urban lower class and simply substituted Russia’s own internal others – delineated by different religious and ethnic profiles from the aristocratic ruling elite – of the Russian empire. The strategic markedness of “oriental” musical features relies on the constancy of the stylistic correlation to map its associative properties onto an emerging cultural Other. Moral decay is transferred from a Western European evaluation of the urban poor to a Russian, metropolitan assessment of newly acquired rural and Muslim territories.

From Glinka’s example, the marked contredanse infused with elements mimetic of Middle Eastern music emerges as an independent type through such diverse tokens

\(^{30}\) Allanbrook describes Figaro’s threatening use of the minuet-contredanse structure of the *da capo* aria to lure the Count into his world: “In the salons of the Count’s ancien régime, however, the minuet stood alone, a dignified couple-dance performed by practiced dancers; the Count would be unlikely to join the throng dancing the relatively rowdy contredanse. Figaro in his vivid imaginings of revenge has transported the Count into an alien social setting, with rules of behavior appropriate to the more ‘democratized’ city life Figaro must have led before coming to the aristocratic seclusion of Count Almaviva’s castyle; he has lured his victim onto his own turf. Figaro then uses the contredanse to move in for the attack.” *Rhythmic Gesture in Mozart*, 81.

throughout the nineteenth and early twentieth centuries as the “Bacchanale” from Saint-Saëns *Samson et Dalilah* to the “Dance of the Seven Veils” in Strauss’s *Salome* (Examples 4.10 and 4.11). Both examples exhibit rapid duple meter, distinctive accompaniment with special emphasis on offbeats, and playful melodies of simple motivic content. Furthermore, each example also features augmented seconds, double-reed timbres, and added syncopations on the second eighth note. While Glinka’s example alone may seem like an aberrant contredanse, subsequent repetitions of the token elevate these second-level features to essential characteristics of a wholly new topic.

A second branch of the oriental topic may be linked to the pastoral, well illustrated in Rimsky-Korsakov’s “Antar” Symphony (Example 4.12). The work’s program describes the appearance of the fairy queen, in the guise of a gazelle, appearing at the *Allegro giocoso* at m. 41. Triple time, sustained pedal tones on a $\frac{1}{4}$ in the French horns and violins, harmonic stasis an E dominant in the harps, and a rocking melodic profile all contribute to an evocation of the familiar pastoral topic. But several new characteristics in this passage mark this token. The melody exhibits an arabesque profile undulating around augmented seconds with syncopations on second beats resemblance to those that features that initially marked the exotic contredanse subtype in Glinka. This marked pastoral should not come as a surprise. Monelle observes that although the pastoral had its roots in the idea of Arcadia, or a lost paradise that promised escape from the modern world, in the nineteenth century the image developed into a more sinister, seductive, and primal world to be admired from afar and viewed with caution.  

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This type of the exotic pastoral is further featured in Tchaikovsky’s “Arabian Dance” from the Nutcracker (Example 4.13). The passage is a dynamically subdued 3/8. Pedal points on g and d appear in the lower strings and in the clarinets beginning in m. 13. The woodwind trio in mm. 5-12 features rocking oscillation between two sonorities, while the melodic profile in mm. 13-20 presents a melody ascending and descending through a third, scored in thirds. All of the essential features of the pastoral are present, as well as a number of frequently appearing characteristics and stylistically particular embellishments. In addition, the elaborate quintuplet oscillations, English horn timbre, augmented second between e♭ and f♯ (m.18), and light syncopations through the unusual articulations in the lower strings and in the melody in mm. 7, 11, 14, 16, and 18 all point to the subtype of the exotic pastoral.

While scholars have gone to great lengths to describe musical orientalism, no one, to my knowledge, has viewed it as a musical topic descendent from well-established eighteenth-century types. Yet this reading of orientalism’s signification on established patterns of correlation illustrates how such passages do not exclusively reflect cultural ideas, but may also help to create and disseminate attitudes toward non-Western Others. It should not be surprising that the oriental would be couched in the pastoral and the

33 Stuart Campbell does distinguish between the two different characters of the oriental in his discussion of Balakirev’s treatment and contrasts a “langourous” type with an “ecstatic one,” mimicking the instrumental, tempo, and rhythmic differences identified above. Francis Maes similarly contrasts a “Dionysian intoxication” consisting of “obsessive rhythms, note repetitions, climactic effects, and accelerating tempi” with a “hedonistic sensuality” in which “the rhythm is unpredictable,” “the texture combines pedal harmonies with chromatic movement,” and the instrumentation includes “sonorities [with] languorous, sensual association…with the English horn given pride of place.” Despite these multivalent, largely textural readings, neither of these writers draw a direct connection to the Western European exemplars of the contredanse and pastoral textures on which Russian composers developed these branches of the pastoral. See Stuart Campbell, “Balakirev, Mily Alekseyevich,” The New Grove Dictionary, ed. Stanley Sadie, 2nd Ed, vol.2 (New York: Macmillan Publishers Limited, 2001), 514; Maes, A History of Russian Music, 82.
contredanse. Ralph P. Locke has argued that musical depictions of the Middle East are two-sided: on the one hand, there is the familiar characterization of the East as diabolical, threatening, and barbarous. On the other hand, the Middle East in the nineteenth century also stood as the antithesis to the “‘enervating, corruptive, brutalizing’ world of urban Europe,” as Locke quotes Flaubert.34 This depiction of the Middle East, Locke argues, is a “sentimental-pastoral ideal.” It is not so much the pitch characteristics – the augmented seconds, arabesque melodies, syncopations, etc. – that construct a moral reading of the Middle East. Rather, by couching these mimetic devices of Middle Eastern “sound” in pre-established categories of Western desire, debasement, and internal Otherness (from the perspective of the aristocrat), eastern European, urban composers affectively encode the culture and peoples of the Middle East and related Islamic cultures. Although the signification exhibits a complex relationship to both musical and social reality, the transfigured usage of the established pastoral and contredanse types points to the essential role the morphology of a topic can play in its meaning. Indeed, the “recycling” of pre-established semantic categories reflects a highly economic, if not problematic, method of meeting new cultural needs within the demands of stylistic growth.

To commit orientalism to a textural type, to induct it into the nineteenth-century topical lexicon, may not yet seem a productive distinction to reinvigorate an existing debate. It might even point to the kind of scholarly “safari” that Andrew Head criticizes. He argues that constructing such taxonomies constitutes a further imperialist attitude in the attempt to “domesticate” or subjugate the musical material.35 His position legitimately

criticizes a tendency in research into musical exoticism to simply label passages as “Other,” and in effect reinforce certain stereotypes by pointing out difference. Yet positing orientalism as a type, which in turn initiates the circular model of stylistic correlation and strategic interpretation, allows for a more nuanced discussion of how signification operates. This is the case in Balakirev’s “Tamara” Symphony. Stuart Campbell argues that in works such as “Tamara” Balakirev codified the Russian orientalist style, the evocation of the exotic East occurs in a fundamentally different manner from those tokens explored above. The symphony exhibits the pitch features of orientalism, but nowhere do these characteristics converge with other parametric features of the oriental topic’s textural hierarchy, including its pastoral or contredanse framework. Instead, evidence of such Western topics as the saltarello (mm. 108) and the hunt (mm.220-227, 268-277) firmly posit the work within the subjectivity of the fated (perhaps Italian?) traveler. Unlike the “Antar” Symphony, where the exotic Other is clearly given a voice and character appearance, Balakirev merely infuses the “Tamara” Symphony with fleeting elements of the orientalist type, in effect evoking its stylistic correlation to non-Western others, but not inviting the kind of nuanced meaning that strategic interpretation allows in marked tokens. Like the incomplete evocations of the waltz in certain works by Schoenberg, these passages in “Tamara” evoke the oriental at the most clichéd level of stylistic correlation. The oriental here is not envoiced in the way that Rimsky-Korsakov’s fairy queen or event Tchaikovsky’s Arabian dancer are. In this work, therefore, we are quite conscious of the (Western) subjectivity through which the East is viewed.

36 Campbell, “Balakirev, Mily Alekseyevich,” 514.
This more critical analytic and semiotic approach may move us toward what postcolonial theorist Homi Bhabha calls a “shift [away] from the identification of images as positive or negative, to an understanding of the processes of subjectification made possible (and plausible) through stereotypical discourse.” Bhabha argues that Western identity is frequently founded on what it isn’t; cultural stereotypes serve to distinguish the subject from supposedly inferior Others. But because difference is only established through stereotypes, there lies a certain insecurity with the premise. “It is the force of ambivalence that gives the colonial stereotype its currency; ensures its repeatability in changing historical and discursive conjectures; informs its strategies of individuation and marginalization; produces that effect of probabilistic truth and predictability which, for the stereotype, must always be in excess of what can be empirically or logically construed.”

Understanding the emergence of musical signification of orientalism as a textural process enables the analyst to uncover the preexisting stereotypes and myths upon which this new difference is posited – that of both class difference in the contredanse and idealized difference in Arcadia. The distinction between orientalism signifying at the level of type or token further allows a complexity in the perpetuation of a stereotype as pre-established types form subsets, leading to a repetition of the general correlation of cultural superiority but applied to new contexts in the particular. Without a notion of topic, any one of the pitch characteristics Taruskin identifies may be “sighted” in a musical text and labeled as oriental. But again, these act as incomplete topics, leading to the “safari” and typology that Head criticizes. Instead, we might consider the

37 Homi Bhabha, *The Location of Culture* (London: Routledge, 1994), 95.
38 Ibid., 95.
mechanisms by which the oriental is evoked in strategic uses, where critical discourse about the type might be possible through markedness.

EMERGENT TOPICS

There are instances in which topics may emerge in wholly new form, as the needs of nineteenth century signification exceed the late eighteenth-century topical lexicon. One of the most misunderstood musical signs emerges in scholarly treatment of the whole tone and octatonic scales. Similar to the case of orientalist characteristics, non-Western scales have typically been treated analytically as interpretively rich and particular signs. Allan Forte succinctly concludes:

It seems clear – to me, at least – that the octatonic in Debussy’s music always connotes the sublime, the exalted, in contrast to the whole-tone scale, which represents the indeterminate, and in opposition to the diatonic, which always seems to be a means of expressing the world of the immediate and pictoral.39

Forte’s conclusion is remarkable, for it comes at the end of an extensive taxonomy of octatonic procedures in Debussy’s oeuvre but with little attention to the collection’s semantic properties. This self-assured conclusion immediately follows more substantiated claims of the octatonic’s formal positioning within Debussy’s works at beginnings, transitions, climaxes, and ends (indeed, the only positions excluded from octatonic appearances would seem to be “extensional or developmental functions or appended to basic formal units”40). Yet this formal evidence provides little explanation for the conclusions Forte draws about the collection’s properties of signification.

40 Ibid., 153.
Forte follows a scholarly tradition that may be traced to Taruskin’s work in Russian opera on the origins of non-tonal scales. Observing Glinka’s use of the whole-tone scale in *Ruslan and Lyudmila*, Taruskin argues that in Russian operas and symphonic works, these scales are frequently associated with depictions of a supernatural “other” by

differentiating the human and fantastic worlds by contrast between diatonic and chromatic harmony, the chromatic/fantastic being in the third related kind (whole-tone or octatonic) to play off against the fifth relations of the human music.\(^{41}\)

Like Hatten’s categories of stylistic correlation in which marked oppositions of minor/major map onto tragic/non-tragic, Forte and Taruskin offer a similar dichotomy in which tonal/non-tonal (where non-tonal is marked) map onto such binaries as Self/Other, West/East, white/non-white, real/supernatural. But as an interpretive strategy, this approach is severely limited, for it only operates at the generalized level of stylistic correlation and does not seem to offer much suggestion for strategic deployments of the type. And whereas the general mappings of major/minor onto happy/sad merely seem trivial without strategic interpretations, in this case correlation leads to some rather uncomfortable affirmations of essentialist readings.

A more complex set of musical parameters might be interlaced with octatonic and whole tone collections, however, to reinvigorate the complexity of semantic meaning associated with these non-tonal scales. Instead of viewing these scales in their isolated parameter of pitch, a broader textural category emerges with consistency from the earliest manifestations in Glinka up through Stravinsky’s *Firebird* that provides for a hierarchical

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category of a textural type that correlates with supernatural signification. The octatonic and whole-tone scales gain semiotic potency through integration with other parametric characteristics that create a musical topic encoded in opera and widely perpetuated in Russian symphonic poems of the nineteenth century. Unlike the oriental texture, however, this supernatural topic carves out a wholly new textural profile. The topic is remarkable for unlike many topics built on the abstraction of sounds of “everyday life,” the supernatural topic is a purely introversive sign that signifies through the sonic imagination of composers, invoking the supernatural through metonymic – rather than mimetic – means.

One of the earliest uses of the whole tone scale appears in Glinka’s Ruslan and Lyudmila (Example 4.14). At the end of the first act, as Chernomor’s minions arrive to kidnap Lyudmila, the stage opens, allowing the downward descent and escape of these supernatural creatures. The scene is set to the famous use of a whole-tone scale, thus establishing one of its first associations with the supernatural. But the passage also exhibits several other striking features in the orchestration. The whole-tone scale dramatically descends through the entire octave in unison (doubled at the octave) throughout the woodwind, brass, and lower string timbres. Aside from the suspension figures in the oboe and octave figurations on first beats in the upper woodwinds and strings, the passage is entirely monophonic. The lower strings are featured prominently through the use of tremolos. The entire passage, richly scored, is marked fortissimo with sforzandos on the final chords. This particular orchestration and articulation in combination with the whole tone scale establishes not merely the harmonic content but an entire texture that depicts sinister descent and signifies the supernatural.
Rimsky-Korsakov, in both his “Antar” Symphony and the “Sadko” tone poem, continues the use of this texture, albeit with an emerging hierarchy as to the essential characteristics adopted from Glinka (Examples 4.15 and 4.16). In these works, the descent of gigantic bird in pursuit of the gazelle in the case of “Antar” and the descent of Sadko into the underwater sea kingdom both share the plot topos of supernatural descent that initiates the central conflict of the story. The passage in “Antar” features scoring similar to Glinka with homorhythmic string texture articulated in fortissimo sixteenth notes descending through two octaves. In addition to the whole tone scale of *Ruslan and Lyдумила*, which appears in the first violins in “Antar,” the monophony is abandoned here for a richer scoring in chromatically moving thirds in the second violins and violas.

In the tone poem “Sadko,” at three measures after rehearsal 60, Rimsky-Korsakov uses the same topic, however here he utilizes a descending octatonic scale instead of the whole tone scale, with the piccolo and violas outlining the particular diminished seventh property of the collection. Once again, the texture is dominated by heavy emphasis on scoring for strings in tremolo articulation, descent through two octaves, and initial fortissimo dynamic markings.

The topic even pervades into Stravinsky’s repertory, though with some loosening of the textural profile. Early in *Firebird*, the supernatural texture appears in the musical depiction of the enchanted garden of Kashchei (Example 4.17). At rehearsal 3, a subdued token of the type appears somewhat distorted by piano dynamics and a descent of less than an octave, but nonetheless featuring homorhythmic tremolos in descending gestures in the upper strings. While the passage shares clear affinities with earlier tokens of the type, what is strikingly absent here is a clear articulation of a symmetrical pitch.
collection. The passage features an uncomfortably prominent $f^\#$ in the French horns that falls out of the octatonic collection I that otherwise dominates the passage. Thus, although a non-tonal scale featured prominently in the formation of the type, stylistically marked appearances of incomplete evocations of the type may occur when the non-tonal scale is somewhat obscured. The type is just one of many orchestral devices in the opening of *Firebird* with which Stravinsky portrays the enchanted garden, but the appearance at rehearsal 3 nonetheless demonstrates the potency and pervasiveness of this topic.

This topic is further replicated in Balakirev’s “Tamara” Symphony at mm. 528-533 and mm. 562-569 (Examples 4.18 and 4.19). Like Stravinsky, however, Balakirev waters down the topic, adopting only particular features of the type. The homorhythmic motion is disrupted by contrapuntal writing in the woodwinds. Although the upper strings exhibit tremolo articulations, the passages are subdued (pianissimo), registrally confined to a fifth in the first excerpt, and *ascending* rather than descending. Furthermore, the pitch content of each passage does not feature symmetrical spacings of either the whole tone or octatonic variety. The first passage features an aberrant $a\flat$ in the otherwise octatonic profile of the first violin, and the second passage is oscillates between $d$-flat and $d$ minor, and it is difficult to account for the passage in a single octatonic collection. As the relationship to the supernatural type is loosened in this incomplete evocation, so is the potency of the type’s signification. The type appears at close to the end of the symphony and plays little role in establishing conflict between the real and supernatural worlds early in the plot design of the symphony, as in the other operatic and symphonic works presented above. Furthermore, the upwards tremolo motion seems to serve a role to
counter the strong rhythmic drive that pervades much of the work’s 12/8 meter. As the rhythmic drive of the movement subsides, this texture acts to defuse and sublimate, thus fulfilling more of a structural ending role rather than a semiotic purpose.

The instances of topical loosening in Stravinsky and Balakirev point toward an important process in both the signification and interpretation of non-tonal scales. Thirty years after the composition of the tone poem “Sadko,” Rimsky-Korsakov composed an opera on the same subject in 1897. Taruskin has demonstrated that here the octatonic plays a much more pervasive role as Rimsky-Korsakov infuses the octatonic throughout the entire harmonic fabric of Act I, scene 2. Fitting for a passage that portrays the supernatural throughout, however the octatonic, separated from its textural complex, now comes to signify the supernatural only through the most generic means as a failed token of the supernatural type. Taruskin argues that “Rimsky’s signal contribution to the development of octatonicism” was his recognition of two forms of the octatonic, one suited for harmonic purposes and the other for melody, which combined generated the chromatic collection.\(^{42}\) But as the syntactic properties of the pitch collection developed, it also came to support more textural variety, thus loosening the collections relationship to a specific type. This in turn causes the type to lose its semantic specificity. While it is therefore not wrong to associate the supernatural with the octatonic in the second scene of Sadko (the opera), this does not provide a particularly nuanced reading. This semantic weakening of the octatonic is no more clearly illustrated than in the Rite of Spring, a work in which the octatonic, as Pietr van den Toorn has demonstrated, dominates the harmonic and melodic content of the work. Yet because of this very pervasiveness, the

\(^{42}\) Ibid., 104.
octatonic passes into a generalized, unmarked language in the later works of Stravinsky. To make broad, sweeping claims about what such pitch collections “always” signify (as Forte and Taruskin do), is to neglect a rich and complex semantic morphology of the collection’s textural origins in the nineteenth century.
CHAPTER 5

Textural Succession: Juxtadictive, Predictive, and Retrodictive Transitions

Treating texture as an atemporal characteristic of music, the static “cross-section” of the score, largely neglects a successional model for texture. By positing a concept of textures within a work, rather than a single, unified approach for describing a work’s “texture” in the singular form, an implicit need arises to investigate how distinct textural units follow one another. Indeed, much music analysis involves excising units from the temporal experience of listening in order to draw comparisons between temporally non-adjacent segments; this is the essence of paradigmatic analysis and underscored the methodology in the last chapters for defining units of texture. But such segmentation ultimately must be rehabilitated into a temporal, or syntagmatic, understanding of musical process. The present chapter seeks to understand how textures transition from one parametric hierarchy to another and what expectations arise in the listener regarding those successions. In these uncharted waters, a new facet of the perceptual and cognitive processes of texture emerges: how do the temporal events of musical texture shape style and meaning?

Textural succession encompasses both a materiality, in the sense of bringing together two distinct objects, as well as a temporality, in that the meeting of those objects is facilitated by an event in time rather than through a physical or tangible interface. Given that the theorization of textural succession is virtually non-existent, I shall begin
here with some basic assumptions that will underpin my subsequent undertaking to taxonomize (and historicize) textural succession. First, textural succession can be understood as any opposition to the essential conditions of an established unit hierarchy. Within a textural unit, the parametric hierarchy allows the listener to assign normative values to the potentially infinite options for parametric variety. Thus, textural units constitute a desired state of parametric and perceptual stability. But unchallenged textural stability would quickly become boring. For the very same reason that the textural hierarchy restricts the range of permissible parametric change, such normativity threatens to become too predictable. A second assumption of textural succession follows that listeners experience a vacillation between a desire for the stability found within textural units as well as a heterogeneity among units. Textural diversity cannot arise without a succession of units, and yet those transitions give rise to instability by removing relative “normative” ranges of parametric variety and peering into the abyss of infinite parametric options.

A textural succession consists of three distinct stages: the dissolution of an established textural pattern, a mediating space characterized by textural instability, followed finally by the onset of a new textural unit. Based on this simple model, the resultant taxonomy of textural successions, explored throughout this chapter, reveals an important and understudied indicator of style that likewise provides the stylistic constraints within which an interpretation may be posited. In effect, the temporal duration of an established hierarchy, and preferences for such stability and resultant textural homogeneity, drastically shifts between the late eighteenth and nineteenth centuries. Three basic stylistic inquiries will guide the taxonomy of transitional types that I lay out
in this chapter. I will devote particular attention to 1.) the degree of textural stasis enjoyed (or tolerated) by listeners; 2.) the degree of instability cultivated in the fissures between stable textures; and 3.) the compositional means to open and sustain the fissures between stable units. As will become central in the last chapters, these criteria are highly indexical of stylistic period. Textural successions bring attention to the means by which composers manipulate instability through highly conventional temporal and material procedures.

FOUNDATIONS OF SUCCESSION

The most apparent form of textural succession (and therefore most inviting entry point for discussion) arises from the immediate adjacency of two units. In this instance, the sudden appearance of a new parametric hierarchy directly and instantaneously challenges an established unit. The contrast and rapid redeployment of “normative” parametric characteristics mark such a succession as a salient event. Listeners experience these fissures as a temporal juxtaposition of two distinct textures (illustrated in Figure 5.1). In mm. 4-5 and 10-11 of the first movement of Mozart’s Serenade in G Major, K. 525 (Example 1.15), abrupt breaks coincide with phrase rhythm to help delineate textural boundaries with little ambiguity. Similarly, the opening of Mozart’s Sonata No. 12 in F Major Piano Sonata, K. 332 exhibits a sudden adjacency of textural types at mm. 4-5, mm. 11-12, and mm. 22-23 (Example 5.1). This feature of clear textural delineation in the exposition contributes to the work’s iconic status among topic theorists.¹

The textural successions in these Mozart examples largely coincide with phrase rhythm and thus may not seem to suggest a particularly new means of segmentation. In Clementi’s Sonatina Op. 36, No. 3 however, textural and harmonic rhythm enter a more tenuous relationship, revealing textural succession to constitute an independent process (Example 5.2). In mm. 1-4 a musette accompaniment presents the opening theme. At m. 5 a textural shift coincides with the harmonic shift to the dominant as a new homorhythmic texture of straight eighth notes alternated in four-note groupings between the right and left hands emerges in contrast to the presentational texture of the opening. This texture is abruptly interrupted in m. 7 in the midst of the consequent harmonic structure by a more florid two voice texture, only to return one bar later to the homorhythmic eighth notes, reestablishing the second texture a full bar before the half cadence at m. 9. Thus, the textural heterogeneity of the first twelve bars subtly contradicts the predictable four-bar subgroupings of harmonic rhythm. Clementi exhibits less adherence to well-balanced textural rhythm than in Mozart’s Serenade in G Major where texture largely falls in four-bar groupings (Figure 5.2a). Instead, Clementi casts an irregular textural rhythm over the underlying predictability of phrase structure (Figure 5.2b). The comparison demonstrates that although textural rhythm might follow phrase rhythm, it is better imagined as a distinct process that can serve to articulate or distort predictabilities in specific parameters such as harmonic progression.

The case for an understanding of textural succession as a distinct process from phrase structure is further demonstrated by the modernist repertory. Although tonal expectations are severely hindered, very similar processes of abrupt textural juxtaposition are evident. The “block forms” of Stravinsky’s *Symphonies of Wind Instruments* stand as
a prime example of the abrupt abutment of distinct textural identities. The “submoments” into which Jonathan Kramer divides the first twenty-two bars of the work essentially constitute textural hierarchies where units defined by consistencies of tempo, harmony, and cellular material are disrupted by sudden changes in instrumentation, dynamics, articulation, and voicing.\(^2\) Additionally, this type of juxtaposition may be observed in the example from *Petrushka* discussed in chapter four as the troping of street musics rapidly disintegrates into a return of the “crowd” texture in mm. 156-157 (Example 4.4).\(^3\) Schoenberg exhibits a similar rapid succession of textures with a more subdued effect at the opening of his *Drei Klavierstücke*, Op. 11 (Example 5.3). A melody, accompanied in the left hand by chordal punctuations in half notes characterizes the first three measures, whereupon a new contrapuntal texture with four registrally and rhythmically distinct voices unfolds over five measures. In m. 9, the original melody plus accompaniment texture returns, creating an ABA pattern of textural progression. Schoenberg also adheres to instances of contrastive juxtaposition in the rich string sextet instrumentation of *Verklärte Nacht* (Example 5.4). A dramatic shift in the textural profile occurs at m. 259 as each of the voices takes up contrasting figurations. The second cello shifts from the sustained \(\#\) pedal to a syncopated arpeggiated figure as the first violin’s lyric melody accelerates to an eighth note motivic fragment at m. 259. The contrast between the textural blocks is most evident in the inner voices where the accompaniment suddenly shifts from the churning sixteenth notes in six-note slurs to a shimmering interplay of two-note flashes exchanged in alternation between the second viola versus the second

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\(^3\) See diagram for this work in Cross, *The Stravinsky Legacy*, 30.
violin and first viola. Most obviously, textural juxtaposition, particularly in this example from *Verklärte Nacht*, is quite visually evident in the score – differentiations of rhythmic profile, register, and instrumentation quickly cue the eye to sudden textural contrasts.

This brief comparison of examples from Mozart, Clementi, Stravinsky, and Schoenberg overlooks the historical rationale for this procedure of juxtaposition in order to introduce the basic concept of abrupt textural succession. However, juxtapositive procedure is an important index of the Classical style. Historians such as Charles Rosen have intuited that this type of succession stands as a central feature for its contribution to the construction of hierarchical phrase rhythm in late eighteenth-century style. Rosen observes,

> The articulated [Classical] phrase required its individual elements to be discrete and set off from each other in order that its shape and symmetry might be clearly audible, and this in turn brought about a greater variety of rhythmic texture and a much larger range of dynamic accent.4

Although this account oversimplifies the history by overlooking the often complex interplay of textural phrase rhythm suggested above, Rosen nonetheless touches upon an important stylistic feature central to textural practice in the late eighteenth and certain repertories of the twentieth centuries. Separating these two styles is an important and discerning development in the successional style in for repertories of the interim nineteenth century.

Beginning in the early nineteenth century, composers increasingly cultivated the moment of textural succession not merely as a material event, but as a process with its own unique temporal interest. Rather than an abrupt succession of markedly different

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textural hierarchies, transitions between textures became gradual, progressive, and lengthy. The impetus for such procedure was already evident in the eighteenth in such ambiguous passages as mm. 18-27 in Mozart’s Serenade in G Major that fails to settle into any stable textural hierarchy. In the nineteenth century these fleeting moments solidify into a new stylistic trend in which a host of parametric characteristics serve to index transitions and highlight these moments of fissure where instability suspends the predictable parametric normativity of textural units. Uncovering these procedures will constitute the main emphasis in the remainder of the present chapter. This stylistic framework will then guide discussion in subsequent chapters, for although Classical and modernist composers may on the surface suggest similar techniques of transition, one of the key features of modernism is a conscientious rejection of those extensive procedures of textural succession cultivated in the nineteenth century.

Three distinct features that occur in all textural successions – the dissolution of texture, an interim indeterminate space, and the onset of a new unit – can aid the analyst in conducting comparative studies of texture across different styles. The temporal and material architecture of each of these features of the succession is indicative of stylistic period. In the Classical style as well as modernist examples of juxtaposed textures already examined, the dissolution of an established textural hierarchy and the onset of a new one are simultaneous, resulting in a temporal juxtaposition of two textures with little or no mediating material in between. The material quality of this type of transition, already illustrated in Figure 5.1, is best conceptualized as a contradiction, to draw on

Rosen observes that techniques such as the crescendo or foreshadowing motivic ideas averted the risk that “such contrasts so dramatically juxtaposed at close range with no possibility of long-range transition between them would either be very short or intolerable.” Rosen, The Classical Style, 64.
Danuta Mirka’s binary apparatus in her study of texture in Penderecki’s music.\(^6\) Classical transitions, built on the immediate adjacency of two stable units, involve contradictions due to the absence of mediating material between the two units.\(^7\) These transitions are characterized by a material absence of an intermediary stage between the dissolution of the previous texture and the onset of the new texture; dissolution is immediately created by the onset of a new texture.

By the nineteenth century, the indeterminate space between the dissolution and the onset becomes a significant event in its own right. Transitions become intermediary “zones” that resemble Mirka’s model for contrariety in which a mediating “event” of the transition occupies a neutral area between two terms of a binary (Figure 5.3). Textural transitions therefore involve a series of distinct and metaphorically material events with parametric features in their own right. The unique parametric behavior that appears between stable units constitutes the intermediary, “neutral” term of Mirka’s model for contrariety. In addition to these material models, it is also helpful to adapt a second model from Wilson Coker that lends its terminology to the temporal exegesis of these salient events. Coker explains that

There are three temporal dimensions that a sign may have. A sign may be *predictive* – causing an interpreter to look forward in anticipation or expectation toward what is signified – as lightning may signify an impending clap of thunder. Conversely, a sign may be *retrodictive* and cause an interpreter to reach back in memory to recall or recognize what is signified. And, too, a sign may be *juxtadictive*; it may cause an interpreter to take account of something that is present now but not necessarily present earlier or later – as a telephone bell signifies someone now on the line.\(^8\)

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\(^6\) Danuta Mirka, “Texture in Penderecki’s Sonoristic Style.”

\(^7\) This was discussed in chapter one and illustrated in Figure 1.4. Compare Mirka’s diagram of contradiction with mine for juxtadictive transition in Figure 5.1.

Coker uses the terms predictive, retrodictive, and juxtadictive fluidly within a single work, even identifying passages that simultaneously identify with different temporal signifiers; in my taxonomy of textural transitions, however, I borrow these terms to describe textural processes that largely correspond to distinct stylistic periods. The abrupt transitions of the Classical style encompass the temporal listening experience that Coker describes as “juxtadictive.” In the nineteenth century, as the intermediary zones of textural transitions become increasingly prominent, listeners are provided with indexical material that looks forward to the onset of a new textural hierarchy even while delighting in the immediate instability of textural transition. Such transitions cognitively divert the listener’s attention to the process of transition as well as the inevitable return of textural stability, and thus shall be named “predictive transitions.” At the end of the chapter, the most stylistically complex of textural processes, “retrodictive transitions,” will be considered.

PREDICTIVE TRANSITIONS

Juxtapositions of texture are aurally easy to hear and visually evident in the score, whereas predictive transitions demand a more extensive revision of the basic terms of analytic discussion. Predictive transitions redefine the relationship between textural stability and instability. In juxtadictive transitions of the Classical style, instability is not prolonged and succession is immediate. Predictive transitions on the other hand cultivate a “neutral” term between the dissolution of an old unit and the onset of a new one. In effect, the nineteenth century reveals a growing stylistic preference to balance passages of textural stability with those of instability. Frequent juxtadictive transitions in the
Classical style serve to satisfy the listener’s oscillating desires between textural stability and a larger textural heterogeneity. Nineteenth century composers manipulate that expectation by developing means to lengthen the elapsed experience of textural instability during transition to balance periods of textural stability.

Predictive transitions rely on a distinction between what shall be called “generic” parametric processes and profiles that contrast with the characteristic hierarchies of stable textural units. The stable textures explored in chapters three and four consisted of characteristic features that established normative ranges for parametric variation within a texture. Generic parametric features, however, evade such restrictions through several means:

1. unidirectional movement, as opposed to contoured movement that defines boundaries of “normative” parametric behavior,
2. preference for statistical parameters that resist clear points of termination,
3. careful deployment of repetition to pique interest while at the same time avoid falling into predictable patterns that enable a hierarchization into essential and characteristic features.

Arnold Schoenberg most eloquently captures this notion of indexical, generic features of predictive transition in his analogous concept of liquidation. Although music theorists largely appropriate this term for motivic process, Schoenberg allows for a much broader understanding. In *Fundamentals of Music Composition* he describes liquidation as a process of “gradually eliminating characteristic features, until only uncharacteristic ones remain, which no longer demand a continuation.”

We might amend Schoenberg’s notion of liquidation to define the process whereby the unique relationships between parametric characteristics that define stable units of texture dissolve into generic, and therefore

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uncharacteristic, transitions that evade clear or meaningful textural identity. A later essay in which Schoenberg clarifies this concept more explicitly deserves full quotation here:

I define variation as changing a number of a unit’s features, while preserving others. The change of features serves as an annihilation of former obligations and eventually as a gradual introduction of the new qualities that will make up the characteristics of the subsequent idea…

One of the most important functions of the changing features is the production of liquidation. By producing at least a preliminary end to a section it makes the appearance of a new idea a reasonable, if not necessary, event. A liquidation is often carried out unto the entire elimination of all features. No wonder in such a case the entrance of a terrifically strong contrast does not violate the feeling of balance. It is as if everything began anew.

A liquidation can, at one point or another, cease to eliminate; instead it can begin to develop and add new features. It then will have changed into a transition. A transition must have a goal. Like a bridge it leads from one bank of the river to the other. Between them an abyss might preclude communication.\(^\text{10}\)

This rich passage touches on a whole range of features that resonate with the notion of a predictive textural transition. The concept of liquidation is not limited to motivic fragmentation, but may also include dissolution of any characteristic features essential to the stability of an established textural hierarchy. Generic processes serve to supplant characteristic features and shift emphasis from goal-oriented places of termination to movement between, and across, semantically “neutral” terms in which the absence of characteristic texture constitutes a state of limbo, or an “abyss.” Although Schoenberg refers to these regions as transitions, I would more narrowly define these passages as predictive transitions, whereby those generic, uncharacteristic features prompt the listener to look forward to the resumption of stable texture.

Remarkably, a very finite set of processes and profiles belong to the generic makeup of predictive transitions (Figure 5.4). Processes use unidirectional movement, intensification, and deflation in parametric categories to negate the normative boundaries established for the essential parametric features of a textural hierarchy. Processes reopen the infinite parametric variety available to the composer when crafting a texture. Profiles on the other hand resemble features that might belong in an essential makeup of a stable texture. However, these features appear briefly and fail to coalesce with other essential features to form stable hierarchies. They act as rogue characteristics incompatible with an established hierarchy yet fail to rise on their own to an essential feature of a new hierarchy.

Processes occur through the intensification (rise or swelling) or deflation (fall or abatement) in a parameter so as to distort its normative ranges within the stable textural identity. In the case of intensification, parametric characteristics can exceed the range of variation deemed permissible within an established hierarchy. A crescendo, for example, can push the boundaries of a topic such as the pastoral, which is generally subdued dynamically. Deflation, on the other hand, lessens essential characteristics within the hierarchy so as to weaken and distort their presence. Collapsing the normative range of an established texture and/or decreasing the voices and instruments will destabilize textures, particularly those in which particular voicing, range, or instrumentation are essential to the hierarchy. Similarly, rhythmic augmentations may slow momentum and

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11 This terminological distinction between process and profile may at first seem cumbersome, though I use this terminology here to underscore the distinction from parametric characteristics that create stable textural identities. Later in the chapter, the difference between processes and profiles will be relevant to explicate further advanced textural procedures.

12 Examples might include the mechanical or music box topic for confined registral range, contrapuntal topics and canons encompassing a strict number of voices, or distinct timbral combinations. For a
erase notable rhythmic profiles or motives essential to a texture. Intensification and
deflation may occur in the parametric domains of dynamics, register, instrumentation,
and harmonic rhythm. Rhythmic homogenization, or a move toward repeated note values,
liquidates the unique rhythmic profiles of motives of accompanimental figures.

Unidirectional chromatic lines constitute a special category of transitional
processes due to its pervasiveness, as will be explored below. The technique has the
compound effect of negating distinct melodic profiles through intervallic equivalence (the
exact circumstance under which, according to Meyer, pitch loses its syntactic status)\(^\text{13}\)
and expanding or collapsing, often times drastically, registral frames. They serve as a
concise and effective way to erode the distinctive features of any textural hierarchy.

Profiles of predictive transitions include homorhythm, timbral alternation,
fixation, and motivic fragmentation. Instead of destabilizing an established texture by
pushing normative parametric ranges, profiles challenge parametric hierarchies by
presenting new features that emerge in contradistinction to a unit’s parametric
characteristics. These profiles cannot be accommodated within the unit, but nor do they
establish a new textural unit: alone they are too generic to form the unique parametric
networks that establish stable units. I resist labeling these features as actual parametric
characteristics, however, because they instead act as “non-characteristic characteristics.”
Whereas the transitional processes outlined above exploit the absence of clear goal-
oriented movement, profiles create instability by immediately negating the characteristic

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\(^{13}\) Meyer, Style and Idea, 14.
features of a hierarchy through mundane, repetitive gestures. Alternating timbres (between high and low registers or contrasting subgroups within an ensemble), repeating a motivic figure such that it threatens semantic saturation, and unifying the vertical stratification of a texture through homorhythm, all create a sense of urgency by introducing generic features that “stagnate” stable textural process. The critical distinction here is that although these features can potentially contribute to broader relationships between essential features in a textural hierarchy, in these instances they fail to actually settle into stable hierarchies by virtue of David Lidov’s concept of “focal repetition.”

Lidov identifies three types of repetition in his taxonomy of formative, focal, and textural repetition. Formative repetitions are units that repeat once or twice and belong to musical syntax, as in the similar beginnings of an antecedent-consequent pairing. Textural repetitions occur more than three or four times, and thus abandon this self-referential status. These repetitions serve as accompanimental figures or ostinatos, and may arise, as in om-pah-pah figures, as essential features of a stable texture. Both formative and textural repetitions are unmarked inasmuch as they do not call attention to the actual process of repetition. Focal repetitions, however, repeat three to four times and emerge out of the musical syntax as marked, thus calling attention to themselves. The listener becomes aware of the process of repetition, and such passages, combined with other predictive processes and profiles, can dissolve a stable textural identity, particularly when a melody is a prominent component of that texture. It is focal repetition that

contributes to the effect of predictive transition, for it constitutes neither repetition of thematic interest, nor has it yet receded to the background of accompanimental stability. This “magic range” of three to four perfectly encapsulates a sense of suspension between thematic repetition, which might constitute part of a theme or other gesture, and an accompanimental figure, both of which easily fit within the parameters of stable hierarchies. Focal repetition, however, straddles this cusp and evades either type of stability. As we shall see, focal repetition becomes an essential component of transitional profiles for this ability to suspend stable, functional repetitions.

Although these processes and profiles are generic and frequently occurring, particularly in the nineteenth century, they rarely occur in isolation. Thus, I have briefly overviewed each of these traits of predictive transitions, but will now turn to actual examples in which these traits are observed, often in overlap, though behaving quite distinctly from textural hierarchies. I will also propose something of a stylistic narrative in exploring these examples, for predictive transitions are highly indicative of the Romantic style. While the procedures and profiles of predictive transitions are cultivated in the late Classical period, they are used sparingly, often merely to highlight significant structural moments as in the textural transition at the exposition’s harmonic transition in Mozart’s Serenade in G Major. By the late nineteenth century, however, predictive transitions become epic units in their own right, often outweighing passages of textural stability.

Mozart’s Serenade in G Major stands as an early example of predictive transition (Example 1.15). Beginning in m. 20, although the rhythmically elaborate figure shared in the violins over the static bass in mm. 18-19 might initially seem like the onset of a
texture, m. 20 abandons the figure for rhythmic intensification and homogenization (straight sixteenths) in the strings, dynamic intensification (crescendo), and registral intensification (expanding the range upward). In m. 22, the first violins seem to reach an ostensible registral goal on d⁳, yet the rhythmic fixation on this pitch undermines its potential as a point of initiation for a new texture. The transition finally concludes with homorhythm in m. 27, where straight eighths lack the rhythmic excitement of the iconic homorhythmic texture at the opening of the movement. The procedures of this passage are heterogeneous, with a wide conflation of generic processes and profiles. They follow in rapid succession, yet never settle into the prolonged, stable hierarchies as in the first three textural units of the work. The meeting of these generic characteristics seems largely one of coincidence, rather than the fixed, hierarchical relationships between parametric categories that characterize stable textural units.

The predictive textural transition and formal, modulating transition of sonata form’s exposition share a name only, and do not suggest a semantic or symbiotic relationship. However, we might consider another example in which a textural transition is added in the recapitulation in order to avoid the mundane function of the non-modulating transition in the recapitulation. The transition presents a compositional problem in the recapitulation: to preserve the sanctity of a tonic return it cannot modulate, but without a harmonic variation the material threatens to be rather non-functional and uninteresting in its return. Many scholars thus find excitement in the recapitulation’s transition through newly introduced non-modulating sequential material or sub-dominant

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15 In contrast, consider the highly stable Strum und Drang texture that underscores the harmonically unstable modulation of the transition in Mozart’s Sonata No. 12 in F major, K. 332, first movement.
inflection. In the recapitulation of Schubert’s Symphony No. 3 however, the textural process is reworked entirely anew from the exposition thus demonstrating its important contribution to the compositional challenge of the recapitulation (Example 5.5). Already in m. 164, timbral alternation between instruments grouped by registral ranges (bassoons and lower strings versus upper woodwinds and violins) is introduced to the thirty-second note ascending figure, a procedure not evident in the exposition. The two-bar call and response pattern between lower and higher registers repeats this two bar pattern four times, threatening arrival in a stable texture. At m. 171, a new pattern of alternation between c♯⁷ and D major seventh chords, reinvigorates the sense of stalling and the upper woodwinds abandon the ascending figure for more homogenous chordal support doubling the brass. The transition definitively concludes with a full nine beats of homorhythm, more expansive than the analogous passage in the exposition, and further generalized by purging the fourth beat rests, pickups, and triplets that made the homorhythm of the exposition’s formal transition distinctive. The passage in the recapitulation concludes with homorhythm and homogenized rhythmic values of straight quarter notes. In the recapitulation, many of the characteristic features of the corresponding passage from the exposition are treated to predictive profiles of timbral and registral alternation, motivic focal repetition, and homorhythm in order to sustain the sense of textural vertigo.

Homorhythm provides one of the most pervasive forms of predictive transition in the late eighteenth and early nineteenth centuries. The profile yields a highly succinct and totalizing effect, liquidating any established textural hierarchy while not providing distinctive characteristics of its own to propose a new unit. Although juxtapositive
transitions remain the norm for much of the Classical and early Romantic styles, homorhythm frequently emerges as one of the earliest, most decisive profiles for effecting predictive transition and a sustained sense of textural instability. In Beethoven’s Fifth Symphony, where juxtapositive transitions largely predominate, predictive transitions characterized primarily by homorhythm occasionally arise as a means of checking the tremendous rhythmic momentum generated in his extended passages of textural stability. Thus, the arrivals on homorhythm in mm. 19-21 and mm. 56-58 seem as much like a culmination of rhythmic intensity as a dissolution of the textural units previously established.

More pervasive than homorhythm but similarly totalizing in effect are unidirectional chromatic lines that serve to rapidly expand or contract register and temporarily suspend pitch’s syntactic status. It is important to distinguish the unidirectional chromatic line from contoured chromatic movement that establishes minimum and maximum registral ranges. In Berlioz’s *Symphonie fantastique*, the passage from mm. 200-224 of the first movement consists of a stable textural unit exhibiting straight quarter note values, homorhythmic vertical stratification in the strings, staccato markings, dramatic entrances of the woodwinds, and carefully shaped dynamic markings (Example 5.6). Most notable is a rigorous chromatic profile in the melody. This feature helps to reinforce the textural stability with its rising and falling contour that articulates the registral limits of the strings. The predictive transition that emerges in mm. 225-230, although exhibiting the same staccato quarters that characterized the preceding texture, nonetheless liquidates the texture’s dynamic and registral constraints into unidirectional movement. The rising and falling pitch profile in the strings dissolves into a chromatic
ascent through the octave as additional features including homogenizing eighth notes in the inner voices and timbral alternation between the strings and winds aid in saturating the texture with “generic” features. The passage in mm. 225-230 negates the essential features of the previous textural unit and rends open an intermediary space where characteristic texture temporarily yields to indeterminate, unstable effects.

Even in a work as saturated with chromaticism as Schoenberg’s *Verklärte Nacht*, unidirectional chromatic lines continue to play a role in textural transition. In mm. 303-309, despite the motivic variety in each voice, sequential repetition in each voice rises by a half step in each one-measure iteration (Example 5.7). The downbeats in the first violin, for example, outline a chromatic ascent from $\text{d}^\flat_3$-$\text{d}^\sharp_3$-$\text{e}^\flat_3$-$\text{e}^\sharp_3$-$\text{f}^\flat$. By m. 308, in order to avert this focal repetition becoming a predictable pattern of textural repetition, Schoenberg introduces new transitional indices as the violas rhythmically intensify to straight sixteenths on the last beat while the first violin and first cello fixate on a descending triplet motivic figure. By m. 309 rhythmic variety dissolves into homogenizing sixteenths or triplets before the final flourish of rhythmic intensity on beat four rips open the registral space in the sweeping thirty-second note ascents in the first violin and first cello.

Each of these transitions so far is relatively compact. Stylistically they emerge as responses to the compositional limitations of juxtadictive succession that predominated up to the late eighteenth century. But as composers cultivated the techniques of transitional profiles and processes, these moments of textural suspension and instability become increasingly lengthier. This stylistic development unfolds along two distinct trends to be considered in turn here. The first method for prolonging passages of textural
instability stems from a rapid, modular movement through distinct phases of processes and profiles, in which no single phase lingers long enough to establish textural stability. This was already evident in the transition from Mozart’s Serenade in G major, in which compact two-bar units of indecisive material unfold, none lingering sufficiently long enough to establish a new texture, and collectively presenting a passage ten bars in length of textural indecisiveness.

At the end of the development in the first movement of the Seventh Symphony, Beethoven executes a lengthy transition that unfolds in several distinct stages (Example 5.8). Beginning in m. 250, timbral alternation, homorhythm, and chromatic lines play key roles in dissolving the texture and averting the return of textural stability; of note is the continual redeployment of these techniques in new configurations so as to avoid overt textural (rather than focal) repetition. Initially in m. 250, strings alternate with woodwinds in homorhythmic exchanges of the main motivic material, while the bass line rises over five measures from b♭-b♭-c′-c♯-d. By m. 254, a grand two-bar tutti presentation of fixation on a fragment of the main motive spawns timbral interplay in the strings over the next two bars. This 2 + 2 grouping of tutti homorhythm followed by timbral patter continues from mm. 254-263, threatening once more to lapse from focal into textural repetition after the third iteration of the pattern that begins in m. 262. Yet the stable textural onset is averted once more as another deployment of motivic fragmentation and timbral alternation commences in m. 264. Beethoven reduces the motive to its most generic form in a three-note conjunct ascending anacrusis presented in
rapid alternation between strings and woodwinds.\textsuperscript{16} The process continues as the motive is reassembled in the strings in m. 267 to embark on a chromatically ascending, unison line in the strings from b through e. As the passage now reaches its ostensible chromatic goal on e and stands poised on the dominant in m. 272, the textural transition still refuses to yield with its static fixation on the ascending motive. To simply hold a dominant chord for six measures would have the opposite of the cliff-hanger effect achieved by this retransition; thus the, instrumental intensification that unfolds strategically over the next six bars helps to prolong and heighten the dramatic effect as the development stands poised for the recapitulation. The first flute, first clarinet, and French horns introduce an e pedal to the homorhythmic texture in m. 272, joined in m. 274, m. 276, and m. 277 by the remainder of the woodwinds, gradually enriching the harmony and expanding the treble range. The string flourishes in mm. 275 and 277 intensify the rhythm, while the final additions of trumpets and timpani in m. 277 activate the full instrumental and dynamic profile. It is only in m. 278, with the return of the first theme and regular accompanimental pattern in the lower strings that textural stability is resumed. It is important to discern in this passage that although the transition relies heavily on only a handful of predictive profiles and procedures, they are marked by the frequent redeployments or reconfigurations that help to sustain the sense of instability. Each of these segments might be taken as a microcosmic unit of texture, but the rapid succession of these distinct phases, each characterized by generic processes and procedures, creates

\textsuperscript{16} The reader might simply turn to the score where this profusion of timbral alternation and homorhythm will be far more visually apparent than can be elucidated with prose.
an overall effect of restless indecision and suggests an aversion toward settling for an extended period on any single parametric hierarchy.

These measures highlight a compositional conundrum in the method of prolonging textural instability through rapid redeployment of profiles and processes. Predictive transitions in the late eighteenth and early nineteenth centuries spun out in this modular phasing yields a perceptual effect of predictive transitions partitioned into distinct stages. This style of predictive transition must constantly, and sometimes cumbersomely, revitalize itself so as to avoid a focal transition lapsing into textural repetition. While this type of predictive transition responds to the initial stylistic issue in the late eighteenth century of abrupt textural transitions and seeks a new method of suspending instability between clear textural hierarchies, this compositional innovation of lengthier transitions bears its own limitations. Further cultivation of the predictive transition after Beethoven therefore reveals a different approach for sustaining the effect of instability. In late Romantic repertory, composers move away from the modular effect of “cycling” through phases of profiles and processes and instead cultivate smoother, more seamless effects of sustained instability in predictive transitions. This is achieved through greater use of transitional processes and decreasing (though not abandoning) emphasis on focal repetition of transitional profiles.

Just before the “orchestral scream” in the third movement of Mahler’s Second Symphony, a stable texture of shimmering string oscillation and woodwind fanfares dissolves at m. 449 into a sixteen-bar cacophony of textural transition generated from timbral alternation and motivic fixation, but unified through more gradual descending chromatic lines, orchestral intensification, and rhythmic homogenization and diminution.
(Example 5.9). Mahler begins the transition at m. 449 by fragmenting the orchestra into a trumpet fanfare that alternates with a scalar motive in the woodwinds and upper strings, thus creating an effect of timbral alternation. The orchestral subsections are further fragmented at rehearsal 50 as the connective material on the repeated or sustained pitch c in mm. 449-456 is now abridged or omitted, thus reducing at m. 457 the din that underscored the motivic alternation in mm. 449-457.

Beneath the motivic and timbral excitement of these twelve bars, the brass and lower strings have steadily embarked on a chromatic descent from b♭-b♭-a♭-ab-g, a figure present in mm. 449-456, but further liquidated at m. 457 to tremolo articulations. Throughout these twelve bars, the bass register gradually crescendos from forte to fortissimo at rehearsal 50, and finally triple forte at m. 461. Measure 461 marks the final push of the predictive transition as timbral alternation dissolves into motivic fixation in the French horns and upper strings. Brass and lower strings take the final chromatic plunge from f♯-f♭-e♯-eb-d♭-db-c, accelerating the rhythm in m. 463 to straight eighth notes. The ensemble, having lost woodwinds briefly at m. 461, now engages an explosive orchestral activation as the entire woodwind section returns on the second beat of m. 464. The textural arrival on m. 465 is therefore preempted with an explosive growth of orchestral force, registral expansion achieved by chromatic lines in both directions and an acceleration of rhythmic activity in the treble with quintuplet and then sextuplet thirty-second notes. Although we can point to distinct deployments of transitional profiles in this passage, the underlying chromatic descent in lowest instruments, rhythmic homogeneity (predominantly sixteenth notes) of the motivic material, and gradual
accumulation to an orchestral tutti on triple forte create an overall perceptual effect of a continuous, lengthy, amorphous (rather than terraced) textural transition.

Composers may also prolong the effect of predictive transitions through a reverse process of abatement, in which textural instability derives from a gradual wane of multiple parametric categories. This circumstance arises in the first movement of Tchaikovsky’s Symphony No. 6 in B minor beginning in m. 142 (Example 5.10). The passage exhibits a highly coordinated deflation process, chiefly in the domains of instrumentation and dynamics, but also incorporating carefully deployed motivic treatment to avoid textural repetition and preserve the economy of the motive (mm. 142-144, 145-146, 152-153). The passage gradually abates from mp to ppp, with instructions for poco a poco smorzando, as well as a rallentando in the final two measures. Tchaikovsky even composes a subtle choreography by which he “phases out” individual instruments from the texture. The first cut occurs in the third beat of m. 142 as piccolo and flutes are eliminated, foreshadowing the gradual collapse of the treble register in the subsequent measures. The first trombone is next phased out in mm. 145-146 with meticulously scored rests that allow the instrument to wane gradually. Oboes and second violins depart shortly thereafter by m. 147, collapsing the woodwind register by an octave while strings likewise leap down a fourth in the previously chromatic downward sequencing of the motivic third. Clarinets and fourth French horn depart in m. 150, both with similar tapered eighth-note ties as in the trombone. The overall effect is one of unidirectional collapse of the treble register coordinated with phasing out of instruments,
leaving in the final four bars only a small ensemble oscillating between tonic and German augmented sixth chords.\textsuperscript{17}

Although the processes and profiles of transition are surprisingly consistent across a variety of composers, they do not preclude unique idiomatic treatment by a particular composer. In contrast to Tchaikovsky’s sustained, carefully composed transition, Debussy employs similar procedures in \textit{Prélude à l’après-midi d’un faune}, but with a decidedly different affective result (Example 5.11). This rich accompaniment of the flute and oboe melodies intensifies from m. 17 to nearly the full orchestral ensemble (minus harps), rapidly growing over two bars from piano to forte. This intensifying transition, however, is quickly reversed in m. 19 through a fixation on the ascending triplet figure and sudden stagnation on the C\textsharp ninth chord. Like Tchaikovsky, Debussy carefully choreographs how he phases out instruments in this bar, eliminating second oboe and second clarinet on beat two, first clarinet on beat three and most remaining strings and woodwinds after the downbeat of m. 20. Thus, in a very compact period Debussy rapidly but seamlessly eliminates the timbral intensity to only the first clarinet, which in a final chromatic twist, reintroduces the stable texture at m. 21 with an ascending b\textsuperscript{1}-b\textsharp\textsuperscript{1}-c\textsharp\textsuperscript{2} chromatic line transferred from the first clarinet in m. 20 to the flute in m. 21. The passage is a remarkable transition for it is grand in its design, yet incredibly efficient and compact in its actual execution. The striking timbral deflation and registral collapse from

\textsuperscript{17}The treatment of motivic fixation in the passage is likewise remarkable. The motivic pattern of \textupshape{♩♩} outlining an ascending third that then continues the pattern down a step saturates the passage. Nonetheless, Tchaikovsky strictly prevents the motive from textural repetition that would form the backbone of a new parametric hierarchy by reinvigorating the focal repetition with subtle changes: disruption of the chromatic descending sequence by leaping down a tritone in the sequential pattern (m. 146), occasional pauses on half notes that disrupt the motivic predictability (m. 147-148), and, in m. 150, stagnation of the descending sequence on f\textsharp-a-f\textsharp-b\textflat to signal the final decay of the transition.
full orchestral texture to a single clarinet line in a mere two bars is an incredible feat of
instrumentation and makes for an oddly dramatic yet unostentatious transition.

The examples above suggest a stylistic narrative in which composers, responding
to the limitations of juxtadictive transitions in the Classical style, sought to develop
lengthier, indeterminate passages in which textural stability could be suspended. Initial
attempts resulted in modular or phased predictive transitions before yielding to highly
integrated, gradual processes of lengthy textural transition. Robert Hatten supports this
reading of textural development between the Classical and Romantic styles where he
argues that “the treatment of textural continuity is one index of the gradual shift from
Classical to Romantic aesthetic orientation” and continues, “what is marked in Mozart or
Beethoven, as strikingly oppositional to the typically articulated textures of the Classical
style, increasingly becomes the norm for the Romantic style and is thus unmarked
texturally (but still expressive).”¹⁸ This overview serves to provide a general framework,
terminology, and stylistic portrait to strengthen the analytic tools for consideration of
textural succession as an indicator of both style and idiosyncratic treatment within those
stylistic expectations.

SATURATION

Predictive transitions provide the ground work for a more complex understanding
of stable textures, for despite clear juxtaposed contrast of textures in the Classical style,

¹⁸ Hatten, Interpreting Musical Gestures, Topics, and Tropes, 247. It should be noted, given the discussion
in chapter two, that Hatten’s understanding of textural “continuity,” however, is still based on perpetuum
mobile, thus a primarily rhythmic explanation incompletely accommodates the textural phenomenon.
Hatten’s observations about continuity and discontinuity here can now be properly incorporated into a
stylistic narrative of the successional types proposed in this chapter.
the examples from the nineteenth century for discussion in chapters three and four were somewhat unusual in their immediate activation of textural hierarchies. More often, the behavior of stable textures in the Romantic style was increasingly influenced and shaped by the cultivation of processes and profiles in transitions. Stable Classical textures can be characterized at their onset by an immediate activation of all essential characteristics of the parametric hierarchy. The aim of this section is not to explain away the inherent ambiguity in some textural processes of the nineteenth century, but rather to posit a vocabulary with which the analyst might describe more fully where and how textural ambiguity factors into a passage.

In contrast to the dynamic interest of Classical style achieved through textural heterogeneity, in the nineteenth century stable textures take on an internal dynamicism of their own. Instead of an immediate presentation of all features of the hierarchy at the onset of the texture, a composer may choose to shape the development of a unit by gradually unveiling its essential features. The fugue is the most calculated example, in which the texture “activates” through the careful addition of voices. The initial entrance of the subject is not necessarily a monophonic texture so much as the first feature – a particular vocal range – activated in the fugal texture. Wallace Berry calls this effect of slowly introducing elements to the texture as “activation.”¹⁹ Unlike the Baroque fugue however, whose carefully planned textural activation constitutes a central component of the form, Romantic composers adopt much more diverse and creative approaches to the potential that internal textural variety affords.²⁰ Consideration of internal development,

¹⁹ Wallace Berry, _Structural Functions in Music_, 222-232.
²⁰ Donald Tovey similarly argues that the fugue is more a textural process rather than an actual musical form. See chapter one of _Musical Textures_, vol. 2 of _A Musician Talks_ (London: Oxford University Press, 1946).
resulting in lengthier passages of stable textures that undergo internal processes, is an important paradigmatic adjustment when approaching textural style in the Romantic period. The implication for this internal suggests that the temporal-material boundaries between textural dissolution, transition, and onset – so meticulously speculated in the exegesis of this chapter – become much less clearly articulated by the late Romantic period. Ambiguity can arise as textural activation bleeds into predictive transition, distorting the moment of dissolution, or as semi-characteristic profiles of the transition are incorporated into new textural hierarchies, thus concealing the exact moment of textural onset. In the absence of decisive moments separating textural stability and instability, transitions become “fuzzy sets.”

Mirka’s model for textural binaries once more becomes useful to explain how transitions not only constitute the intermediary term between two stable textural units in a contrariety, but also how the boundaries between two terms and its “neutral” intermediary may be conceived of as a “zone” rather than a definitive line of demarcation (Figure 5.5). These gradual or porous boundaries are the essence of a fuzzy set in mathematics. The distinction between the processes and profiles of predictive transitions becomes essential here. Processes not only serve to eradicate the normative values of an established texture, but they may also be incorporated within a stable texture to help activate a parametric hierarchy. It becomes impossible to render a strict analytic conclusion as to where these processes contribute to the internal activation of the texture versus when those developing features distort the actual hierarchy. Conversely, the profiles of predictive transitions may quickly be combined with other characteristic features to form stable textures. Profiles of a transition that become incorporated into a
subsequent textural hierarchy can blur the distinction between transition and textural onset. The former case in which the dissolution is obscured is stylistically unmarked, though plays a key role in the generation of expansive, lengthy passages of stable texture characteristic of the Romantic style. The latter case, however, forms an entirely distinct, marked transitional type, the third of Coker’s categories incorporated into the discussion here as *retrodictive* transitions. These are transitions in which the listener must look backwards to reinterpret a textural onset that was missed. Mirka’s diagram of fuzzy logic can be adapted to suggest with visual models these phenomena (see Figure 5.6). Both activation and retrodictive transitions will be discussed below, and although they formulate ontologically distinct characteristics of texture – one belongs to stable texture, the other to unstable transition – both derive from the expanded techniques of predictive transitions and exploit the “fuzzy” characteristics between textural units.

As textural hierarchies impose limitations on potentially infinite parametric variety, they simultaneously propose the terms by which that stable identity can be challenged and dissolved. These “saturation points” – levels at which a texture seems unable to sustain further activation of or addition to its essential parametric characteristics – are unique to a textural hierarchy. As observed already, some hierarchies tolerate a great deal of variety at lower levels, while others, such as imitative textures, are quite strict in how the texture may unfold. Although the threshold for internal variety is unique to each hierarchy, the threat of dissolution of an established texture may occur as a texture becomes fully activated. A texture can undergo internal development to build to

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21 Meyer discusses the concept of saturation as it pertains explicitly to motivic development in *Emotion and Meaning in Music*, 135-138. Hatten incorporates a similar idea in the notion of plenitude in *Interpreting Musical Gestures, Topics, and Tropes*, 43.
that saturation point by means quite similar to the procedures of predictive transition. In the Romantic period, in contrast to the Classical style, textural onset often occurs not with a full presentation of new parametric hierarchy, but rather by first presenting a skeleton of the type – only one or two of its characteristic features. This feature(s) will form a constant backdrop of the texture as it is gradually activated, but nor are all the essential features of the texture yet present. Textural onset in the Romantic style often corresponds to a certain underactivation of the texture, with textural stability actually allowing for a gradual unfolding, realization, and saturation of the full textural hierarchy. The realization of the texture’s potential therefore corresponds to a saturation and inevitable dissolution.

Schubert demonstrates this potential for internal growth and ensuing ambiguity at the texture’s dissolution into predictive transition in the opening of Symphony No. 8 in B Minor (Example 5.12). After the opening monophonic texture, Schubert introduces a rich, though underactivated, texture at m. 9. A rhythmic motive in the lower strings’ pizzicatos sets a repeating pedal on b while the violins enrich the texture with continuous sixteenth notes on repeated pitches. Given the contour and interest of this line, the listener initially feels intrigued. Four bars later, however, the texture undergoes its first activation as a melody in the woodwinds subordinates the strings to an accompanimental role. The entrance of a melody at m. 13 reclassifies the sixteenth notes as accompanimental, but it hardly constitutes a juxtadictive transition. Analyzing the passage with a juxtapositive transition at mm. 12-13 because of the entry of the melody would hardly be productive. Encompassing the entire passage under stages of activation of a single texture better appreciates the continuity of the pedal on b and rhythmic figure in the strings.
The distinction between internal variety and external transition becomes more harried in mm. 20-22. Here the sudden introduction of the larger wind section with sforzandos that then decay to piano mimic the processes of timbral activation and dynamic deflation of a predictive transition. This reading might be supported by the further suspension in the lower strings of the motivic figure. The original texture, however, is resumed once more at m. 22, thus suggesting this “outburst” in mm. 20-21 be further appropriated to internal process. Nonetheless, the textural hierarchy definitively changes, through further activation, in m. 23 as a countermelody in the first French horn is added to the woodwind melody. Again, the analyst might interpret mm. 20-21 as a predictive transition introducing a new, more varied version of a previous texture. But given the continuity of the essential features of bass line pedal on b, repeated sixteenths in the strings, and woodwind melody, internal activation of a single textural unit seems a better description of the process here.

Things do start to go quite awry as they reach saturation beginning in m. 26. Additional woodwinds are added to the texture to diversify the inner voices, adding new emphasis on a motive that rises in prominence. The lower strings shift their articulation to arco and move away from the pedal tone, introducing a new harmonic variety to the texture. Yet the essential texture remains one of plodding bass line in the lower strings, motivic activity in the upper strings, and melodic activity in the woodwinds. Although the passage veers in a direction of harmonic interest and instrumental intensification, the organic growth achieved through gradual build up and calculated activation suggest a rich potential for internal process of a single texture. Nonetheless, the passage culminates in m. 36 to homorhythm in the strings and winds,
registral expansion in the woodwinds, followed by a reduction to two lone bassoons and French horns before the arrival of a new textural profile in m. 42. We can say with certainty that mm. 36-41 constitutes a predictive transition, yet it comes at the cusp of dynamic intensification, registral expansion, and orchestral and voice diversification that begins well before m. 36 within the stable texture.

Mahler’s First Symphony also illustrates this principle of blurring textural dissolution and predictive transition in the opening forty-six measures (Example 5.12). The passage encompasses a gradual activation of a single texture that eventually bleeds into a subsequent predictive transition through means that serve to conceal any sense of strict divide. Mahler establishes a general framework for the opening texture in the widely scored sonic space of the harmonics on a in the strings. Above this basic framework, additional characteristics of the textural hierarchy are introduced in layers to activate and saturate the texture. These features include the descending half-note fourths; the various horn calls shared by the clarinets, French horns, and trumpets; the cuckoo calls in the woodwinds; faster staccato descending fourth and fifth outbursts that echo throughout the orchestra (mm. 25-27, 37-38); and sonorous, consonant melodic lines in the French horns. Thus, unlike the topical types discussed in the previous chapter, gradual layering and increased frequency of iteration of the hierarchy’s essential characteristics come to saturate and fully articulate the textural type. The textural hierarchy does not arise from a close integration of essential parametric characteristics, but rather allows for looser articulations of characteristic gestures against the backdrop of a wide registral space opened by the pedals on a.
By m. 36, however, the iterations become more condensed through the intensification of woodwind timbres and overlap of more frequent gestural iterations. In other words, the gaps in the gestural content that return to the sere pedal in m. 4, 6, 13-14, 16-17, and 27 are eradicated, resulting in an intensification of gestural content. The procedures of timbral and motivic intensification present in predictive transitions are thus applied to the gestural content of this unique textural hierarchy to internally activate and saturate the long unit without actually disrupting the textural stability. The passage that ensues in mm. 47-62 bears many similarities to the opening, yet suggests a gradual shift to a profusion of processes and profiles indicative of a predictive transition rather than internal textural development. The unique timbral and registral space of the opening begins to erode in m. 47 as the pedal on a is reduced to the lower registers of the cellos and basses, eliminating the previous ethereal effect of the high harmonic and extended range of the cellos. Furthermore, an arabesque ascending melodic line in the cellos, though prominent, evades the characteristics that might lend itself to textural stability. The overall contour of the line is unidirectional, emerging from the depths of the bass register and slowly creeping upward, trying in vain to recover the collapsed treble register of the opening. After a brief reversal in m. 56, the cello line finals settles into a melodic fixation on b♭-a already anticipated in the French horns in mm. 55-56. The gestural material of the opening texture is not abandoned here either, but rather rhythmically homogenized and motivically reduced to descending fourths, first on half notes, then on quarters. As the particular rhythms and articulations of cuckoo calls, fanfares, and celestial fourths are eliminated, the passage is left with the rather generic figures in mm. 51-56.
Although m. 47 marks a distinct break from the opening texture, the gradual activation throughout the opening forty-six measures, combined with the reciprocal gestural liquidation in mm. 47-62, lead to a rather blurred distinction between textural activation and subsequent transition. Instead of a dynamic, juxtapositive break at m. 47 or even a distinct passage into a transitional zone, the transition here allows for a more continuous, fuzzy distinction between the internal textural stability that permits activation and the externalized process of textural transition. Instead of a distinct textural rhythm between stability and instability, the opening 62 measures of Mahler’s First Symphony create a broad, arch-shaped structure of textural activation and dissolution that slows textural process and development in a manner quite distinct from the textural rhythm of the late eighteenth and early nineteenth centuries.

With this play on saturation levels and the development of gradual techniques of transitions, textural rhythm became a more active element in the flow of Romantic composers. In nineteenth-century textural style, composers not only cultivate textures with higher saturation points, but also play with the alternation of textural passages exhibiting different tolerances for internal activation. These stylistic preferences toward increasingly higher saturation levels, longer predictive transitions, and exploitation of the fuzzy zone between stable textural unit and unstable transition constitute an understated property of Romantic “longing” often posited exclusively in harmonic terms in nineteenth-century stylistic analysis and historiography. The indeterminate, generic material of the predictive transition, which raises anxiety in the listener linked to textural instability while also eluding precise semantic meaning as permitted of stable textural types, seems to provide a more concrete stylistic explanation of that Romantic quality of
instrumental music in which E.T.A. Hoffmann recognized an yearning, indefinite, and therefore infinite character.

Perhaps no composer straddles this quagmire of fuzzy sets and border zones between activation, saturation, and predictive transition to more ambiguous ends than Richard Strauss. Strauss’s endlessly wandering textures, particularly in *Also Sprach Zarathustra*, push these distinctions to their limits, resulting in some passages where texturally indeterminate material seems to exceed in length those passages of parametrically stable unit hierarchies. In “Von den Freuden und Leidenschaften,” the opening texture presents a stable parametric hierarchy of undulating motivic movement between the treble and bass registers, repeated triplet sixteenths in the violas, and sustained chords in the brass (Example 5.14). The opening is texturally stable and harmonically stagnant until m. 9, where both the move to the subdominant and beginning of a sequence in the melody harmonically signal a shift. Although additional instrumental voices are added to the texture, the move at m. 9 signals more activation rather than transition. The inner voice’s repeated sixteenths are, however, abandoned, constituting a significant threat to the textural hierarchy. By m. 13, the texture is completely dissolved with the abandonment of the undulating motives and homorhythm in m. 14. In m. 16, a new texture emerges more simplified than the first with merely two component parts: sustained chords over a striving Straussian melody. It is quite striking therefore in m. 29 when the inner voices in triplets and accelerated harmonic rhythm in the bass and harp are articulated. The melodic line here starts to feature a long chromatic descent, which makes it quite amendable to a transitional feature. After a brief restoration of the two-part texture in m. 33, Strauss moves to dissolve it in an extensive, meandering predictive
transition beginning in m. 37. Violins descend chromatically from $a^3$ to $c^3$ (doubled an octave lower in the viola) over nine beats, while two trombones embark on a striking chromatic ascent and rhythmic acceleration in m. 37. A fixation in the upwards striving, downwards falling motive in mm. 39-41 is accompanied in the violin by a rhythmic activation of two distinct parts in the woodwinds and a striking descending flourish on the third beat of m. 42. Textural stability seems to briefly resume in m. 43, yet the trombones exhibit final death throws, while strings and upper woodwinds embark on one final chromatic descent from $eb^3$-$d^1$, resulting in a sense of this section melting into the subsequent “Das Grablied.”

Strauss’s passage here is remarkable, for he exploits the blurred distinction between textural activation and predictive transition to create a passage of almost constant textural instability. Even those fleeting measures that establish some sort of renewed stability underscored by harmonic resolution (m. 17, 32, 43) are quickly dissolved by renewed processes and profiles of predictive transition. Strauss manipulates the fuzzy set between saturation, textural dissolution, and predictive transition to the effect that the listener slowly loses sight of the identity of the original textural, only to find herself surprisingly in the midst of textural transition. These moments are sneaky, insidious, and, for the listener, unsettling: when did s/he lose sight of textural stability? How did it slip away? The effect is even more pronounced, however, when the boundary blurred is that between transition and textural onset. In the next section on retrodictive transitions I turn to these issues.

RETRODICTIVE TRANSITIONS
Whereas saturation employs the processes of transition to create shape within an established hierarchy, retrodictive transitions exploit the profiles of textural transition to conceal the boundary between the transitional unit itself and the textural onset that ensues. Profiles, such as homorhythm, timbral alternation, and motivic repetition, exhibit strong tendencies to absorb into stable textural hierarchies. Marked repetition of a motivic feature may subside into an accompanimental pattern, or timbral alternation may emerge as an important parametric feature. Retrodictive transitions therefore often exploit the crucial shift between focal and textural repetition while gradually abandoning other generic features for a new, stable hierarchy. The event of textural onset, however, is obscured. Although aware of a transition, the listener may not be entirely sure where the transition ends, or when a new texture has begun. So whereas saturation and predictive transitions look forward to the moment of new textural onset, retrodictive transitions, by concealing that event, cause the listener to become aware of textural onset only after it is established. These moments can be alarming, surprising, and tantalizing as the listener becomes palpably aware of a “misunderstanding.”

Theorists define the common tone modulation as a harmonic device in which a composer may negotiate two keys by means of a single pitch shared between them. The practice however may also be thought of as a textural device. In his Prelude in D-flat Major, Op. 28, No. 15, Chopin negotiates a swap between D-flat major and C-sharp minor by means of the common tone a♭, reinterpreted as g♯ (Example 5.15). At m. 27, the texture thins to the repeated a♭, heretofore a continuous presence in the inner voice. By itself, however, the single tone dissolves the melody plus accompaniment singing texture that preceded and, by collapsing range and voicing and smoothing out rhythmic
variety into straight eighths, signals a transition. In the next measure, however, g♯ now becomes the top voice of a murkier, brooding passage in minor. The unsettling effect emerges as the listener expects an entirely new texture, yet instead hears the indexical device of predictive transition that signaled the liquidation of a previous texture now incorporated into a new textural complex in the lower register. The listener is forced to reconsider whether the single tone initially heard as a predictive transition in fact coincided with the onset of an underactivated texture.

Perhaps the most easily recognizable instance of a retrodictive transition occurs in the oft-discussed passage in the development of Beethoven’s Fifth Symphony from m. 210 to the recapitulation in m. 248 (Example 5.16). Although Scott Burnham describes this “eye of a hurricane” in terms of its bold move to F-sharp minor that expands the harmonic exploration of the development and enharmonic ambiguity of this passage in particular, his description is also rich with references to other parametric characteristics: “That the entire episode grows out of an obsessive fixation on one aspect of the second theme is in itself unsettling. Moreover, the combination of such perseveration with the draining off of all sense of purpose is terrifyingly close to madness.”22 We might incorporate Burnham’s observations here into a broader textural process imbied with ambiguity, rather than the mere harmonic perplexities that arise in the passage. This passage, as well as Burnham’s descriptive language, comes quite close to Schoenberg’s concept of liquidation, in which the threat of generic material threatens to destabilize the entire passage. Motivic fixation, timbral alternation, and dynamic abatement all help construct the sense of uneasy calm that arises. A textural transition occurs when the

stable texture built on a homorhythmic, two-note alternation between strings and winds first breaks down in m. 210. As the figure fragments and intensifies to one-note timbral alternations while simultaneously abating in dynamics, a sense of journey away from this stable texture is clear. But with the arrival of the F-sharp minor chord in m. 216, the passage lingers on the fine distinction between focal repetition (i.e. fixation) and textural repetition. Perhaps this F-sharp minor chord in timbral alternation forms the accompanimental pattern for a new textural hierarchy with rather slow or static harmonic rhythm and soon to be activated with further melody and/or gestures, as in the distinctly scored static pedals on a discussed above in Mahler’s First Symphony. A shift to D major in m. 221 briefly invigorates the interest only to threaten to lapse into textural repetition itself. Again, the expectation for stable texture is boldly thwarted by the appearance of the now familiar texture of the homorhythmic tutti statements of the main motive in m. 228. The timbral alternation returns once more, and although the interruption of the descending third motive in m. 240 is now expected as it averts textural repetition, the thunderous intensification of instrumentation in a homorhythmic tutti statement that overflows into the recapitulation seems a transition in its own right. It further destabilizes what was already ambiguous and irreverently runs roughshod over the monumental reprise of the opening texture in m. 248.

Retrodictive transitions therefore function by exploiting profiles that might form constituents of a broader textural hierarchy without unequivocally establishing such a stable texture. By the time textural stability returns, the listener may find herself well into a new hierarchy, retrodictively incorporating preexistent profiles into characteristics of a stable hierarchy. Yet retrodictive transitions are, in actuality, a rather hard musical
phenomenon for composers to construct. Dependent on the conventions of predictive transitions and the nuance between compiled generic material and individual parametric qualisigns within a unique sinsign of stable texture, Beethoven’s Fifth Symphony is a notably early example of the procedure. The transitional type becomes much more prominent by the end of the nineteenth century. Debussy is perhaps the most adept at these types of sinuous transitions. In a particularly exquisite passage from “Le cathédrale engloutie,” after the three-fold statement of quartal harmonies at the opening that fill the immense registral span from GG to d⁴, the texture suddenly thins in m. 6 (Example 5.17). The register and voicing collapse to a simple three octave scoring of the pitch e. The focal repetition, registral deflation, and rhythmic augmentation quickly dissolve the opening texture and point toward the pending arrival of a new textural hierarchy. One might expect an abandonment of this transitional profile on the fourth iteration of the e octaves in m. 7. Instead, the passage plunges into textural repetition as the e pedals are incorporated into a new parametric hierarchy characterized by a modal melody score monophonically and doubled in a two-octave span. Although the pitch content is now somewhat enriched by sustained whole notes that suggest thirds, the effect rather seems to emerge as the kind of reverberation one might hear in monophonic chant performed in a cathedral, rather than a deliberate compositional attempt to produce dyadic harmonies. Once again, the listener must look back to consider whether the textural succession consisted of a contrastive juxtaposition between two stable textures in mm. 5-6, or if a predictive transition occurred in mm. 6-7, eradicating the previous hierarchy and pointing toward the onset of a new texture at the end of m. 7. I do not propose that one interpretation or the other is correct, but rather reserve the category of retrodicitive
transitions as a means of embracing just these instances where juxtapositive or predictive transition fails to account for the perceptual experience, and where the ambiguity of fuzzy sets might give rise to multiple hearings.

We might consider one final example of the technique by Debussy, who proves a particularly adept master at the retrodictive transition. In “Nuages” from Nocturnes, a rather uncanny move occurs in mm. 61-64 (Example 5.18). After a return in m. 57 of the opening woodwind figuration, here further saturated by the viola’s contrapuntal line, the texture dissolves in m. 61 by means of a deflation of woodwind timbre, an intensification of string timbre with the addition of viola tutti, cellos, and basses, and a plunging descent into the bass register that expands the narrow range in mm. 57-60, all topped off with a decrescendo from pianissimo. In m. 63, the expectation from these predictive processes seems answered by a new homorhythmic texture richly scored for strings, clarinets, and bassoons and shaped by hairpin dynamics. Furthermore, the figure is highly motivic and exhibits a fixed register, unlike the descending figure in the previous bar. But in m. 63, the transitional figure from m. 61 returns once more. How does the listener account for the seeming textural onset in m. 62? The simple answer might be to accommodate all three measures into a longer predictive transition built on timbral alternation between lower and upper strings. But the material in m. 62 is quite distinct and reincorporated into the texture in m. 66. Thus, what in m. 62 seemed the onset of a homorhythmic string texture, within the fixed register and instrumentation that commences from m. 64 now emerges as only one characteristic in a broader textural hierarchy.

I do not wish to propose a single right or wrong interpretation for any of these passages of retrodictive transition, nor assert with certainty where textural onset occurs.
Rather, retrodictive transitions provide an analytic category with which to consider those passages that do not unequivocally fall into a pattern of succession. The listener is provided with insufficient information to satisfactorily shape the expectations for what will answer the transition and when. The listener must work backwards once a new texture is well underway to pinpoint its onset and parse the succession that gave rise to it. This “looking backwards” creates an effect of disorientation absent in straightforward juxtadictive transitions or indexically laden predictive transitions.

The present chapter has sought to introduce to discussions of texture a temporality that enables the analyst to understand texture as a fluid, dynamic process, prescribing an important shift in how analysts describe texture. Instead of treating texture as a static cross section of the score, or describing textures on an individual basis, a discussion of textural succession enables the analyst to consider how styles are shaped not only by the particular textures that a composer utilizes, but also the means by which the artist moves between those texture. Juxtadictive, predictive, and retrodictive transitions shed light on the poignantly different approaches to achieving textural heterogeneity in the late eighteenth and nineteenth centuries. Moving away from the block structures of juxtadictive transitions, early Romantic composers cultivated a repository of signs that help dissolve established parametric hierarchies and suspend a sense of textural stability. Heterogeneity of stable units is thus offset by greater emphasis on the chasms opened up by predictive processes and profiles between stable units.

The stylistic shift that results from the processes and profiles is remarkable. Late Romantic composers learn to cultivate textural transitions to epic proportions, in some
cases even bypassing textural stability in favor of the unstable tumult of the predictive transition. Predictive transitions in turn also shape the nature of stable transitions as well, as the boundaries between textural dissolution, transition, and onset become more porous. Incorporating processes into a stable texture allows the composer to gradually unveil a composite parametric hierarchy, while transitional profiles can serve to mislead the listener by concealing the moment of textural onset in the retrodictive transition.

The stylistic narrative proposed here around the development of textural transitions not only indicates shifting tastes among audiences and composers for textural process, but also posits textural transition as an important conventionality of style, thus serving to provide the interpretive constraints within which to form interpretation. While profiles and processes direct the listener’s attention to pending moments of textural instability, transitions themselves index particular stylistic periods, and thus can become an important interpretive tool themselves. Although this chapter has focused primarily on building an analytic vocabulary, taxonomy, and stylistic narrative for textural transition, in the next chapter I shall turn to the potency of the transition as a key facet of textural interpretation.
CHAPTER 6
The Indexicality of Texture

In his 1990 study *Closure and Mahler’s Music*, Robert Hopkins builds on Leonard Meyer’s distinction between primary and secondary parameters to explore the role that statistical parameters, primarily dynamics and duration, play in creating “directed motion, which can lead to closure” – a nuance that he distinguishes from mere termination or points of stopping.\(^1\) Hopkins suggests that secondary parameters, by playing a larger role in goal-directed processes, developed in tandem with, rather than as a result of, the loosening tonal underpinnings of early twentieth century music. Hopkins predicates his study on relative degrees of closure. This follows Meyer’s lead to place the actual role of closure on syntactic elements, leaving it to statistical parameters to define merely the strength of closure. Although Hopkins’ study sheds light on the role that statistical parameters may play in hierarchic levels of closure, the initiation of closure still lies in a syntax that eludes statistical parameters.\(^2\) The assumption underlying Hopkins’ study is that statistical parametric process, incapable of directing music toward clear goals or points of termination, can only be appreciated when supported by an analytic methodology that initiates teleological process through harmonic procedures. My theory of texture, as has been implicit throughout my discussion, does not privilege such

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emphasis on closure. Succession can provide a meaningful and useful tool for stylistic analysis, this study calls into question certain accepted beliefs about the role of teleology in musical meaning.

In examples from the previous chapters that ranged from Mozart to Schoenberg, Haydn to Bartok, and Beethoven to Stravinsky, it becomes evident that a stylistic narrative can be constructed around non-teleological processes that reside largely in statistical parameters and qualitative relations between parametric categories. The discussion of separate processes between harmonic and textural rhythm in Clementi’s sonata in the last chapter demonstrates that textural succession is a palpable, salient event independent of harmonic rhythm. The analytic method developed in this dissertation does not support teleology, but rather embraces a cyclical process as the listener oscillates between desires for textural stability and textural heterogeneity, thus placing events of salience at the moments of succession between these desires.

In this chapter I investigate within a Peircean framework the supposed “truth-content” of teleological analysis and instead propose that textural successions act as indices at phenomenological, stylistic, and meta-analytic levels. As such, they form, in Peircean terminology, a “secondness” that directs the listener’s attention toward truth content. This impulse is latent in much scholarship, particularly of the so-called New Musicology, and will be brought to full fruition in this chapter. I do not so much seek to challenge several important established readings, but rather to demonstrate the pervasive awareness in scholarly prose of texture’s “truth content.”
The concept of closure in music analysis has always occupied a central position of analytic, and subsequently interpretive, approaches to music. Cultivated through metaphors with sentence structure in language, and particularly underpinned in the twentieth century by trends in the study of linguistics, closure lies at the heart of many analyses. Even those works that elude a clear sense of closure still receive fair attention as to whether or not closure exists, rather than addressing other semiotic features. Indeed, Western art music, due to its strong cadential tendencies, is quite predisposed to analytic treatment with the semantic-syntactic interpretive loop, where syntactic structure is assumed to be indicative of deeper interpretive strategies. Agawu writes,

> Just as linguists distinguish levels of analysis, taking the sentence as the unit for linguistic analysis, and a succession of sentences as the domain for discourse analysis, so we can think about music in terms of succession of ‘sentences,’ themselves accretions of those smaller meaningful utterances we called events. Musical discourse, in this sense, embraces the larger hierarchical level that encompasses those sentences.³

Although syntax provides a convincing analogy for harmonic process, in the broader textural scheme this model breaks down. Music lacks the semantic precision with which language conveys meaning and complex thoughts. Music is more akin to gesture or body language, in which fairly precise meanings may be conveyed without a particular syntactic structure. One need only consider instances of successful communication between two people who don’t speak the same language, perhaps one searching for a local landmark, the other gesturing in the correct direction.

Semantics is not necessarily dependent on syntax for its signifying potential. As David Lidov observes, syntax, or the means of combining musical material into

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grammatically correct utterances, does not constitute inherent meaning. “Just as the constituents of a sign may or may not be signs, the syntactic relations that join the constituents may or may not be signs.”

Raymond Monelle also observes

Musical syntax does not necessarily carry semantic weight; the failure to distinguish syntactic and semantic temporality has led to much confusion in the temporal theory of music. Sometimes features of starting, progressing, closing, articulating in successive phrases are not significative of any such details on the semantic level, although they are manifested within the perceived temporality of syntax.

Monelle offers an provides reprieve from the traditional epistemological knowledge of music analysis that invites consideration of both what value closural models underscore, and whether such value might be reinstated through alternative methods of music analysis.

Yet abandoning an interpretive model of music predicated on syntax proves not only challenging but also unsettling for many music theorists. Closure, as Patrick McCreless explains, assures a certain narrative truth-value in which we may claim authority in our interpretations, an act already fraught with subjectivity. He writes,

In the syntax of the Barthesian narrative, truth is saved for the end. Truth takes on a grammatical role, in that it is the predicate of the hermeneutic sentence that constitutes the narrative. Quintilian, by contrast, as a lawyer rather than a storyteller, as one who evaluates real events rather than one who invents fictional ones, distributes throughout his discourse – point by point, argument by argument. In consequence, closure is not defined by the arrival and disclosure of truth, but by its summarization and rhetorical emphasis.

The question thus becomes what we stand to gain and lose by abandoning a syntactically informed model of musical interpretation. Privileging localized meanings and utterances

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4 Lidov, *Elements of Semiotics*, 73.
threatens the very organic model of interpretation, one that relates parts to the whole and that promises a certain “universal” truth privileged in Western literature. The obstacle, to propose localized meaning in the face of this presumed omnipresent “truth,” is formidable, and the cyclic, phenomenological model suggested in textural analysis challenges the traditional epistemological underpinnings of music analysis.

If a model for interpretation is to usurp the accepted truth-value of syntax and hierarchical states of closure, meaning must arise from less structured aspects of language. Linguistics has extensively explored such avenues in the study of pragmatics which encompasses the “contextually” based elements of communication ranging from deictics such as “this” and “that” to intonational and gestural aspects of music. Whereas for Noam Chomsky the quintessential example of linguistic ambiguity may be found in the sentence “Flying planes can be dangerous,” pragmatists such as Jacob Mey argue that although grammatical structure fails to provide precise semantic meaning in such utterances, in live interactions speakers render quite precise meanings by conversational or textual contexts, intonation, and gesture – elements that are often omitted from structural analysis. Thus, although the music theoretical disposition toward linguistic models of syntax and closure is deep seated, this allegiance actually lags behind potentially useful contributions in recent linguistic study. William Caplin offers the following reprieve for music analysis with regards to lingering criticism of topic theory.

I discern as a kind of anxiety that some scholars betray when considering the possibility of defining a syntax for musical topics. Might the urge to discover principles of topical succession originate in some need to legitimize the general

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7 Andrew Dell’Antonio challenges these models of truth content in “Introduction: Beyond Structural Listening?” in Beyond Structural Listening?: Postmodern Modes of Hearing, ed. Andrew Dell’Antonio (Berkeley: University of California Press, 2004), 4-5.
practice of topical analysis? After all, most of our successful analytic models – be they harmonic, metric or formal – are grounded in powerful syntactical principles. But if we find in the end that topical analysis has little, or even no, syntactical basis, there is no reason for regret. Many modes of musical organization, such as timbre and dynamics, are clearly nonsyntactic, yet they are no less significant forces for musical expression. Even if the relation of topoi to form is ultimately a fragile one, this in no way invalidates the potential that topics may have within their primary function as bearers of conventionalized musical meaning.\(^9\)

The exoneration is all the more remarkable coming from a past president of the Society for Music Theory and author of a novel approach to sonata form partly indebted to traditional harmonic, motivic, and formal analysis, but largely invested in theories of rhetoric.\(^10\) Perhaps there is hope after all to pursue to full fruition a theory that takes as its foundation an approach rooted not in syntax, but the concept of semiotic consciousness. Semiotic consciousness, as we will find, has underscored many of the principles predicated by my theory of texture, yet the full theoretical implications of the notion will be brought to light here. Semiotic consciousness allows for multivalent and disjunct listening strategies which more closely map the real time experience of attentive, though not necessarily analytic, listening. In the latter case, we might posit a particular mode of listening, such as pitch in structural listening, to guide the entire hearing. But with semiotic consciousness, we may better incorporate how meaning forms in the turbid parametric experience of listening.

**SEMIOTIC CONSCIOUSNESS**

If the semiotic system of texture is neither a teleological nor a hierarchic/closural model based on the assemblage of gradually stronger units of closure, how is the analyst

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to evaluate the truth content posited by texture’s semiosis? The answer lies in the cyclic nature of textural succession and its very ability to call attention to the phenomenon of texture itself. In previous chapters, the listener’s experience of texture was proposed as a kind of pendulum, swinging between a desire for textural stability and for textural variation to disrupt the monotony implicit in that stability. This monotony threatens because the stable texture is largely semiotically inert once the novelty of its onset wears off. David Lidov dubs this inconsistency in the sign receiver’s awareness of semiotic process “semiotic consciousness”:

Transparency and opacity are relative and unstable. As we become accustomed to a sign, we tend to stop noticing that it is one; it becomes transparent. On the other hand, a sign that has become inconspicuous can be made more opaque by a new context, as when a barber shop pole shows up in an ice cream parlor. *Fluctuations of sign consciousness* are a fundamental phenomenon for semiotics.11

In textural analysis, this opacity of semiotic consciousness is most evident in regions of textural transition. Such processes of saturation, transition, and onset each serve to draw attention to the conceptual phenomenon of texture. Ironically, when texture is stable the concept recedes from the listener’s awareness. It is at moments of transition that the listener is drawn to the concept through the absence of its stability.

Semiotic consciousness, as demonstrated at moments of textural transition, involves indices, a particular type of sign that Peirce defines as “anything which focuses [sic] the attention… anything which startles us is an index in so far as it marks the junction between two portions of experience.”12 Barthes more colorfully illustrates this phenomenon in his description of the “Highway Code” where

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…it is not out of the question that one might come across systems which are ‘scattered,’ as it were, in which inert spaces of matter support here and there signs which are not only discontinuous but separate: the road signs of the Highway Code, as found in real life, are separated by long stretches devoid of signification (fragments of roads or streets); one could then speak about syntagms which are (temporarily) dead.\(^{13}\)

The Highway Code is a helpful metaphor for understanding the temporal experience of textural semiosis. Although the listener may not observe signs for a long stretch, it is imperative to obey the eventual stop sign or red light that inevitably arises. The model does not offer the same kind of accountability for every moment of the work that organic models of analysis may provide. And yet, if we understand that syntax and structure do not always inform semiosis, we can reweight the emphasis of our study to allow semiosis, or rather our shifting awareness of it, to guide how we understand the structure and experiential time of that semiotic system. Semiotic consciousness thus suggests varying levels of signification, raising vital questions about the epistemological foundation of interpretation.

Indexicality suggests further semiotic importance over icons due to Peirce’s concept of “levels of thought” or “categories of experience” codified as firstness, secondness, and thirdness. For Peirce, different signs assert different “ontological” statuses.\(^{14}\) Firstness arises from mere impression, and suggests a vague idea, whereas secondness points to actuality and fact. Thirdness, a category not as important for the discussion here, implies general categories or theorems with broad application. The difference between firstness and secondness is profound: the first, which includes categories of \textit{qualisigns} and icons, only points to possibility while secondness, to which


\(^{14}\) Peirce, Philosophical Writings of Peirce, see especially pp. 102-108. For a concise discussion of Peirce’s categories of thought as they pertain to musical style, see Hatten, Musical Meaning in Beethoven, 258-261.
indices belong, implies an actual event with truth content. Naomi Cumming summarizes Peirce’s distinctions with the table reproduced in Figure 6.1, in which it is evident that a quality suggests a possibility, whereas the event points to actuality.\footnote{Cumming, \textit{The Sonic Self}, 64-65.} Robert Hatten has also incorporated the model into his theory of stylistic growth, illustrating Peirce’s extensive sign typology as it relates to categories of thought with the figure reproduced in Figure 6.2. For both Cumming and Hatten, categories of thought are important distinctions in the perception, interpretation, and truth value of any sign. Indexicality is central to a study that seeks truth content beyond teleological models because they not only redirect the listener’s awareness, but in the conscientiousness of that deixis the sign emerges as more than mere impression or suggestion, and instead asserts an actuality with truth value.

In this chapter, I shall propose three distinct “indexicalities” of musical texture, moments that direct the listener and analysts’ awareness to textural process. These indexicalities, as Peircean “secondness,” provide the means by which musical texture asserts truth in musical interpretation. Exploring the role that texture plays in several readings of modernist works by scholars of various theoretical allegiances, I argue that three distinct “indexicalities” of textural transition emerge that contribute, unacknowledged to the truth assertions of these readings. First, I propose that musical texture directs attention through transitions towards moments of textural onset. In so doing, a musical work draws attention to the phenomenon of texture itself, thus raising awareness and criticism of musical process. Junctures between transition and onset therefore are ripe for interpretation and most often contribute to the phenomenon scholars
have coined “hermeneutic windows.” Second, at such moments of interpretation, musical texture can also index analytic deficit. Because rhythmic and harmonic analysis often fails to elucidate fully the salience of these textural moments, “texture” in its least theorized usages is often called upon in scholarly writing to continue where traditional analytic methods have come up short. “Texture” becomes an indexical sign in scholarly prose for analytic deficit. Finally, textures may act as indices of earlier musical styles when they recreate the tokens and transitional processes outside the expectations of the style in which a work is composed. These moments not only loan themselves to interpretation, but also engage meaning on a diachronic plane.

TEXTURE AND “HERMENEUTIC WINDOWS”

In the early 1990s, music theory came under attack for its supposed failure to inform and reflect the cultural-humanistic aims of musicology. Scholars such as Lawrence Kramer proposed an alternative work-centered rhetoric in which meaning emerges from “hermeneutic windows” which open within a musical work and allow “the discourse of our understanding [to] pass.” Hatten describes Kramer’s methodology as a “freely associational approach” between cultural discourses and musical works.

These discourses are often launched by peculiar or unusual structural features that demand to be interpreted, opening up hermeneutic windows that lead to cultural tropes. Kramer’s tropes are then diagnosed for their ideological content (constructions involving gender and sexuality, institutionalized power, and the like), and the interpretation often leads from the musical text to a cultural critique.

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of even a radical *deconstruction* of a composer’s ideological commitments as reflected in one or more musical works.\textsuperscript{18}

Writing at the same time, Carolyn Abbate in her seminal work *Unsung Voices*, suggests the absurdity of “any method that enables us to reach the conclusion that every piece at every moment is a narrative” and describes such practice as a kind of “narrative promiscuity.”\textsuperscript{19} Instead, passages of narration are rare, unique events that focus attention on listening and interpretive habits:

We tend to assume that performed art must engage us at every second, that a capacity to exact this state of enthrallment is a sign of its greatness...Nonetheless, most performed art casts up passages during which the listener’s attention is no longer captured by either the material or the performance; in a real sense, such passages give it shape. They are phases in a rhetorical flux that allows important moments to emerge by contrast. When music commands complete attention for more than a few minutes, it does so to self-consciously dramatic effect.\textsuperscript{20}

Kramer’s notion of “hermeneutic windows” and Abbate’s narrative structure suggest a similar approach to listening as that proposed by Lidov’s semiotic consciousness.

A critical component missing from Abbate and Kramer’s highly work-centered interpretive enterprises, however, is a stylistic context within which these “hermeneutic windows” or moments of narrativity may be cast as marked, and thus allow for a more global discussion of the musical phenomenon. The problem lies not in lack of intent or effort; Kramer acknowledges that meanings are not explicitly “‘extramusical,’ but rather are inextricably bound up with the formal processes and stylistic articulations of musical works.”\textsuperscript{21} However, Kramer also acknowledges that it “is obvious…that we still lack the

\begin{footnotesize}
\textsuperscript{18} Hatten, *Interpreting Musical Gestures, Topics, and Tropes*, 4-5.
\textsuperscript{20} Ibid., 61.
\textsuperscript{21} Kramer, *Music as Cultural Practice, 1800-1900*, 1.
\end{footnotesize}
techniques"\textsuperscript{22} for analysis that might encompass hermeneutic windows within stylistic constraints, while Kerman poignantly observes

Musicians in the academic orbit have always dragged their feet when it comes to developing alternative modes of criticism. This is as true of the musicologists as of the analysts and of the large, less clearly defined group of musicians whose inclinations may be described as broadly humanistic and who care about musicology and analysis without having made a full commitment to either.\textsuperscript{23}

Much musical analysis of the 1990s is limited by a lack of stylistically informed methods for locating, opening, and interpreting these hermeneutic windows. They are constructed by ad hoc criteria that inhibit certain objective, or what Hatten calls “intersubjectively defensible,” results.\textsuperscript{24} Although “style” is identified as one of the tools of a systematic old musicological regime, Hatten provides a convincing plea for the importance of framing these musical details that form analytic linchpins within a stylistic context:

an adequate explanation of style growth and change must include an account of internal generative processes, even if the initial impetus for change is an external motivation. An individual composer’s choices within the constraints of a style – or extending beyond those constraints in purposeful ways – may well lead to growth or change from within. Viewed from these two perspectives (the importance of a work’s individual meanings, and the need to account for growth and change), the postmodern approach may be seen as lacking a consistent grounding in the most importance cultural practices embracing the work as text: the musical style (or styles) from which it draws established cultural meanings, and against which it creates new meanings.\textsuperscript{25}

We might consider then whether a theory of texture provides an adequate analytic language with which to describe those moments that have previously been elucidated merely through analogy with extramusical literary texts.

\textsuperscript{22} Kramer, Ibid., 6.
\textsuperscript{23} Kerman, “How We Got Into Analysis, and How to Get Out,” 321.
\textsuperscript{24} Hatten, Interpreting Musical Gestures, Topics, and Tropes, 6.
\textsuperscript{25} Ibid., 6.
Ravel’s *Bolero* stands out as a particularly fruitful example for evaluating the claims of other scholars who have pursued new criticism beyond the constraints of style. The work is itself a rumination on semiotic consciousness with its meticulously choreographed deployment of orchestral techniques. But *Bolero* stands out not merely for the monotonous, mechanical quality of the work that emphasizes certain statistical parameters (namely orchestration), but also for the plethora of interpretive readings associated with the work that unanimously focus on two moments at the end of the piece: the shift to E major at rehearsal number 18 and the penultimate bar of the work.

The bulk of *Bolero* consists of a stable textural hierarchy identified by its two accompanying ostinato figures plus its “Spanish” and “Arabian” melodies folded in above this accompaniment (Example 6.1). Although the orchestration of the melodies themselves and the timbral complexity of the accompanying texture develops throughout the 334 bars of the work, this gradual and meticulous activation comfortably falls within the overall activation of a single textural profile; in other words, although the orchestral complexities are an important feature for this internal variety, they operate within the essential characteristics of the parametric hierarchy. Many critics thus hang their analyses on the shift to E major that provides the sole moment of harmonic interest in the work.

For Deborah Mawer, this modulation symbolizes “the pushing of an electric switch [that] signals an impending catyclism,” while Gerald Larner explains “the tonality lifts off from C major to E major and, as it falls back, the edifice collapses.”

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might argue that this shift acts as the final step in the extremely gradual process of activation of the *Bolero* texture. Upon full tutti employment of the orchestra at m. 291, the final push to textural saturation occurs through a brightening of that timbre by shifting to a key on the sharp side of C major at m. 327 (Example 6.2). Remarkably, the texture does not yield to the modulation, but rather remains steadfast, each of the component parts of the textural hierarchy maintaining the same rhythmic and gestural roles in E major as in the previous bars in C major. Tellingly, the orchestration does not shift at this moment. Instead, the harmonic modulation acts as the final alteration of the overall timbral color, rather than a step in a structural or teleological harmonic process. Both Mawer and Larner observe this final move toward saturation signaled at this moment, though they limit the explanation of its textural significance to harmonic analysis. With orchestral activation at its greatest and a final timbral adjustment through modulation, both writers correctly observe that the texture has no further possibility except to dissolve, an indexical moment onto which both writers map their apocalyptic readings.

The dissolution of the *Bolero* texture, reserved for the penultimate bar, serves as the fulfillment of doomsday prophecy in each of these readings. The penultimate bar initiates a transition with chromatic a ascent in the inner voices, a stepwise collapse of the treble register, and a consolidation toward homorhythm and rhythmic homogenization on sixteenth notes (Example 6.4). This predictive transition points to a textural onset that ironically and alarmingly fails to arrive. It is on this predictive transition that many scholars stake their interpretive claims:

The penultimate bar denotes the final stutter, or Attali’s ‘rupture’: the destruction of the (inhuman) mechanism and the death of the (human) dance.
Lastly, the tremendous dissonance of the second half of the second-last bar, which is made up of steady notes and rising and falling scales all jumbled together, signifies that nothing any longer has any importance, neither timbre, rhythm, tonality, nor melody.\(^{27}\)

Levi-Strauss’s reading is particularly poignant for his vivid description of liquidation procedures that occur at the textural transition. Like Kramer’s “hermeneutic windows,” the unanimous direction in interpretations of *Bolero* toward the moment of textural saturation and dissolution as the loci for such drastic readings suggests the indexical power of textural instability.

**TEXTURE AND ANALYSIS**

A second kind of indexicality arises when scholars invoke the term texture as a surrogate concept for salient musical details that evade traditional methods of analysis. Texture can, in effect, point to the boundaries of traditional analytic insight by suggesting meaningful content that exists beyond the experiences those methods verbally elucidate. In such readings texture arises as a surrogate language, suggesting interpretive criteria that scholars do not yet possess. Whereas texture itself is a metaphor for an absent theoretical language, further metaphor is invoked through comparisons with textural and other stylistic properties of contemporaneous movements in visual art. (A theory of texture unique music thus removes both analytic and visual metaphors to explicate directly the salient phenomena actually observed). In these instances the language of texture indexes the lack of a sufficient analytic method to elucidate a meaningful listening experience.

Once again, texture here intersects in a provocative manner with those criticisms from the New Musicology. Although writers such as Kerman argued that traditional analytic methods often failed to elucidate interpretive aspects of the score, Kofi Agawu has more recently advocated for analysis by observing that,

Rather than develop new methods for analysis, methods that are free of conventional biases, new musicologists often fall back on conventional methods. The props of insight-formation are considered self-evident. Rarely are the perceptual and conceptual foundations of musical analysis openly confronted. It is hard to square this particular manifestation of reticence among some new musicologists with the searching, no-nonsense spirit of post-modern inquiry.28

A gap between listening, interpretation, and language clearly exists. Among the New Musicologists, the chief solution to this issue was to write parallel or analogous analysis comparing an extramusical narrative with one mapped onto the musical score. As Abbate observes, this recourse to extramusical literary sources serves to compensate for the ephemeral characteristics of music’s own narratives. Like the parametrically shifting hierarchies of distinct units of texture, the terms of narrative disjunction “change from work to work; they are fugitive.”29 This idea resonates with both semiotic consciousness and the multivalence of texture itself. Although Abbate attempts to root these rare moments of narration in the musical fabric however, she relies on literary sources to decode meaning. The analyst, for Abbate, cannot elucidate these moments of musical rupture without invoking analogy or isomorphism with extramusical texts.

This practice of “transpositions,”30 in which a literary text substitutes for an analytic language, in combination with Abbate’s occasional use of harmonic and motivic

29 Abbate, Unsung Voices, 19
30 Ibid., 22.
analysis deserves attention. A close reading of her discussion of “disjunction” in the first movement of Mahler’s First Symphony can serve to illustrate moments of indexicality where texture, perceived here as rupture, serves to highlight the limitations of her music theoretical apparatus. At the center of her reading, Abbate draws out the salient effect of disjunction and “otherness” created by the Gesang theme, which first appears at m. 48, as a means of signaling a rare moment of narrative discursivity in the work. Observing a recurring trope in numerous contemporary accounts of the movement, Abbate argues that the “metaphorical language employed in verbalizations of this moment itself speaks for a deep sonic break.”\textsuperscript{31} Abbate thus recognizes a recurring trope in primary and secondary accounts of the movement in which m. 48 repeatedly signifies a sort of disjunction for many listeners. In her own analytic exegesis of the passage, however, she looks ahead to m. 64, where the Funeral March reenters (Example 6.5), to describe the effect of rupture at m. 48 retroactively in terms of another rupture:

More violent than the contrast or irreconcilability of the two ideas [before and after m. 48], however, is the convulsive reentry of the Funeral March ideas against the string tremolo note that makes a sudden end of the ‘Gesang’ theme.\textsuperscript{32} Shortly after this emphasis on the moment at m. 64, Abbate returns to her description of the Gesang theme with respect to the music that immediately precedes it. Abbate does not seem to argue that the effect of contrast at m. 48 is somehow retroactively conferred; indeed, the sense of rupture is immediate, enabling “a registral shift to musical discourse that signals a singer and a song.”\textsuperscript{33} The misplaced comments about the return to the

\textsuperscript{31} Ibid., 150.  
\textsuperscript{32} Ibid., 151.  
\textsuperscript{33} Ibid., 151.
Funeral March therefore presents a theoretical contradiction to her temporal listening experience.

One can sympathize with the logical slip. Abbate relies on the disruption at m. 64 because it is a harmonic contrast, a sudden and unexpected return to C minor. The actual moment of disjunction at m. 48 however falls beyond the tools of musical analysis at her disposal (Example 6.6). Agawu observes

This otherworldly moment [at m. 48] is clearly marked and maximally contrasted with what comes before. Difference embodies discontinuity. Note, however, that this characterization works in part because it refuses technical designation. If, instead of responding to the aura of the moment, we seek to understand, say, the motivic logic or the nature of succession in the realms of harmony, voice leading, or even texture, the moment will seem less radically discontinuous and more equivocal. For one thing, in the bars preceding the onset of the Gesang theme, a triplet figure introduced in the bass continues past the ostensible break and confers an element of motivic continuity. Attending to the voice leading in the bass, too, leads one to a conjunct descent, C-C♭-B♮, the ostensible crack occurring on C-flat. On the other hand, texture and timbre are different, as are dynamics and the overall affect. Thus, while the action in the primary parameters presents a case for continuity, the action in the secondary parameters presents a case for discontinuity.34

Unable to describe the actual juxtaposition between mm. 47-48, Abbate looks ahead to a moment of harmonic disruption at m. 64 before shifting her focus back to m. 48.

Although Abbate does not name texture explicitly, the statistical parameters that Agawu mentions point to a textural phenomenon, which likewise indexes musical features that lie beyond explication with the analytic tools Abbate has at her disposal.

Peirce tells us that “Anything which focuses [sic] the attention is an index. Anything which startles us is an index in so far as it marks the junction between two portions of experience.”35 But if juxtaposition for Abbate is a qualitative feature at the

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34 Agawu, *Music as Discourse*, 94.
juncture of term A (material before m. 48) and term B (the Gesang theme after m. 47), her description is striking because it only describes disruption in terms of the qualities of term B, and even looks ahead to term C (the return of the funeral march). If we reconsider the entrances of the Gesang theme, or Abbate’s disjunctions, in terms of textural succession, we might find at our disposal a more effective technical vocabulary to define the actual contrast that Abbate hears in terms that extend beyond harmonic or rhythmic analysis, but that also satisfy analysts such as Agawu who nonetheless which to place the sense of disjunction in some sort of broader successional and stylistic discussion.

The passage at m 48 is remarkable because it employs a retrodictive transition, creating an effect of ambiguity and unsettledness (Example 6.7). The passage initially employs predictive procedures of homorhythm (mm. 37-38, mm. 41-42) and a chromatic wedge (mm. 39-40). At m. 43, a theme in the woodwinds emerges with an ambiguous accompaniment: the chromatic noodling in the lower strings and progression over the four bars from c-b-(c♯)-b♭ is evocative of a chromatic line, while the upper strings, with tremolos, provide a shimmering accompaniment. The three elements of woodwind melody, tremolo, and motivic bass line might establish a stable textural hierarchy. And yet, the melody in the woodwinds fixates on its motivic fragments. It stutters and repeats certain appoggiatura gestures before the real melody, the Gesang theme, emerges at m. 48, and it is here that the outer voices in woodwinds and lower strings settle a the pitch b♭ and horns provide a contrapuntal line to the violins’ theme. Thus, the brief melodic

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36 This is further highlighted in Abbate’s musical examples 4.2, 4.3, and 4.4 where she opts not to incorporate the preceding material that contrasts with the entrances of the Gesang theme.
interlude in 43-47 never quite gets incorporated into the passage at m. 48, but calling the contrast between this passage and the Gesang theme a juxtaposition would ignore the continuity of the lower motivic figure and the settling on the b pedal in the woodwinds. The effects of “otherness” or “intrusion” that Abbate experiences at m. 48 is best described as a retrodictive transition, in which the material presented at m. 48 forces the listener to reconsider the ostensible goal posited by predictive procedures in mm. 37-42 and attempt to incorporate the passage from mm. 43-47 as some sort of extension or blurred boundary between the transition and textural onset. The Gesang theme is unsettling because the listener experiences a sense of disorientation, as if a musical cue was misinterpreted or ignored. How did the oversight of textural onset occur? This reflection of textural process brings forth not only narrative, but a sense of alienation and exclusion from comprehension of textural process. We might even add that for the analyst this effect of alienation is magnified as explication of the moment evades analysis, creating a scholarly isolation.

Mahler’s textural treatment of subsequent entrances of the theme also helps demonstrate the uniqueness of that first entrance. At m. 117, the Gesang theme is preceded by all the trappings of a slow, carefully executed predictive transition (Example 6.8). The woodwinds fixate on a motivic fragment sequenced through a chromatic descent from g²-♯f²-f²-e², fixating on the statement on e² in m. 107 for two more bars, the third iteration in m. 109 also exhibiting rhythmic augmentation and homogenization. The descending half step reverberates through the inner voices in mm. 110-115, finding increasingly augmented rhythmic permutations in the first oboe. Beneath this, the French horns disintegrate by m. 112 to mere repetitions of the pitch d, with this decay further
articulated in the carefully orchestrated diminuendo created by systematically reducing
the cello and bass sections to two players. By m. 115, the texture is reduced to mere harps
playing a descending tetrachord on straight quarter notes. Following this liquidation of
the large orchestral forces, the textural contrast provided by the Gesang theme in m. 117
is both expected and comforting – quite contrary to the disorientating and unsettling
effect when preceded by the retrodictive transition at its first appearance.

In a textural reading, then, these moments of rupture are even rarer than Abbate
allows. Of the multiple entrances of the Gesang theme throughout the movement, none
recurs with quite the same sense of ambiguity and disorientation as the first appearance at
m. 48, cloaked in a retrodictive transition. The moment is truly indexical, raising the
listener’s awareness to textural process and successional rift. Yet neither is a clear
explanation for that mysterious intermediary passage in mm. 43-47 forthcoming. We
might understand Abbate and others’ sense of alienation at this moment not only as one
of acoustic disorientation, but also theoretical frustration, as the moment points to a
linguistic deficit to explicate and stylistically frame a passage shaped by such parameters
as instrumentation and dynamics, rather than syntactic domains of pitch and rhythm.

STYLISTIC INDEXICALITY OF TEXTURES

In the previous chapters certain stylistic narratives for the development of both
stable textures and successional procedures demonstrated how texture acts as a central
index of style period. In addition to creating stylistic constraints for compositional
practice, however, composers might also opt to self-consciously appropriate textural
practices from an earlier period, thus eliciting interpretation through the markedness of an
archaic practice. In his reading of modernism in Strauss’s *Till Eulenspiegels lustige Streiche*, James Hepokoski grapples with just such self-conscious awareness of stylistic precedents in the composer’s engagement the German Wagnerian musical establishment.

Hepokoski places unprecedented weight on the role of the orchestra in this work for conveying a narrative of musical, aesthetic, and philosophical artistic progress, arguing that

… [Strauss] was now pressing these external signs into the service of quite different internal or aesthetic aims: a quasi-Nietzschean or Stirnerian individualism, perhaps, or a brazen self-promotion that no longer approached the orchestra as a sacramental or metaphysical vessel but came to regard it more palpably – more ‘of this earth’ – as the bearer of a worldly material Klang operating unashamedly within a sometimes-cynical and vigorously competitive marketplace of art. For both traditionalist partisans and ardent Wagnerians this was an unpardonable act of lèse-majesté. Strauss’s orchestra was becoming a machine for manufacturing technological astonishment, and part of its musical ‘progress’ lay in its ability to produce a calculated exactitude of nuance.³⁷

Hepokoski soon colors the discussion, however:

…yet the manifesto-aspect was cleverly concealed by an acoustic surface of boisterous wit. […] This made the seemingly ‘nonserious’ work easy to misconstrue as virtuosic, harmless entertainment. Not far below the surface, though, was a semiprivate, more threatening message with implications legible to those in the know: a throwing-down of the gauntlet to earlier orthodoxies, a proclamation of an old order being overturned – laughed away – by a new one.³⁸

Hepokoski establishes a number of uncomfortable binaries in his analysis of the work:

public versus private, tradition versus innovation, overt and covert meanings, ad hoc and theoretic analysis, all of which map onto a fundamental binary between orchestral technique and musical form. Hepokoski repeatedly argues that the provocative politics of this program were concealed by a musical surface, manifest in this colossal orchestra of

³⁸ Ibid., 7.
“merry pranks.” Thus, “surface” and “depth” enter into a tenuous relationship in this reading, and ultimately, with his lengthy discussion of sonata deformation in the work as the source for this “private” reading, Hepokoski anchors the actual “truth content” of the work on his formal reading.

Hepokoski provides a wealth of textural, harmonic, and formal details that unfold hand in hand, simultaneously informing each other. At one point he argues that “formal structure and expressive content become fused, one in the same. It is in their combatic interaction, especially in the recapitulation, that we may perceive a musical playing-out of the generational struggle of the traditionalists and the modernists.” However, the reader maintains a sense that Hepokoski is uncomfortable with the very textural observations that he draws. For example, in the symphony’s second theme, Hepokoski notes the unusual procedure of modulating to the subdominant rather than dominant, and proposes this as one moment in which Strauss engages with the normative procedures of the sonata form tradition. It is the textural profile of the second theme however that provides the particulars for the interpretation of this marked structural procedure. In other words, musical structure provides a correlation with markedness, but the close reading provided by the texture fills in the details of the strategic interpretation. His reading is worth quoting here at length.

The musical content [of the second theme] is also suggestive. Till may be parodying the hymnic piety of churchmen, but within its Austro-Germanic 1895 context the gemächlich identifying theme also suggests the topos of university songs of the sort incorporated, for instance, in Brahms’s Academic Festival Overture (1880). From this perspective, it is one side of the Brahmsian style that Strauss satirized here: middle-register sonorities and doublings; hymnic piety; “quotation-mark” traditional harmony and phrase-formatting; the cozily rich ii₆–

39 Ibid., 36.
\( V^6/V-V \) progression in m. 182, bringing a self-satisfied antecedent phrase to its end; the securely confident ascents in the melody; the institutionally stabilized, honorific glow of the whole. This suggests that it is not solely the clergy who are being mocked here but also the priestly “professoriate” of Germanic art-music traditionalists—the dignified Brahmsians in full academic regalia. (In this respect the Pastor episode, nominally about religious orthodoxy, foreshadows the more explicit, later episode in which Till taunts the professorial Philistines.) In other words, as Till, inside the workings of the piece, masquerades as the sober pastor, so Strauss, outside of the piece, has been donning traditionalist garb (the symphony orchestra, the ritual of the public concert, and so on) in order to play this prank, this Streich (using in part the Streichorchester, the string orchestra).

Hepokoski’s analysis here is incredibly descriptive of the textural features of the passage, and his mapping of strategically marked features onto the external context of Strauss as critic of the symphonic establishment is highly dependent on his textural reading. But Hepokoski ultimately anchors this interpretation of Strauss’s cultural, aesthetic program on the sonata-rondo deformation of the symphony. Thus, formal and textural features enter into a tenuous relationship, and although Hepokoski does a remarkable job identifying rich parametric features, particularly in the orchestration, the reader perceives a sense of unease from Hepokoski as these ad hoc observations about texture are ultimately subordinated to a theoretically framed harmonic reading. The anxiety is not unfamiliar: given the lack of stylistic means for framing such textural observations, it is quite plausible that giving such observations the final word would be uncomfortable. Textural phenomenon, in the absence of stylistic constraints or technical vocabulary, might venture too close to what Agawu decries as “fanciful meanings that are likely to crop up in unbridled discussion of phenomena.”

In sum, although Hepokoski goes to great lengths to demonstrate how the formal design of the symphony engages with a traditional compositional establishment and

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constituent conventions, he fails to treat *textural* processes to a similar stylistic narrative.

In the case of formal analysis, he warns against treating a work’s musical structure as an idiosyncratic token unique to a particular composer, an approach that, he writes,

…ignores the persisting power of genre and tradition and believes – or pretends to believe – that a “great composer,” *qua* isolated genius, approaches the material of a symphonic work in what is primarily a historically neutralized, nonideological space. Such a view is insupportable. To enter into the composition of a sonata-form-oriented work is to step into a socially precharged field of formal expectations and tensions that enable and constrain compositional choices at every step along the way.41

Despite his careful attention to – and reliance on – conventional procedures that Strauss subverts in order to construct his aesthetic critique in this work, Hepokoski does not treat the textural procedures to the same such stylistic rigor. Thus, although the textural (for Hepokoski orchestral and topical) features merely construct an external program, it is the sonata-rondo deformation that in the end establishes the meta-narrative within the stylistic history of Western symphonic music. The semantic content with which he draws strategic interpretation onto the stylistic correlation of formal structure both contributes to his particular modernist reading within the typographies of sonata deformation, while those “marked” textural procedures deserve analytic attention with regard to their own stylistic constraints. To treat content (in this instance, texture) and form to distinct sections within the article fails to illustrate how integral they are to each other, and how the sonata-rondo deformation relied on textural material to actually decode the meaning of this particular deformation. How would Hepokoski’s analysis unfold if a stylistic history of the textural details he observes were to factor into his reading? The reading of a modernist critique, with Till as a stand-in for Strauss, would not necessarily change, yet

41 Hepokoski, “Framing Till Eulenspiegel,” 31n.
the textural details would emerge on their own standing, without relying on formal
structure for “deeper” meaning. Thus, the binaries for public-private, surface-depth,
over-covert meanings would erode.

The symphonic poem immediately invokes in mm. 6-49 the Beethovenian
precedents of predictive transition (Example 6.8). What Hepokoski identifies as processes
of *Steigerung* might now be recast in a broader stylistic lens of predictive transition that
unfolds in distinct stages of deployment of the processes and profiles of transition. After
the repeated iterations of the Till motive in mm. 6-32, the shimmering accompaniment
and slow harmonic rhythm in the strings quickly dissipates under an increasingly
stratified wind texture. Beginning in m. 33 ensemble moves toward a rhythmic
homogenization of straight eighth notes (sixteenths in the upper strings). The wind
section gradually intensifies, first with fragments of French horns in mm. 33-34 and then
growing through the addition of flutes, oboes, and bassoons in m. 36, and the remaining
woodwinds and horns in mm. 37-38 to build systematically to the full tutti statement in
mm. 39-40. This intricate interplay of orchestral subgroups in mm. 33-36 resembles the
timbral alternations characteristic of Beethoven’s predictive transitions.\(^ {42} \) Also similar to
the early nineteenth century transition, Strauss soon yields this technique to several other
distinct, modular treatments. After this timbral patter, the orchestra culminates in a
colossal tutti arrival by m. 39. This directed intensification of instrumental and dynamic
forces, again quite reminiscent of Beethoven’s symphonic treatment,\(^ {43} \) further unfolds in
a dramatic chromatic ascent through nearly an octave in most voices. And yet, the

\(^ {42} \) Compare Strauss’s treatment of such subgroupings that echo throughout the transition with the technique
in the strings in Beethoven’s Symphony No. 7, first movement at mm. 256-257 and mm. 260-261 (Example
5.8).

\(^ {43} \) See the calculated buildup in Beethoven’s Symphony No. 3, first movement at mm. 70-76.
predictive transition does not end here. Rather than resolve the textural instability with the onset of a new parametric hierarchy, Strauss continues another modular phase of predictive transition, once again pitting distinct orchestral subgroupings against one another on a fragment of the Till melody. These techniques of timbral alternation, chromatic line, motivic fragmentation, rhythmic homogenization, and timbral and dynamic intensification are all characteristic of predictive transition, yet the modular way in which the transition proceeds in distinct phases is quite indicative of an early Romantic style that consciously departs from the lengthy, sinuous predictive transitions, where saturation often seamlessly bleeds into predictive procedures, so characteristic of Strauss’s orchestral style (see chapter five).

It is telling therefore to observe how Strauss treats the complementary passage in the recapitulation. In an unexpected twist, after two statements of the Till melody in the French horns, Strauss drastically reduces the orchestral texture at m. 443 to a small trio of violins and clarinets, the latter voices exhibiting sweeping descending chromatic lines. These lines are pitted against a rich patter of the fragmented Till motive in the flutes, English horn, second violin, and first bassoon. The passage is highly ambiguous, with timbral reduction and chromatic lines suggesting transition, while the motivic gestures hint at characteristic material that might coalesce into a stable textural hierarchy. The timbral alternation between the French horn and clarinet dominated woodwind timbre in m. 449-464 is thus highly ambiguous. The fourfold repetition of the pattern threatens the focal repetition to resolve toward textural repetition, and yet, each of the answers of the larger ensemble in this passage suggest an explosive, unidirectional expanse in register, and the entire passage builds from pianissimo to fortissimo. Thus, the arrival in m. 465 of
clearly predictive material (chromatic ascending lines, timbral alternation, and the final
sixteenth note thrust toward m. 485) presents a strikingly ambiguous and yet Straussian
idiomatic passage of textural transition nonetheless idiomatic to Strauss’s lengthy and
belabored textural transitions.

Hepokoski argues that *Till Eulenspiegel* constitutes Strauss’s covert criticism,
through the academic tradition of sonata form, of an established German musical
tradition of which Strauss’s contemporaries viewed Wagner as the inheritor. Audiences,
Hepokoski argues, understand a complex field in which works engage both past and
present interpretive contexts, including

that Strauss is being inset into a definable tradition (*Till* is being juxtaposed with
works of, say, Mozart, Beethoven, Mendelssohn, Schumann, or Wagner); that
concert pieces were then claiming to be lasting musical statements that are also to
be written about, studied, and trained for in academies, universities, and
conservatories; that (in the 1890s) the liberal-humanist tradition was under threat
by the new generation of modernists; and so on.\(^4^4\)

The thesis is rich and, largely, I would argue, accurate. Yet the methodology with which
Hepokoski pursues his thesis, adding rigorous stylistic framework to formal
considerations while approaching textural features on an ad hoc basis is problematic. This
is the case not only because, as I have demonstrated, texture clearly bears its own
narrative and stylistic constraints, but also because Hepokoski extends this false
correlation of formal/analytic and textural/ad hoc forms a false semiotic square. Texture
is not ad hoc, and therefore cannot be reduced to a surface program that operates without
preexisting stylistic knowledge. Granted, the listener may be *unaware* of the stylistic
narrative, but in the manner in which Strauss realizes the sonata form deformation with

\(^{44}\) Strauss, “Framing *Till Eulenspiegel*,” 40.
particular topical and textural transitional rhetoric provides the particular images and references with which Hepokoski is able to fill in the details of a typological sonata form deviation.

My aim here is not to debunk several well known readings of canonical musical works from the twentieth century (that shall be reserved for chapter seven), but instead to demonstrate moments of indexicality in which textural transitions emerge to point to moments ripe for interpretation, deficits in analytic language, and, in self-referential fashion, indicate its own meta-narrative of stylistic development. Texture often underpins analytic intuitions, and by bringing those assumptions to light, a textural analysis can actually strengthen these analyses and support these conclusions. This is not always the case, however, and in the next chapter I will explore the profound implications for stylistic and historical narrative a textural reading may contribute.
CHAPTER 7

Stravinsky’s Sullied Pastoral: Textural Analysis and the Historiography of The Rite of Spring

The notion of disjunction plays a central role in the analysis and interpretation of The Rite of Spring. Juxtaposition, disruption, and rupture are observed at three distinct levels of analysis: the syntax of the work, the historical or diachronic positioning of the work within a musical-stylistic context, and the cultural and sociological implications of the work within its pre-World War I historical context. Each of these levels in the interpretive discourse plays out to inform conclusions about the aesthetic and social value of Stravinsky’s most iconic contribution to modernism. The Rite also exemplifies, however, how textural observations are inappropriately constrained at the level of style. At the crux of the issue is a tendency by which features interpreted as marked by virtue of disjunction in the textural domain are inappropriately mapped onto readings of historical rupture and sociological alienation. In this chapter I will critique what has become a logical fallacy for how disjunction in one arena may be semiotically mapped onto another interpretive domain. The nature of juxtaposition as a musical feature of the Rite is largely misidentified due to allegiances to music theoretical apparatus limited to pitch and rhythmic analysis, while the broader assumptions about a rupture with musical tradition rely on a fairly limited reading of Romantic and modern stylistic expectations. Both these limitations lead to deeply flawed conclusions about the sociological location of the Rite.
Using my textural method, I will explore the notion of juxtaposition in the *Rite* from a textural standpoint to illustrate that the “juxtaposition” in the *Rite* in fact represents continuity with the textural lexicon and a revitalization of textural heterogeneity through juxtadictive transitions of the Classical style. With this informed understanding of the textural process in the *Rite* placed within an appropriate stylistic context, I will conclude with a reevaluation of the *Rite*’s social meaning in opposition to Adorno and Taruskin’s conclusions about the work’s anti-humanism.

At the syntactic level, disjunction in the *Rite* is often interchanged with juxtaposition to describe the experiential effect of abrupt interruptions in the work. These disjunctions are typically judged to be anti-developmental, anti-teleological, and static, resulting in a reactionary stance against late nineteenth-century musical tradition, in particular tonal procedures. This reading usually takes the form of a historical “rupture” with the nineteenth century, epitomized in Elliott Antokoletz’s characterization of the modernist style:

> An unprecedented departure from established musical traditions characterizes much of the music composed during the first decade of the twentieth century…No changes of musical style or technique have ever produced such a sense of historical discontinuity as those that gave rise to our own era. This condition may be traced directly to the radical change in the basic premises of the musical language itself, a revolutionary transformation stemming most prominently from the works of Ives, Scriabin, Debussy, Bartók, Stravinsky, and members of the Vienna Schoenberg circle.¹

Adorno offers a more sociological reading that is no less encompassing in its propensity to map features of the musical work onto broad sweeping conclusions about the psychological and sociological implications of the work:

The ‘general ideal,’ the meaning, the synthesis of the partial elements of the theme arise precisely from their juxtaposition as elements divided from each other. As a result, the musical continuum of time is itself dissociated. Stravinsky’s music remains a marginal phenomenon in spite of the dispersion of its style across an entire younger generation because it avoids the dialectical confrontation with music’s temporal progression that has constituted the essence of all great music since Bach.²

Richard Taruskin vehemently objects to Antokoletz’s reading in a now infamous essay, arguing that using the disjunction of the Rite musical content to signal a historical rupture falsely frees the analyst from historical burden and enables her to domesticate the volatile characteristics of the score within the hermetic freedom of ahistoricity. The pursuit for underlying unity in the work, epitomized by Pieter van den Toorn’s octatonic study and Allan Forte’s set pitch analysis, is, according to Taruskin, a primary impulse of this fallacious freedom and indicates a propensity to normalize and, in yet another way, sanitize. To perceive regularities and familiar patterns beneath a complicated or unusual surface (for all that it contradicts the myth of disruption) is evidence of analytical acumen; and so regularity of pattern is prized and sought, and inevitably found.³

For Taruskin, the Rite instead stands at the end of a “maximalized” nineteenth century intellectual-aesthetic tradition in which Enlightenment rationalism and empiricism were rejected for Romantic “immediacy” of experience. Primitivism, as an idyllic, innocent, untainted consciousness, initially represented this Romantic ideal, but by the end of the nineteenth century such sentimentality was stripped to its basic primal instincts as “biologism.” The Rite embodies this trend in its musical aesthetic of neprodvizhnost’ (immobility), drobnost’ (formal disunity and disjunction), and uproshcheniye

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(simplicity). In Taruskin’s musical description of these characteristics, the burden falls squarely on textural features:

Stravinsky’s radical simplification of texture, his static, vamping harmonies, and his repetitive, ostinato-driven forms were the perfect musical approach to the primitivist ideal – the resolute shedding of conventional complexities of linear thought and their replacement by long spans of unchanging content, accessible to instant, as it were, Gnostic, apprehension and eliciting a primitive, kinesthetic response.4

Drawing on Adorno’s thesis of an absence of memory, Taruskin extrapolates this tendency from the musical fabric onto the willingness of analysts to overlook the Rite’s supposed anti-humanist programmatic reading that prefigured Nazi German atrocities three decades after its composition. Ironically, however, Taruskin’s reading also reinforces a narrative of sociological rupture around the Rite, manifest in a cultural critique of the music theoretical enterprise’s concept of “the music itself.” Whether the preferred socio-cultural reading of “rupture” be a departure with the tonal tradition of the nineteenth century or a severance with subjectivity and humanism leading to the catyclysmic events of World War II and still tacitly endorsed in the music theoretical establishment, the quality of a surface disjunction in the Rite, and its stylistic response to nineteenth-century musical precedents, sets the stage for analysts and cultural historians to form broad-sweeping sociological evaluations of modernism.

The assumption that the analytic domains of musical object, stylistic framework, and sociological backdrop may be mutually reinforcing in a hermeneutic reading is not problematic in and of itself. However, the methodology becomes fraught when the foundation for analytic observations are, as I shall demonstrate, essentially textural in

4 Ibid., 385.
nature while the stylistic constraints on those readings, and against which scholars then correlate readings of rupture and anti-humanism, pertain only to harmonic expectations. A breakdown in the stylistic correlation of supposedly marked textural features results in inappropriate conclusions and interpretations at the level of cultural discourse. In this chapter, I will explore in careful detail the textural suppositions that underlie many readings of the *Rite* and place those observations in dialogue within their proper stylistic discourse. Only then can interpretive conclusions and sociological observations be drawn about the work.

**JUXTAPOSITION, RUPTURE, AND THE “AUGURS” CHORD**

At the heart of juxtapositive analytic approaches to the *Rite* is the notion of “block”-like structures that pervades the musical fabric. Pierre Boulez, Antokoletz, Peter Hill, Richard Kramer, Jonathan Cross, Taruskin, and Daniel Chua, among others point to a dominant trend in Stravinsky’s music, and the *Rite* in particular, to place added emphasis on the analytic treatment of segmentational criteria, be they by tonal, prolongational, octatonic, or other means, to derive semantic meaning.⁵ Although analysts delineate parameters for segmentation prior to analysis in the domains of pitch, rhythmic, and metric content, as was already observed in Taruskin’s textural underpinning of *uproshcheniye*, multivalence remains a primary factor that looms over

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analyses of block structures. Van den Toorn, describing Type I and Type II block procedures in the *Rite*, explains,

As with Type I, the reiterating fragments [of Type II] remain fixed registrally and instrumentally, with no imitative or developmental dialogue or exchange. But since, as indicated, these fragments repeat according to periods that vary independently of one another, they produce a vertical or harmonic coincidence that is inconstant, constantly changing.6

Van den Toorn’s explanation resembles the methodology for hierarchizing parameters into stable textural units. Stable texture is, after all, defined by those parameters that establish normative boundaries of variation, thereby either subjugating other parametric variety within the hierarchy or yielding to such challenges from other parameters at moments of transition. Cross further adds “Stravinsky’s blocks, especially in the *Symphonies of Wind Instruments*, are delineated not only in terms of harmony, rhythm, and tempo, but also by instrumental timbre.”7 And yet pitch and occasionally meter remain the prime means for taxonomizing and historicizing disjunction in the *Rite*.

At the most glaring instance of rupture in the score, the opening of the “Augurs of Spring,” pitch and metric analysis reveal glaringly impoverished results. For all the supposed dissonance and disjunction of superimposing F♯ major and E♯ seventh chords at rehearsal number 13, the metric and harmonic properties of the “Augurs of Spring” are set in motion well in advance, beginning in m. 69 of the “Introduction” (Example 7.1). The “Augurs” chord is foreshadowed here in the pizzicato ostinato in the first violin. Stravinsky activates the middle register here with the first violins and violas, creating a registrally constant transition to the “Augurs,” while the pitch content of the ostinato

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6 Van den Toorn, *Stravinsky and The Rite of Spring*, 100.
7 Jonathan Cross, *Stravinsky's Legacy*, 34.
(d♭₁-b♭-e♭₁-b♭) preempts the upper voicing of the “Augurs” chord. Even the aural effect of meter remains constant as the sixteenth notes in the predominantly 2/4 passage marked \( \frac{\dot{1}}{} = 50 \) transform into eighth notes in a faster 2/4 where \( \frac{\dot{1}}{} = 50 \); although the tempo doubles, the notation of the preceding ostinato versus the “Augurs” chord preserves exactly the pacing of the pitch articulations. With the voice leading, register, harmony, rhythm, and tempo consistent between these two passages, the disjunctive effect of the “Augurs” chord lies entirely in the domains of articulation (from pizzicato to staccato and sforzando), dynamics (from mf to ff), and instrumentation (from woodwinds and first violins to lower strings and French horns). The effect of rupture here is created by a particularly contrasting juxtadictive transition where textural hierarchies are delineated immediately by changes in articulation, dynamics, and instrumentation rather than pitch or meter.

The seemingly marked nature of a juxtadictive transition here is not lost on analysts. Those who pursue readings of the work’s “block” structure are also fascinated with the means by which these blocks succeed one another. In this instance, the means of segmentation itself becomes the fodder of interpretation. Arnold Whittall, following Edward Cone, observes that “the strata are not so much synthesized as superimposed, however much they are texturally interwoven (see Cone 1962/1968), and it is difficult to feel that the divergent components of the texture are subsumed into a higher unity which is itself of positive structural significance.”

For Taruskin, a sense of immobility, created by “long stretches of arrested root motion and pulsing rhythm,” contributes to a formal disunity where “‘the art of transition’ between sections is famously eschewed in favor of

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abrupt, lurching shifts.” Thus, the moment of transition that affectively instills the greatest sense of disjunction is also, ironically, harmonically static. Indeed, disjunction and stasis fall into an unlikely, contradictory partnership throughout Rite scholarship.

The framing of what is largely a textural phenomenon within the context of tonal and rhythmic expectations creates an unusual irony in interpretations whereby a cellular heterogeneity yields, implausibly, a “stasis.” These two assertions – the work’s heterogeneous block structures (derived largely from multivalent criteria) versus a resultant stasis (defined exclusively as harmonic non-development) – is methodologically flawed. If blocks are determined by multivalent criteria, why should they be held to traditional expectations of motivic and harmonic development? Such conclusions about the affective nature of these ruptures derive largely from a model of adjacency, dependent largely on a material though atemporal model of musical texture, rather than a stylistically informed model that also considers the temporality of textural succession. The “block” only exemplifies stasis if we rely on a visual model, rather than one that considers the succession of those blocks a dynamic and stylistically indexical event in its own right. If a textural observation lies latent in these analyses, we ought likewise to bring into the light the stylistic expectations within which we might frame such textural observations.

What is notable in this passage, and stands in marked contrast to immediate stylistic precedents in the late nineteenth century, is the predominance of juxtadictive transitions as the main successional procedure in the Rite. Following seven bars of the foreshadowing ostinato after rehearsal number 12 and eight bars of the “Augurs”

\footnote{9 Taruskin, Defining Russia Musically, 383.}
parametric hierarchy, the texture once more abruptly shifts at rehearsal number 14 to a condensed ensemble of woodwinds and cellos (Example 7.1). Four bars later, another sudden return to the original “Augurs” texture transpires only to dissipate again at rehearsal number 16 into yet another smaller ensemble. These juxtadictive transitions stand in striking contrast to the extended predictive transitions or more subtle retrodictive transitions of late Romantics. Unlike the works of Mahler and Strauss in which we observed such transformations as lengthy and often belabored processes, or Debussy in which transitions thrive in focused intensity and brevity, Stravinsky’s textural processes “reject” the “progress” of transitional procedures of the late nineteenth century. But nor do they opt for the inert, catatonic, or primitive regression that Adorno and Taruskin hear. Stravinsky’s style instead resembles the rapid textural shifts in Mozart’s instrumental music which Rosen, Ratner, Hatten, and others have credited to the influence of opera buffa’s dramatic fluidity and stands as a marked, innovative feature of the Classical style.

The procedure of juxtadictive transition appears throughout the *Rite* to different affective effects. At the beginning of the “Spring Rounds,” the subdued woodwind passage marked “Tranquillo” gives way after six measures to the weightier string chordal ostinato that accompanies the clarinet and oboe lament (Example 7.2). After this sustained dialogue, with Stravinsky occasionally changing the instrumentation of these wind utterances over the string ostinato, the passage comes to a sudden, tutti statement of the ostinato pattern at rehearsal 53 (Example 7.3). The interjection is unprepared by any textural activation and saturation that might be expected in the Romantic period, while the terraced effect of juxtaposed dynamics and instrumentation is characteristic of the late eighteenth century. Additional juxtapositions of textue continue throughout the
movement with the abrupt return of music from the “Ritual of Abduction” at rehearsal number 54, evaporating into a return of the *Tranquillo* opening texture at rehearsal number 56, and finally departing abruptly into the “Ritual of the Two Rival Tribes” at rehearsal number 57 (Example 7.4).

Adorno and Taruskin’s views of such juxtadictive procedures as primitive and anti-developmental, looking back to a medieval or Neolithic age, reveals little *stylistic* appreciation for the textural procedures at work here. Although neither fails to read juxtaposition as a marked feature, in the absence of defining that multivalence in parametric and textural language, they are unable to place the procedure within an appropriate stylistic context that can appreciate how the procedure is actually marked. If anything, Stravinsky “regression” to a Classical procedure illustrates a conscious rejection of the melancholic, striving Subject of the Romantics, embodied in the drawn-out predictive transitions of Strauss. Instead, Stravinsky returns to the dramatic plurality of the opera buffa stage, opting to present a rich variety of characters to his audience.

Taruskin finds greatest offence in analytic methodologies that posit decontextualized or “neutral” levels of analysis in an effort to “sanitize” those uncomfortable historical contexts that may accompany the work. Instead, he wishes to posit the work within a nineteenth-century “legacy” of cultural maximalism, at which primitivism acts as

a core constituent of romanticism, against which the modern (and again, especially *The Rite*) is so often and so wrongly construed as a break. The idea of primitive immediacy of consciousness, of at-oneness with the world, was at the very hear of the German romantic concept of culture – *Kultur* – as opposed to the false *Zivilisation* of the Enlightenment (that is, of France), and became the most basic component of the Germans’ construction of their national identity. At the other end of the nineteenth century, the end that provided *The Rite* with its
immediate background, the idea surfaced with particular force in Russia, where in a curious semantic switch, the cognate world, *kul’tura*, was associated with Enlightenment, and a good *ur*-Slavic antonym, *stikhiya*, was pressed into service in the name of primitive romantic immediacy. All this was brought to a head by the same sense of impending catastrophe that seized political and social thinkers in the aftermath of the Emancipation with its great uprooting of the peasantry… It was in the name of a maximalized primitivism that nineteenth-century romanticism gave way to twentieth-century revolutionary politics.\(^{10}\)

However, Taruskin’s reading betrays its own teleological underpinnings, as his historical trajectory for the *Rite* constructs a comfortably linear narrative that progresses through stages of Enlightenment liberalism, Bonaparte disillusionment, and Industrialized calamity. Rarely is history so smooth. Stravinsky does *not* look back to a primitive era, but rather reinvigorates stylistic techniques from a more recent, though not immediately preceding, era. In rejecting the lengthy predictive transitions or enigmatic retrodictive transitions of his contemporaries, Stravinsky revived and cultivated continuity with his stylistic predecessors without actually accepting the textural innovations of the Romantics.

The importance of the intersubjectivity of juxtadictive procedure both in the Classical style and Stravinsky’s music cannot be understated. Contrary to the readings of ultimate objectivity, submission to the collective, and annihilation of the individual, the juxtadictive procedures of the *Rite* conjure up the dramatic multiplicity of the *opera buffa* stage. To interpret juxtaposition in Stravinsky along these punitive criteria would require a similar reappraisal of late Classical style sociological values. One must ask why this procedure of textural juxtadiction would be celebrated in the late eighteenth century and at the same time deemed primitive and destructive by critics of early twentieth-century music. At worst, we might label Stravinsky as conservative in his reactive leanings, but

\(^{10}\) Ibid., 378.
his compositional procedures hardly stretch back as far as medieval primitivism. Indeed, Jann Pasler has found a connection between Stravinsky’s compositional style and the theatrical influences in *Petrushka*. For Pasler, the dramatic fluidity of the ballet, rooted in the traditions of *commedia dell’arte*, enables a heterogeneous multiplicity of subjects: the crowd in *Petrushka* is depicted as a heterogeneous collection, each character briefly stepping forward visually and musically to “introduce” themselves. The effect is a musical pastiche of plurality, heterogeneity, and cosmopolitanism.\(^{11}\) It is textural juxtaposition that draws the listener’s attention most poignantly to this very pluralism.

And just as for Mozart, Haydn, and contemporaries Italian *commedia dell’arte* served as an inspiration for dramatic timing, which in turn played an important role in the development of textural heterogeneity, so too does Stravinsky return to the very same foundations in Italian lower class theatrical traditions to revitalize this earlier textural technique.

In this context, we might view Stravinsky’s revitalization of Classical techniques as a reaction to the long, focused, destructively subjective predictive transitions of the German Romantics. In a reaction to the egotistically self-absorbed Subject of late Romanticism, Stravinsky calls our attention to the heterogeneity of his musical actors. But whereas the *commedia dell’arte* actors of *Petrushka* are readily apparent and much discussed, such discussions of inter-subjectivity of collective multiplicity often taper once discussion turns to the juxtapositive style of the *Rite*. If juxtadictive transitions in the *Rite* potential point to a diverse collage of subjectivities, just who are those actors?

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TOPICS IN THE RITE OF SPRING

Boris Asaf’yev, writing in 1929, variously identifies pastoral themes, a lament, a fanfare, and a “march-like popevka” in the *Rite of Spring.* More recently, Peter Hill has referred to a fanfare in the “Ritual of Abduction,” a march in the “Procession of the Sage,” and a “march-like passage in 4/4” in the “Spring Rounds.” It would seem that the discourse surrounding the *Rite* is laden with rich allusions to musical signifiers in the vein of Ratner’s theory of musical topics. Despite ample references to a topical language in *Rite* scholarship, however, there remains a certain hesitancy and ambivalence toward the viability of Ratner’s theory for twentieth-century repertory. Asaf’yev’s writings of course predate Ratner’s theory. For Peter Hill, writing more recently, topical references remain in quotations in his text or are modified by the “-like” suffix. Even Daniel Chua, who has referred to the Augurs chord as an “extroversive” musical topic, does not venture further in his theorizing of topics.

The rewards of a potential topical reading of the work seem clear: such a reading would fulfill, by means of a very different methodology, Taruskin’s call for a rehabilitation of the extramusical into the work. Yet the risks, evident in Hill and Chua’s evasive language, are daunting: finding an edifice of late eighteenth century textural practice in the work would not only present a striking blow to the reading of modernist rupture (already undermined by the conservative return to juxtadictive transitions argued above) but would also force a reevaluation of the work as a representative of a

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13 Peter Hill, *Stravinsky,* 67, 70, 52.
14 Daniel Chua, “Rioting with Stravinsky.”
maximized nineteenth century Romantic, as opposed to Classical, aesthetic. Indeed, such an approach that uncovers a rich array of conventional extramusical signifiers threatens to place the work’s meaning back in the hands of finely attuned listeners’ ears, rather than critics and analysts who approach the work with certain sociological aims. It is this invitation to critical listening that the Rite invokes immediately at the beginning with the opening bassoon melody.

The opening of the Rite presents a pastoral landscape, evident in early reviews that resonate with themes of simplistic primitivism, innocence, and timelessness. One British critic in 1913 described the Introduction as “the beginning of the world, when men were just ceasing to be animals and were coming into their heritage as human beings…”15 Asaf’yev more concretely identifies several essential parameters of the pastoral texture in the “pastoral themes that form the principle melodic lines” and a “static, drone-like harmonic background” in the opening.16 Upon closer examination, all of the essential characteristics of the pastoral textural hierarchy, as well as a number of frequent characteristics, are evident in the opening (refer back to Figure 3.2). The simple contour of the bassoon offers a diatonic melody further embellished by the repeating e¹-b¹-a¹ that acts gesturally as an appoggiatura (Example 7.5). Pedals become increasingly prominent under the melody, first with c¹-d¹-c¹ in the French horns and again with the g¹-c¹ dyad in the clarinets in m. 6. Overall the passage is subdued dynamically and

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16 Indeed, Boris Asaf’yev describes the passage as follows: Boris Asaf’yev, however, describes the opening of the Rite as follows: “On the first page of the score we have the materials basic to the construction of the whole introduction: the pastoral themes that form the principle melodic lines, counterpoints branching out from them, and a bass that moves in parallel fourths and forms an essentially static, drone-like harmonic background.” A Book About Stravinsky, 30.
triplet subdivisions pervade throughout the melody and accompaniment. In addition to these essential parametric characteristics, Stravinsky also emphasizes sparse woodwind scoring, rocking half step motion in the sustained accompaniment, and a series of parallel descending fourths in the clarinets.

With such a strong token appearance of the pastoral texture, the “Introduction” to the Rite is ripe for strategic interpretation. Perhaps the opening ensnares the listener into Adorno’s catatonic or hypnotic state, dulling the faculty for remembrance within a timeless Eden, or lulling the listener into a receptive state for coercion that Taruskin eventually hears in the “Sacrificial Dance.” But several features mark this pastoral and invite critical listening. Soon after the serene wash that opens the Rite, numerous “hunt calls” begin to intrude on this landscape. The punctuated rhythms in the oboe that first appear at rehearsal 4 invoke a distorted hunt tattoo (Example 7.6). Subsequent calls in the oboe at rehearsal 9 also fall within the registral range of the hunt horn, while the clarinet melody at rehearsal 10 unfolds in largely diatonic formulations resembling the limited pitches available to hunting horns (Example 7.7, 7.8). A gradual timbral “unveiling” of the hunt finally culminates in the trumpet call just before rehearsal 11 (Example 7.9). The troping of the hunt with the pastoral here may not at first glance seem unusual given their shared physical and aesthetic realm in nature. But the hunt calls here are not the slow, alla breve, lulling calls, such as in the Lento of Vaughan Williams Third Symphony, that help to embellish a forested depiction of arcadia.\footnote{Monelle discusses the pastoral horn, and specifically this passage from Vaughan Williams, in The Musical Topic, 103.} Rather, the hunt calls gradually rise to the
forefront of the musical landscape, increasingly dominating the texture, and emerging from a timbral haze into an unequivocally forceful trumpet call.

Symbolically we can find ample precedent for this type of troping. As demonstrated in chapter four where troping of the pastoral formed the oriental texture in the nineteenth century, there are two distinct veins of the pastoral signifier. The first, a “high” pastoral, extends back to the Renaissance and Baroque celebration of a Classical idyll found in Arcadia. But in the nineteenth century the French *fête galante* emphasized the pastoral landscape as a venue for deceitful escape from reality through wanton gratification. This theme is still potently manifest in the early twentieth century, notably in Debussy’s *Prelude to the Afternoon of a Faun*. Monelle’s explanation deserves full quotation here:

> an ancient world, pagan, mysterious, sunlit, is evoked. It may, indeed, be a pastoral world. But the image of innocence, of happy love, is rendered crystalline, is slightly colored with risk… Its irresponsibility is no longer a means to freedom, but becomes an animal quality, beautiful but grotesque.

It is this type of pastoral, one infused with apprehension rather than nostalgia, that Stravinsky invokes in his pastoral opening to the *Rite*. Although the primitive scene seems idyllic and pristine from outside the introductory frame of the work, we are reminded to keep our ears open and maintain a critical perspective on what is about to unfold.

The dances in the second half of the *Rite* constitute some of the most topically diversified music in the ballet, creating a distinct stylistic shift toward the ritual procedure that culminates in the sacrificial act. If the setting of the *Rite* in the first half is overcast

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18 Ibid., 185-196.
19 Ibid., 268.
by an ominous pastoral-hunt trope through which to view the rituals and dances of the first part, a more somber, authoritative mood is immediately cast over the second part by the profusion of imitative textures in the “Introduction” to Part Two. One measure before rehearsal number 85, two trumpets engage in a two-voice texture with a telling rhythmic pattern that invokes a textural category abstracted from the more rigorous procedures of fourth species counterpoint (Example 7.10). The texture returns with increasing persistence at rehearsal 86 and again at rehearsal 90, reorchestrated for French horns and strings with a counter melody in the clarinet (Example 7.10, 7.11). The sparse scoring of the counterpoint stands in stark contrast to the rich scoring for divided strings that frames the interjections. Stravinsky penchant for evoking pseudo-contrapuntal textures through register and rhythm without following the actual rules of species counterpoint is further highlighted by parallel sevenths in the clarinets at rehearsal 94 (Examples 7.12). Finally, the texture enriches at rehearsal number 99 to a four-voice choral type in which each voice remains in a distinct vocal register (soprano, alto, tenor, bass), avoids voice crossing, moves in largely stepwise motion, and maintains a simple rhythmic profile (Example 7.13). Although Stravinsky conjures images of a pagan Russia, the musical signifiers of counterpoint, which map onto spirituality, gravity, and (im)mortality, suggest a narrative shift. Leaving behind the sullied pastoral and earthly games of part one, Stravinsky shifts gears toward the earnest ritual.

The ecclesiastic high style of the introduction to part two soon gives way to more secular powers in the thunderous fanfare that erupts at the “Evocation of the Ancestors,” bringing this earnest tone to its full, worldly severity. Stravinsky heralds the ancestors with the full force of a regal fanfare. The entire wind section proceeds in a fortissimo
homorhythmic explosion of an $A^9$ chord. Like Classical fanfares, the passage is richly scored, relatively consonant and harmonically static, embellished only by the neighbor motion to a $C^9$ chord (Example 7.14). The passage achieves the desired effect: it grabs the attention and signals that something of importance will commence. It is here that the sacrifice first seems inevitable, that a force is set in motion to which the work will now bear witness.

Yet as a narrative device the fanfare also affectively tempers the scene: it is, indeed, a horrifying fanfare. Unlike the heroic and triumphant fanfares that characterized the Romantic era, this fanfare is unsettling, invasive, and foreign. The sudden homophony is eerie following the spastic outbursts of the “Naming and Honoring of the Chosen One,” and the celestial quietude of the part two’s introduction and “Mystic Circles.” Furthermore, the fanfare is set over a highly dissonant $D^\flat$ pedal, and the explosive wind fanfare texture alternates with a pianissimo, staccato “commentary” in the strings and bassoons. This banter counteracts the severity and importance of the high styles evoked, and even suggests a sinister irreverence.

The following “Ritual Action of the Ancestors” is one of the most terrifying moments in the *Rite*, for it is here that the communal agency behind the sacrifice is brought to light and illustrated as definitively distinct from the listening subject. The fanfare abruptly dissolves at rehearsal 129 into a quiet, steady pulse kept by percussion, lower strings, and horns (Example 7.15). Following the previous two sections of metric irregularity, the resolute 4/4 is striking. Even more disquieting is the unusual instrumentation, characterized by a percussion ensemble of timpani, tambourine, and bass drum. The chromatically serpentine melody in the English horn adds further exotic
flavoring. The “Ritual Action” evokes a sensation of ominous and eerie familiarity, attributable to the striking topical clarity: compare the passage with another familiar manifestation of this topic in an excerpt from the final movement of Beethoven’s Ninth Symphony (Example 7.16). The resemblance of the opening texture of the “Ritual Action” to the Turkish march from Beethoven’s Ninth Symphony is uncanny. The “Ritual Action” introduces the perpetrators of the sacrifice through a well-established musical signifier for (Eastern) otherness. The Turkish march comes to full comical, and therefore unsettling, fruition with the cacophonous tutti, complete with the “bells and whistles” in the timbral effects of piccolo, flutes, and violins in this grotesque parade at rehearsal 138.

This is a pivotal moment of the work. The Turkish march of Beethoven’s Ninth Symphony represents, for Hatten, an ironic and social equalizing fall from sacred to comic registers:

…what the “low” Turkish march achieves is a thematically appropriate universality by embracing the low style (democratically promoting the dignity of the common man) and reaching out across cultural boundaries (since “alle Menschen werden Brüder”).

But in the Rite, as Adorno and Taruskin would agree, no such ideal of universal brotherhood emerges. Stravinsky’s Turkish march embodies all of the negative qualities of European perceptions of Middle Eastern otherness: despotism, brutality, paganism (or at least non-Christianity), and, most politically relevant on the eve of World War I, military aggression.

20 Hatten, Musical Meaning in Beethoven, 82.
Notably, Stravinsky already uses this Turkish trope in the third tableau of *Petrushka*, where he employs the Turkish march in his portrayal of the Moor. The appearance there infuses an element of violence into the score that foreshadows Petrushka’s brutal end at the Moor’s hands (Example 7.17). Stravinsky’s topical uses of the Turkish march are notable in that the signifier, or musical attributes of the topic, undergo little stylistic variance between Beethoven and Stravinsky, while the *signified* experiences a much more complex transformation. The impending threat of conflict that the Turkish band originally signified during seventeenth-century conflicts with the Ottoman Empire has returned.\(^{21}\) In *The Rite of Spring* the Turkish march is stripped programmatically of specific reference to these cultural, political, or racial significations, yet it simultaneously embodies violence *itself* in its decontextualized “Otherness.” By portraying the perpetrators onstage in this guise, the listener retains a critical distancing from the violence of the sacrifice that is to ensue.

The key here, however, is its *otherness*. Taruskin tells us that in the “Sacrificial Dance,” with “its terrible dynamism…persuades us – nay, coerces us – to share its point of view.”\(^{22}\) But the Turkish march in the “Ritual Action” performs quite the opposite: it gives a clear face to the perpetrators of the sacrifice and clearly delineates this faction from the listening subject. The “Ritual Action” reminds the listener of her distance from the events onstage and reignites the call from the opening of part one to approach this work critically.

\(^{22}\) Taruskin, *Defining Russia Musically*, 386.
We thus arrive at the “Sacrificial Dance” itself. For Taruskin, this section brings the reading of biologism to fruition as the Chosen One’s death is presented, ostensibly, in the absence of pathos as “a sacrifice without tragedy,” and “as anything but horrible – and that’s what’s horrible.”\(^{23}\) A remarkable textural profile within the “Sacrificial Dance” suggests otherwise. Soon after the thunderous outburst of orchestration and irregular meter that begins the Sacrificial Dance, the metric energy gives way to a passage highly reminiscent of a pavane – that somber and memorializing funeral march most attributed with the *Allegretto* of Beethoven’s Seventh Symphony and Schubert’s *Töd und das Mädchen* (Examples 7.18, 7.19). In Stravinsky’s “Sacrificial Dance,” a similar subdued passage of pianissimo, homorhythmic strings emerges (Example 7.20). In addition to dynamics and instrumentation, adapting Woodruff’s model for phase shifting reviewed in chapter three can again elucidate here the fluid 2/4 pavane meter that presides over this passage. In Stravinsky’s notation, the complex pattern of sixteenth notes and sixteenth and eighth rests can be simplified to highlight the characteristic motive of the pavane that occurs. The first full statement of the pavane begins on the fourth eighth note of the passage, or the downbeat of one measure after rehearsal 149. Thus, the pavane pattern first unfolds on the fourth phase level of the 2/4 meter (Example 7.21). From here, three full bars of the pavane ensue, identical in homorhythm, instrumentation, and harmonic simplicity to Beethoven and Schubert, before a rest on phase four’s downbeat (which corresponds to the eighth note rest in rehearsal 150) shifts the 2/4 onto the third level. After another full two bar statement of the pavane rhythm at phase three, an added eighth note once more results in a phase shift. Here, in the third and fourth measures after

\(^{23}\) Ibid., 386.
rehearsal number 150, things become more ambiguous. A phase shift on the first level might immediately incorporate half of the pavane pattern, but once more an added rest on the downbeat immediately interrupts this phase. Instead, this eighth-note, eighth rest at phase one might be reinterpreted as a quarter note at phase two, thus providing a pickup to yet another full statement of the pavane rhythm. Stravinsky’s particular adaptation of the pavane texture adds more complexity than the examples from Beethoven or Stravinsky. But Stravinsky nonetheless deploys a background 2/4 meter on different phases, using the essential pavane motive to move between these phases. The orchestration, subdued dynamics and homophonic texture meanwhile contribute the other elements of the pavane hierarchy.

The significance of a pavane in the midst of the “Sacrificial Dance” is profound. From its origins in the sixteenth century as a court dance, the pavane’s dactylic-spondee rhythm was incorporated into a somber processional topic. Marjorie Wing Hirsch writes, “the pavane rhythmic pattern is one of Schubert’s favorite musical symbols for death; he uses it numerous times throughout his songs in conjunction with references to death.” Nicholas Temperly expands this definition to a multi-parametric description of the textural sign adopted by Schubert from Beethoven:

…the most obvious [characteristic] is the dactyl-spondee rhythm of the opening theme. Of course, this rhythm is very common in music of the time…But when we find the rhythm present by Schubert’s free choice, treated slowly, in block chords, and in the minor mode, to establish a “heavy tread” of sinister import which then persists for some time, with some parts moving by step while an outer

part holds to a tonic or dominant pedal – in such cases we can hardly doubt the Beethoven connection.\textsuperscript{25}

Stravinsky’s incorporation of the pavane into the “Sacrificial Dance” is deeply meaningful. The oppressive homophonic drive of 2/4 captures – both in the early nineteenth century and the modernist era – a slow, unyielding push toward a fatal inevitability. The pavane infuses the “Sacrificial Dance” with pathos and opens a space for the listener in the \textit{Rite} to empathize with the Chosen One and fear the inevitability of her fate.

This space, however, is fleeting, for it soon comes under siege. At rehearsal 151, three trombones interject with a fearful descending figure rhythmically punctuated with accents. The trombones not only rudely disrupt this pensive haven in the midst of the cacophony of the “Sacrificial Dance,” but they emerge as marked features that mock the pavane. Indeed, they conform to certain conventions of both lament and pavane. The figure is a descending chromatic line, typical of Baroque laments. Moreover, the line embeds itself in the middle register, presenting a moving inner line amidst the pedal tones of the pavane.

As in the opening of part one where hunt calls serve to call attention to the edifice of the pastoral landscape and invites a critical ear, those very brass calls return to assault the listener’s identification with the Chosen One. But Taruskin’s claim that we are “coerced” to participate in the horror of the sacrifice is problematic. Barraged, berated, and bullied, perhaps. But in that very struggle to protect these critical spaces in the score from orchestral onslaught, the listener carves out a space for her own subjectivity within

\textsuperscript{25} Nicholas Temperley, “Schubert and Beethoven’s Eight-Six Chord,” \textit{19\textsuperscript{th}-Century Music} 5, no. 2 (1981): 143.
the work. Adorno describes an “anorganic” quality of the score that “impedes empathy
and identification.” But a stylistically informed reading provides quite the opposite.

TEXTURE’S CONTRIBUTION TO THE EXTRAMUSICAL

Adorno and Taruskin place the Rite at the center of their particularly negative
evaluations of the modernist milieu. Although Taruskin describes the work as the
“bleakest, most anti-humanistic of all philosophical visions,” this provocative
conclusion arises from a more targeted sociological project that appropriates the Rite as
the locus of a disciplinary critique of the music theoretical establishment. The Rite serves
as a backdrop for a reexamination of what he deems the “extramusical,” an interpretive
framework that music analysts ostensibly avoid in favor of cultivating readings of the
work’s internal structure. The reader soon learns that the criteria of Taruskin’s
“extramusical” are those contexts that support his interpretive conclusion. For the Rite,
extramusical contexts are selectively drawn from dance historians who inform the
reception history of the actual choreography (and its subsequent suppression) and
Russian literature from which he derives an extensive conceptual history. Although both
of these historical contexts are highly relevant, Taruskin’s evaluation of the
“extramusical” does not incorporate existing analytic trends in semiotics, and topic
analysis in particular, that might fulfill the invitation for a richer interpretive context.

What is remarkable about the topical reading for the Rite, proposed here through
an analysis of stable textural types, is the strong contrast of interpretive conclusions the

---

26 Adorno, The Philosophy of New Music, 130.
27 Taruskin, Defining Russia Musically, 1999.
listener might draw when sensitive to the work’s extramusical reference. Adorno
describes the narrativity of the Rite as a dispassionate and detached objectivity: “The
music initially says, So it was – and provides no more commentary than does Flaubert in
Madame Bovary. The horror is observed with a certain satisfaction, but it is not
transfigured; rather, it is performed untempered.”28 But a topical reading suggests
otherwise. The introductions to parts one and two both present rich topical material that
immediately shapes the dramatic overtones of the work: an idyllic pastoral is cast with
menacing undertones of the hunt, while part two suddenly shift the register toward an
authoritative, somber mood.

Remarkably, despite the unusual harmonies and disconcerting meter of the Rite,
the work is richly expressive because of an abundance of conventional textural types.
Texture provides a conceptual paradigm of continuity against which he could experiment
in particular parameters of pitch and rhythm. Nor was this expressive level lost on his
contemporaries. Writing in 1929, Boris Asaf’yev observes “unusual sounds” in the Rite,
from which he concludes:

> awareness of such areas of sounds, whatever may be its biological or psycho-

physiological basis, lends an added dimension to our perception of music: it
makes us alert and attentive, it forces us to hear in depth (much as we see in
depth), it makes us more sensitive to all sound, to the sounds of quietude and even
of silence itself. All that enriches our experience of life.29

Given the invitation through troping of the pastoral and the hunt in the opening, the
identification of the ancestors with a distinct “otherness,” and the pavane in the
“Sacrificial Dance,” the Rite is heavily infused with invitations to the listener to engage

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28 Adorno, The Philosophy of New Music, 112.
29 Boris Asafyev, A Book About Stravinsky, 47. Emphasis mine.
the work critically and leaves room for the most humanistic of emotions: compassion for the Chosen One’s fate. If Taruskin wishes to appropriate the “extramusical” and other historically relevant information into critically informed interpretations, such an approach might begin first and foremost by incorporating previously understudied and poorly understood stylistic contexts into readings of the Rite.

Although Taruskin’s reading of a “maximalized” nineteenth century culture is provocative, the textural evidence does not support such a linear reading. Many of the Rite’s textures find their origins in the late eighteenth century. Certainly the nineteenth century played an important role in maintaining and refining the associative correlations of these types on which the present interpretation of the Rite relies. The transitional nature of the Rite, however, is stylistically marked because it signals a departure from the predictive and retrodictive procedures of textural succession at the late nineteenth century. The juxtapositions (or rather, juxtadictions) of the Rite are stylistically marked not because the practice was novel. Rather, it signaled a rejection of the nineteenth century not for a nihilistic or objectifying void, but for a reinvigoration of Classical procedures, a reweighting of stylistic preference for textural heterogeneity and clear textural parsing without exploiting the ambiguities of fuzzy sets.

The present study has served not only to refine a working analytic vocabulary for the study of texture, but also to reevaluate many of the stylistic and historiographic presumptions implicit to invocations of the concept music scholarship. The Rite serves as a case study to demonstrate the profound influence that texture and its stylistic precedents may bring to historiography both explicitly and implicitly. Indeed, the implications on Stravinsky’s style of the current reading of the Rite cast new light elsewhere in his
compositional oeuvre. The preponderance of a Classical textural typology as well as
successional procedures might call for a reevaluation of Stravinsky’s neo-classicism in
general. Textural analysis would suggest this was not merely a “phase” of the composer’s
career. Instead, the late eighteenth century served as a source of inspiration and semiotic
significance from far earlier in his career than previously explored. Moreover, given the
rich discursivity achieved through the exploration of well established textural typologies,
Stravinsky’s music in particular and modernism more broadly, signifies less of a rupture
as a reprioritization where radical experiments specifically in pitch and rhythm were
ultimately encompassed within a higher epistemological security in textural conventions.
RETHINKING THE SIGN:
stylistic competency and interpretation of musical textures,
1890-1920

Volume 2

Johanna Frymoyer

A dissertation
presented to the faculty
of Princeton University
in candidacy for the degree
of doctor of philosophy

Recommended for acceptance
by the department of music

Advisor: Kofi V. Agawu

November 2012
Appendix: Figures and Musical Examples

Example 1.1. Debussy, *Nocturnes*, “Nuages,” mm. 1-5

![Musical Example 1.1: Debussy, Nocturnes, “Nuages,” mm. 1-5](image)

Example 1.2. Debussy, *Nocturnes*, “Nuages,” mm. 11-12

![Musical Example 1.2: Debussy, Nocturnes, “Nuages,” mm. 11-12](image)

Figure 1.1. Craig Wright, Listening Chart for “Hallelujah Chorus” from Handel’s *Messiah* from *Listening to Music*

<table>
<thead>
<tr>
<th>Time</th>
<th>Text</th>
<th>Example</th>
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<tbody>
<tr>
<td>0:01</td>
<td>“Hallelujah! Hallelujah!”—homophony</td>
<td></td>
</tr>
<tr>
<td>0:25</td>
<td>“For the Lord God Omnipotent reigneth”—monophony</td>
<td></td>
</tr>
<tr>
<td>0:32</td>
<td>“Hallelujah! Hallelujah”—homophony</td>
<td></td>
</tr>
<tr>
<td>0:37</td>
<td>“For the Lord God Omnipotent reigneth”—monophony</td>
<td></td>
</tr>
<tr>
<td>0:44</td>
<td>“Hallelujah! Hallelujah!”—homophony</td>
<td></td>
</tr>
<tr>
<td>0:49</td>
<td>“For the Lord God Omnipotent reigneth” together with “Hallelujah”—polyphony</td>
<td></td>
</tr>
<tr>
<td>1:16</td>
<td>“The Kingdom of this world is become”—homophony</td>
<td></td>
</tr>
<tr>
<td>1:35</td>
<td>“And He shall reign for ever and ever”—polyphony</td>
<td></td>
</tr>
<tr>
<td>1:58</td>
<td>“King of Kings and Lord of Lords” together with “Hallelujah”—homophony</td>
<td></td>
</tr>
<tr>
<td>2:39</td>
<td>“And He shall reign for ever and ever”—polyphony</td>
<td></td>
</tr>
<tr>
<td>2:51</td>
<td>“King of Kings and Lord of Lords” together with “Hallelujah”—homophony</td>
<td></td>
</tr>
<tr>
<td>3:01</td>
<td>“And He shall reign for ever and ever”—polyphony</td>
<td></td>
</tr>
<tr>
<td>3:07</td>
<td>“King of Kings and Lord of Lords” together with “Hallelujah”—homophony</td>
<td></td>
</tr>
</tbody>
</table>
Example 1.3. Palestrina, *Pope Marcellus Mass*, “Credo,” mm. 1-16
Example 1.4. Mozart, Twelve Variations on “Ah! Vous dirai-je, Maman,” K. 265, Theme

Example 1.5. Mozart, Twelve Variations on “Ah! Vous dirai-je, Maman,” K. 265, Var. 1

Example 1.6. Mozart, Twelve Variations on “Ah! Vous dirai-je, Maman,” K. 265, Var. 2

Example 1.7. Mozart, Twelve Variations on “Ah! Vous dirai-je, Maman,” K. 265, Var. 3
Example 1.8. Mozart, Twelve Variations on “Ah! Vous dirai-je, Maman,” K. 265, Var. 4

Example 1.9. Mozart, Twelve Variations on “Ah! Vous dirai-je, Maman,” K. 265, Var. 5

Figure 1.2. Redirection of Parametric Attention in Variations 1-5 in Mozart, K. 265

<table>
<thead>
<tr>
<th></th>
<th>RHYTHM</th>
<th>VOICING</th>
<th>ARTICULATION</th>
<th>REGISTER</th>
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<tbody>
<tr>
<td>Theme</td>
<td>quarters</td>
<td>homorhythm</td>
<td>unmarked</td>
<td>c-a²</td>
</tr>
<tr>
<td>Variation I</td>
<td>sixteenths</td>
<td>active treble</td>
<td>florid</td>
<td>c-e³</td>
</tr>
<tr>
<td>Variation II</td>
<td>sixteenths</td>
<td>active bass, inner voices</td>
<td>florid</td>
<td>c-a²</td>
</tr>
<tr>
<td>Variation III</td>
<td>triplets</td>
<td>active treble</td>
<td>staccato</td>
<td>C-e³</td>
</tr>
<tr>
<td>Variation IV</td>
<td>triplets</td>
<td>active bass</td>
<td>florid</td>
<td>C-a²</td>
</tr>
<tr>
<td>Variation V</td>
<td>eightths</td>
<td>single line</td>
<td>hocket</td>
<td>e¹-a²</td>
</tr>
</tbody>
</table>

Example 1.10. Mozart, Twelve Variations on “Ah! Vous dirai-je, Maman,” K.265, Var. 8
Example 1.11. Mozart, Piano Sonata No. 16 in C Major, K. 545, mm. 42-45

Example 1.12. Mozart, Piano Sonata No. 16 in C Major, K. 545, mm. 55-61

Example 1.13. Mozart, Piano Sonata No. 16 in C Major, K. 545, mm. 1-4
Example 1.15. Mozart, Serenade in G Major, K. 525, “Eine kleine Nachtmusik,”
I. Allegro, mm. 1-27
Figure 1.3. Model for Fuzzy Sets
from Danuta Mirka “Texture in Penderecki’s Sonoristic Style (2000: figure 3)


Figure 1.4. Model for Contradiction
from Danuta Mirka “Texture in Penderecki’s Sonoristic Style (2000: figure 1)
Figure 1.5. Model for Contrariety
from Danuta Mirka “Texture in Penderecki’s Sonoristic Style (2000: figure 2)

Figure 1.6. Overview of Theory of Texture
Example 2.2. Bach, Invention No. 8 in F Major, mm. 19-21

Example 2.3. Bach, Invention No. 8 in F Major, mm. 1-7
Example 2.4. Bach, Brandenburg Concerto No. 3 in G Major, I. Allegro, mm. 23-28
Example 2.5. Bach, Brandenburg Concerto, No. 3 in G Major, I. *Allegro*, mm. 87-90

III. *Presto*, mm. 32-38
Example 2.7. Handel, Chaconne in G Major for Harpsichord (HWV 435), Variation 18


Example 2.9. Mozart, Piano Sonata in C Major, K. 309, I. Allegro con spirito, mm. 21-26
Example 2.10. Schubert, String Quartet No. 7 in D Major, D. 94, IV. *Presto*, mm. 110-123

Example 2.11. Shostakovich, Symphony No. 6, III. *Presto*, mm. 16-19
Example 3.1. Bartok, String Quartet No. 1, Op. 7 (Sz. 40), III. *Allegro Vivace*, reh. 16

Example 3.2. Mozart, String Quartet No. 2 in D Major, K. 155, I. *Allegro*, mm. 29-36
Figure 3.1. Characteristics of the Pastoral from Robert Hatten, *Musical Meaning in Beethoven* (1994: 95-97)

1. Six-eight meter
2. Pedal points on V^5
3. Harmonic stasis achieved by V7 arpeggiation
4. Relatively simple melodic contour
5. Contrary motion creating a “wedge” shape
6. Rocking accompaniment
7. Parallel thirds
8. Consonant appoggiatura
9. Elaborated resolution of dissonance
10. Major mode, quiet dynamics

Example 3.3. Debussy, *Prelude to the Afternoon of a Faun*, mm. 1-10
Example 3.4. Stravinsky, *A Soldier’s Tale*, Pastoral, mm. 1-14
Figure 3.2. Weighted Hierarchy of Parametric Characteristics of the Pastoral Texture

Figure 3.3. Weighted Hierarchy of Parametric Characteristics of the Minuet Texture
Example 3.5. Stravinsky, *Suite de Pulcinella*, VIII. *Minuetto*, reh. 94-96
Example 3.6. Berg, Composition Study, \textit{Menuet} for String Quartet in D minor

Figure 3.4. “Basic model of the interaction between stylistic correlations and strategic interpretations, with respect to expressive meaning in music” from Robert Hatten, *Musical Meaning in Beethoven* (1994: 30)
Example 3.8. Bartok, *Concerto for Orchestra*, IV. *Intermezzo interrotto*, reh 43
Example 3.9. Stravinsky, *L’histoire du Soldat*, “Royal March,” mm. 1-3 and 9-12 showing Elliot Woodruff’s concept of Metrical Phase Shifts
Example 3.10. Chopin, Waltz in F minor, Op. 70, no. 2, mm. 1-5

Example 3.11. Saint-Saëns, Danse macabre, mm. 33-41

Figure 3.5. Characteristics of the Waltz
1. triple meter
2. melody plus accompaniment texture
3. om-pah-pah profile
4. timbral differences between beats one and two in accompaniment
5. large upward ascending leap between beats one and two in melody
6. slight anticipation of second beat
7. hemiola effects
8. melodic motives:

Figure 3.6. Weighted Hierarchy of Parametric Characteristics of the Waltz Topic

- **Essential**
  - triple meter
  - melodic motives

- **Frequent Characteristics**
  - registral distinction between beats 1 and 2
  - timbral/instrumental difference between beats 1 and 2
  - slight anticipation of second beat
  - melodic motives that emphasize beat 2
  - inversion to high – low – low
  - hemiola effects

- **Stylistically Particular Embellishments**
  - large ascending melodic leap between beats 1 and 2
  - hemiola effects (Schoenberg!)
Example 3.13. Schoenberg, String Quartet No. 1 in D, rehearsal B
Example 3.14. Schoenberg, String Quartet No. 2, II. *Sehr rasch*, mm. 165-188

\[ \text{Music notation image} \]

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241
Example 3.15. Schoenberg, *Pierrot Lunaire*, “Serenade,” mm. 1-4


Figure 3.7. Weighted Hierarchy of Parametric Characteristics of the March Topic
Example 4.1. Haydn, Symphony No. 23 in G Major, III. *Menuetto e Trio*, mm. 1-12

Example 4.2. Schubert, Waltz in E Major, D. 145, no. 12, mm. 4-16
Example 4.3. Bruckner, Symphony No. 4 in E-flat Major, IV. Finale, mm. 65-68

Example 4.4. Stravinsky, Petrushka, mm. 148-158
Stringendo. \( \frac{d}{d} = 46. \)
Figure 4.1. Troping through Alternation

Example 4.5. Mahler, Symphony No. 6 in A minor, II. *Andante moderato*, mm. 98-107

*Altväterisch. (Poco meno mosso.)*

*Grazioso. (Immer gleiche Achtel.)*

\[
\begin{align*}
\text{subtexture a (march)} & & \text{subtexture b (Ländler)} & & \text{subtexture a (march)} & & \text{subtexture b (Ländler)} & & \text{subtexture a (march)} \\
\text{subtexture b (Ländler)} & & \text{subtexture a (march)} & & \text{subtexture b (Ländler)} & & \text{subtexture a (march)} & & \text{subtexture b (Ländler)} & & \text{subtexture a (march)}
\end{align*}
\]
Figure 4.2. Model for Derivation of a New Type from Articulation of an Existing One, adopted from Figure 10.5 in Hatten, *Musical Meaning in Beethoven* (1994: 264)

- Token (s) of a type (S)
- Differentiation from other tokens (y,z) of the type
- Generalization of a new type, as a subset of the original type, and having its own tokens

Figure 4.3. Formation of a New Type from a Subset of an Existing One Illustrated in the Parametric Hierarchy

- Previously non-essential features become essential
Figure 4.4. Weighted Hierarchy of Parametric Characteristics of the Contredanse Topic

* denotes text adapted from Allanbrook (1983: 57)
Example 4.8. Mozart, *Le Nozze di Figaro*, “Se vuol ballare,” mm. 64-79
Example 4.9. Mozart, String Quintet in E-flat Major, K. 614, IV. Allegro, mm. 1-16
Example 4.10. Saint-Saëns, *Samson and Delilah*, “Bacchanale,” mm. 3-17
Example 4.11. Strauss, *Salome*, “Dance of the Seven Veils,” mm. 1-16
I. Largo – Allegro giocoso, mm. 41-56
I. Largo – Allegro gioioso, mm. 89-96


Скоро
Example 4.17. Stravinsky, *Firebird*, reh. 3, m. 13

Figure 5.1. Model of Juxtadictive Transition

Example 5.1. Mozart, Sonata No. 12 in F Major, K. 332, I. Allegro? mm. 1-22
Example 5.2. Clementi, Sonatina Op. 36, No. 3, mm. 1-26

Spiritoso

Texture 1

Texture 2

Texture 3

Texture 2

Texture 4

Texture 5

Texture 6
Figure 5.1. Comparison of Textural and Phrase Rhythm


<table>
<thead>
<tr>
<th>mm.</th>
<th>1</th>
<th>2</th>
<th>3</th>
<th>4</th>
<th>5</th>
<th>6</th>
<th>7</th>
<th>8</th>
<th>9</th>
<th>10</th>
<th>11</th>
<th>12</th>
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<tbody>
<tr>
<td>phrase rhythm</td>
<td>I</td>
<td>V (HC)</td>
<td>I</td>
<td>V</td>
<td>6</td>
<td>1</td>
<td>V</td>
<td></td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>textural rhythm</td>
<td>Texture 1</td>
<td>Texture 2</td>
<td>Texture 3</td>
<td></td>
<td></td>
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b. Clementi, Sonatina Op. 36, No. 3

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<tbody>
<tr>
<td>phrase rhythm</td>
<td>I</td>
<td>V</td>
<td>I(PAC)</td>
<td>V</td>
<td>I(PAC)</td>
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<td></td>
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<tr>
<td>textural rhythm</td>
<td>Texture 1</td>
<td>Texture 2</td>
<td>Texture 3</td>
<td>Texture 2</td>
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Example 5.3. Schoenberg, *Drei Klavierstücke*, Op. 11, I. Mäßig, mm. 1-11
Example 5.4. Schoenberg, *Verklärte Nacht*, mm. 255-261
Figure 5.3. Model of Predictive Transition

![Model of Predictive Transition](Image)

Figure 5.4. Processes and Profiles of Predictive Textural Transition

<table>
<thead>
<tr>
<th>Processes</th>
<th>Profiles</th>
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<tbody>
<tr>
<td>Unidirectional Expansion or Deflation of</td>
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<tr>
<td>• Registral range</td>
<td>Homorhythm</td>
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<td>• Dynamics</td>
<td></td>
</tr>
<tr>
<td>• Rhythm</td>
<td>Timbral alternation</td>
</tr>
<tr>
<td>Intensification or Deflation of Instrumental Forces</td>
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<tr>
<td>Homogenization of rhythm</td>
<td>Focal repetition of motives</td>
</tr>
<tr>
<td>Chromatic, unidirectional lines</td>
<td></td>
</tr>
</tbody>
</table>
Example 5.5. Schubert, Symphony No. 3 in D Major, D. 200,
I. Allegro con brio, mm. 159-177
Example 5.6. Berlioz, *Symphonie fantastique*, I. Rêveries – Passions, mm. 216-230
Example 5.7. Schoenberg, *Verklärte Nacht*, mm. 303-310
Example 5.9. Mahler, Symphony No. 2, III. *In ruhig fließender Bewegung*, mm. 445-466
Example 5.10. Tchaikovsky, Symphony No. 6 in B minor, first movement, mm. 142-

**Predictive Transition**

**Preceding Stable Textural Unit**

**Gradual Registral Deflation**

**Chromatic Descend**

**Focal Repetition**

**Instrumental Deflation**

**Dynamic Deflation**

**Tempo Deflation**

**Rhythmic Deflation**

**Rallentando**

**PPP** New Textural Unit
Example 5.11. Debussy, *Prélude à l’après-midi d’un faune*, mm. 11-21
281
Figure 5.5. Model for Contrariety with Fuzzy Logic
from Danuta Mirka “Texture in Penderecki’s Sonoristic Style (2000: figure 4)

Figure 5.6. Model for Fuzzy Boundaries that result in Saturation or Retrodictive Transition
Example 5.12. Schubert, Symphony No. 8 in B Minor, D. 759,
I. Allegro moderato, mm. 1-45
Example 5.13. Mahler, Symphony No. 1 in D Major,
I. Langsam, Schleppend, Immer sehr gemächlich, mm. 1-63

Langsam. Schleppend.
Der Ruf eines Kukuxes nachzuhumen.

mit Dämpfer

2 Più mosso.

(Più mosso. molto express. molto rit. ppp weich und ausdrucksstoll)

Flag.
Allmählich und unmerklich in das Hauptzeitmass übergehen

Im Anfang sehr gemächlich.

Immer sehr gemächlich.
Example 5.15. Chopin, Prelude in D-flat Major, Op. 28, No. 15, mm. 24-32
Example 5.16. Beethoven, Symphony No. 5 in C Minor, I. *Allegro con brio*, mm. 197-243
Example 5.17. Debussy, *Préludes*, Premier Livre, 10. Le cathédrale engloutie, mm. 1-8
Example 5.18. Debussy, _Nocturnes_, I. Nuages, mm. 57-67
Figure 6.1. Categories of Thought

<table>
<thead>
<tr>
<th>First</th>
<th>Second</th>
<th>Third</th>
</tr>
</thead>
<tbody>
<tr>
<td>Feeling</td>
<td>Reaction</td>
<td>Rationalisation</td>
</tr>
<tr>
<td>Quality</td>
<td>Event</td>
<td>Convention</td>
</tr>
<tr>
<td>Possibility</td>
<td>Actuality</td>
<td>Pattern or Rule</td>
</tr>
</tbody>
</table>

Figure 6.2. Categories of Thought
Example 6.1. Ravel, *Bolero*, mm. 165-168
Example 6.2. Ravel, *Bolero*, mm. 325-328
Example 6.4. Ravel, *Bolero*, mm. 335-340
Example 6.5. Mahler, Symphony No. 2 in C Minor, I. *Allegro maestoso*, mm. 59-67
Example 6.6. Mahler, Symphony No. 2 in C Minor, I. *Allegro maestoso*, mm. 37-51
Example 6.7. Mahler, Symphony No. 2 in C Minor, I. *Allegro maestoso*, mm. 104-118
Example 6.8. Strauss, *Till Eulenspiegels lustige Streiche*, mm. 6-49
Example 6.9. Strauss, *Till Eulenspiegels lustige Streiche*, mm. 436-489


Example 7.16. Beethoven, Symphony No. 9 in D Minor, IV. *Presto*, mm. 331-346
Example 7.17. Stravinsky, *Petrushka*, Third Tableau, rehearsal number 121

Example 7.18. Beethoven, Symphony No. 7 in A Major, III. *Allegretto*, mm. 1-8
Example 7.19. Schubert, Schubert, String Quartet in D minor (D.810)
II. *Andante con moto*, mm. 1-8

rehearsal number 149
Selected Bibliography


