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From the Editors

On behalf the Editorial Board, we are pleased to present Volume Seven of *Musicological Explorations*, a journal published by the graduate students in music of the University of Victoria. The intent of the journal is to enrich musicological discourse at the university level, providing a forum for scholarly work by graduate students and faculty.

We take this opportunity to express our gratitude to the board for their work and dedication this past year. We would also like to thank our Faculty Advisor, Dr. Susan Lewis-Hammond for her invaluable assistance and guidance in producing this year's journal. For their generous funding contributions, we gratefully acknowledge the Faculty of Fine Arts, the Faculty of Graduate Studies, and the School of Music at the University of Victoria. Moreover, proceeds from the sale of books generously donated by the estate of Philip T. Young greatly assisted this undertaking. Many thanks are extended to the Young family and the University of Victoria Library for this valued donation.

We look to the continued success of the journal and of the authors whose work is published herein. We hope that our readers will continue to support the journal through subscriptions and submissions.

Bethany McNeil and Jennifer McRae
Managing Editors

New Perspectives on Schubert's Symphonic Openings

Nicholas Lockey

Brian Newbould, in his book *Schubert: The Music and the Man* (1997), suggests that Schubert's early symphonies tend to alternate between progressive and conservative works, stating:

Twice, as symphony succeeds symphony in Schubert's teenage years, a sense of retrenchment is felt. It is most evident when the Fifth follows the Fourth, but the Third also abandons the lines of development pursued in the Second.¹

* My thanks to Michelle Fillion for her helpful suggestions on an earlier version of this study. An extract from the present essay was presented at the Pacific Northwest Chapter Meeting of the American Musicological Society (University of Lethbridge, Alberta, Canada, 31 March - 2 April, 2006).

Figure 1 consulted *Joseph Haydn: Complete London Symphonies Series I*, Dover Publications, 1985. Figures 2, 15 consulted *Wolfgang Amadeus Mozart: Symphonies Nos. 1-21*, Dover Publications, 2000. Figures 3, 13 consulted *Wolfgang Amadeus Mozart: Later Symphonies*, Dover Publications, 1974. Figure 4 consulted *Franz Schubert: Symphony No. 1 in D Major*, Eulenberg Pocket Score No. 504 [n.d.]. Figures 5-8 consulted *Franz Schubert: Symphony No. 3 in D and Symphony No. 6 in C*, Dover Publications, 2002. Figures 9, 10, 12, 19-21 consulted *Franz Schubert: Four Symphonies*, Dover Publications, 1978. Figures 11, 18 consulted *Franz Schubert: Symphony No. 2 in B-flat Major*, Eulenberg Pocket Score No. 505 [n.d.]. Figure 14 consulted *Wolfgang Amadeus Mozart: Symphonies Nos. 22-34*, Dover Publications, 1991. Figure 16 consulted *Ludwig van Beethoven: Symphonies Nos. 1, 2, 3 and 4*, Dover Publications, 1989. Figure 17 consulted *Ludwig van Beethoven: Symphonies Nos. 5, 6 and 7*, Dover Publications, 1989.

While Newbould mentions that the opening of the Fifth symphony, a four-measure in-tempo preface, might have been suggested by a similar device that opens the finale of the Fourth symphony, he attempts to dispel any sense of linear evolution between these two symphonies, pointing out differences in character, proportions, and the much more extensive role that the preface of the Fifth symphony plays in the course of the first movement.² He is right to assert that some of the formal innovations of the Second symphony, such as the three-key exposition, lengthy codetta, and scherzo in the minor supertonic, are not found in the Third symphony, and he is similarly correct in stating that the role of the opening of the Fifth symphony is much more extensive than the opening of the finale to the Fourth symphony.³ Yet there is a broader sense of developmental continuity between Schubert's symphonies that has thus far been overlooked. The crucial feature is Schubert's answer to the question: how to begin a symphonic first movement? Comparing them to one another, there are two important ideas in Schubert's teenage symphonies: 1) the use of an in-tempo preface to begin an outer movement, and 2) the increasing integration and connection between the

¹ Brian Newbould, *Schubert: The Music and the Man* (Berkeley: Univ. of California Press, 1997), 81.

² *Ibid.*, 85.

³ Newbould points out that in the Third symphony "Subtlety is not absent; nor is innovation," but his point is that the innovations relate more to the common symphonic forms of Vienna c. 1815 than to tendencies found within Schubert's earlier symphonies. *Ibid.*, 81.

slow introduction and the first movement proper. Significantly, these two concepts intersect for the first time in the Fifth symphony, a union that provides the foundation for several innovations in the later symphonies.

Conventional Symphonic Openings in the Early Nineteenth Century

When Schubert made his first surviving sketches for a symphony in 1811, there were two common procedures for beginning the first movement of a symphony.⁴ One model, which Haydn used almost without exception after 1785, begins with a slow introduction, usually in the tonic or tonic minor and typically ends with a prolonged half-cadence.⁵ The weightiness of the introduction serves as an effective foil for the opening theme of the fast movement proper. A good example of this type of opening is the first movement of Haydn's Symphony No. 94 in G (1791), where the slow

⁴ The dating of Schubert's symphonies follows that in: L. Michael Griffel, "Schubert's orchestral music: 'strivings after the highest art,'" chap. 10 in *The Cambridge Companion to Schubert* (Cambridge: Cambridge Univ. Press, 1997), 194.

⁵ H. C. Robbins Landon, *The Symphonies of Joseph Haydn* (London: Rockcliff & Universal Edition, 1955), 406. Haydn's symphonies with slow introductions include Nos. 6, 7, 50, 53, 54, 57, 60, 71, 73, 75, 84-86, 88, 90-94, and 96-104. James Webster points out that the Adagio openings of Symphonies Nos. 15 and 25 are more harmonically and functionally substantial than a true introduction. See James Webster, *Haydn's "Farewell" Symphony and the Idea of Classical Style*, Cambridge Studies in Music Theory and Analysis, ed. Ian Bent (Cambridge: Cambridge Univ. Press, 1991), 251-253, 257-259.

introduction provides sufficient weight to allow the first movement proper to begin with a thin texture (only the two violin parts), an “off-key” harmony (V of ii), and a nimble dance-like character in 6/8 meter, without sounding too trivial to open a symphony.⁶

Figure 1 Haydn: Symphony No. 94 in G, Opening of *Vivace assai*, ms. 17-20

Mozart only occasionally began his symphonies with a slow introduction, but Beethoven wrote slow introductions for his First, Second, Fourth and Seventh symphonies.⁷ While an introduction establishes the tonic of the symphony, the character of the introduction may be quite different from the ensuing fast movement and there is no requirement calling for outwardly apparent connections between

⁶ Landon, in reference to Symphony No. 67, states that Haydn rarely wrote a first movement in 6/8. Landon, *Symphonies*, 370.

⁷ Mozart's symphonic slow introductions are in Symphonies Nos. 36, 38 and 39, the slow introduction he wrote to a symphony by Michael Haydn (K. 425a), and three symphonies derived from serenades (K. 203, 250, 320; although the introduction to the symphony based on the Haffner Serenade K. 250/284b is actually marked *Allegro maestoso*). See Neal Zaslaw, *Mozart's Symphonies: Context, Performance Practice, Reception* (Oxford: Clarendon Press, 1989), 287-88, 299-301, 355-357, 382-388, 391-396, 409, 432-434.

the material of the introduction and the movement proper.⁸

The second common approach was to begin immediately in the main tempo of the movement, usually *Allegro* or some variant. The material heard at the opening could involve many different combinations, but some of the more common were:

- Main theme (whether a sentence structure, *fortspinnungstypus*, or an amalgam of both), played forte and repeated or extended until the second theme enters (ex. Mozart K. 110 and 199/161b)

The image shows a musical score for the opening of Mozart's Symphony No. 110, K. 110. The score is in 3/4 time, marked 'Allegro' and 'f' (forte). It consists of two systems of music. The first system shows measures 1 through 5. The treble clef part begins with a half note G4, followed by chords. The bass clef part features a steady eighth-note accompaniment. The second system shows measures 6 through 10. Measure 6 includes a trill on the treble clef and a 'cfc.' marking. The bass clef part continues with eighth-note accompaniment.

Figure 2 Mozart: Opening of K. 110

⁸ Nevertheless, Landon and Webster point to several examples of Haydn symphonies where the introduction shares motivic links with the rest of the first movement or even the entire symphony. See Landon, *Symphonies*, 408-410, 572-575; and Webster, "Farewell" *Symphony*, 162-173, 251-259, 320-329. Some examples, such as in Symphony No. 98, are fairly obvious and must have been intentional connections, while others are more subtle and may be the result thematic shapes in common use.

- Main theme, the full sentence played forte and then echoed in whole or in part; the reverse (soft, then loud) is also possible (Ex. Haydn Symphony No. 45, Mozart K. 201/186a)⁹
- A *forte* gesture (usually involving the entire ensemble), ranging from a unison rhythmic figure (often on the tonic) or arpeggio motive to a short combination of gestures that form a thematic cell or phrase. This is immediately followed by a soft after-statement, and both components function together as part of the first thematic group. This category of openings initially owed more to the opera symphony style than the church or concert symphony.¹⁰ (Ex. Haydn Symphony No. 95, Mozart K. 551)

Allegro vivace

The musical score is for the opening of Mozart's Symphony No. 551, K. 551, marked 'Allegro vivace'. It is written for strings in 3/4 time. The first system (measures 1-4) begins with a forte (*f*) dynamic and a 'tutti' marking. The melody consists of eighth notes with triplet markings. The second system (measures 5-8) begins with a piano (*p*) dynamic and a 'tutti' marking. The melody continues with eighth notes, including a triplet of eighth notes. The score concludes with 'etc.' in the bass line.

Figure 3 Mozart: K. 551 Opening

⁹ Landon (*Symphonies*, 319) notes that such double statements of the theme began to really emerge in Haydn's symphonies beginning with the period 1771-74 and are common in symphonies by Mozart, J. C. Bach, and others.

¹⁰ Zaslav, *Mozart's Symphonies*, 33-35, 71-73, 168.

- Especially in symphonies relying on the opera overture style, the opening is often a series of chords or “noises” meant to draw the attention of the listener and set the music in motion.¹¹ These may or may not return as part of a phrase or assume motivic significance, but the opening gestures are virtually without exception either reiterations or arpeggiations of the tonic chord. (Ex. Mozart K. 45, 133)

In all of these cases, the opening material is either part of the principal thematic group or a prolongation of the tonic chord and leaves little ambiguity as to its function in the movement.¹² Likewise, finales usually began with the principal thematic or motivic idea in the main tempo of the movement.¹³ These methods

¹¹ Zaslav (*Mozart's Symphonies*, 96-97) uses such terms to describe the material of the entire opening movement of Mozart's Symphony in D K. 95/73n.

¹² There were other models for beginning a symphony, such as beginning with an entire slow movement, but these were often tied to particular expressive concerns (such as Dittersdorf's 'Sinfonias on Ovid's Metamorphoses') or cross-fertilization with other genres (such as the church sonata and opera overture). A further category, works opening with the so-called "Mannheim crescendo" (as can be heard in Haydn's Symphony No. 1 and many 'sinfonias' by J. C. Bach, Johann Stamitz, and others), appears to have gone out of fashion by the time of Mozart's and Haydn's last symphonies. See Eugene Wolf, "Mannheim style," *New Grove Dictionary of Music Online*, ed. L. Macy, (Accessed 11/30/03), <<http://www.grovemusic.com>>

¹³ Mozart and Haydn seemed to particularly favor beginning a finale with a soft statement, to be followed by a bold *tutti* after-statement. For example, see Mozart's Symphonies Nos. 25, 35, 40, 41 and Haydn's Symphony No. 88

for beginning the outer movements of a symphony form the “norm” against which we can assess the significance Schubert’s fifth symphony.¹⁴

Schubert’s First Symphonic Openings: Experimentation within Convention

Schubert’s first five symphonic efforts commence with a slow introduction. The fragmentary Symphony in D (D.2B) of 1811 opens with an *Adagio* introduction, followed by nineteen measures of an *Allegro con moto* that is modeled on the first movement of Beethoven’s Second Symphony.¹⁵ Unfortunately, without any further surviving material for this piece, it is difficult to say whether Schubert intended to make a link between the introduction and movement proper beyond the tonal center they share. By contrast, his first completed symphony, the Symphony (No. 1) in D (D.82) of 1813, begins with an *Adagio* introduction in 2/2 meter. Newbould notes: “But this *Adagio* is more than the traditional preface to the first movement proper.”¹⁶ At the end of the development, the dominant pedal resolves to the expected tonic chord (m. 323), but rather than the single tonic outburst that opened the exposition, the next music we hear is an allusion to the slow

¹⁴ The present article will not attempt to trace the origins of Schubert’s more progressive symphonic concepts, focusing instead on tracking their use and development within Schubert’s symphonies.

¹⁵ Newbould, *Schubert*, 30.

¹⁶ *Ibid.*, 75.

introduction.¹⁷ The effect is both a sense of return to the very opening of the symphony and a prolonged expectation for the start of the “true” recapitulation. By recalling the introduction during the discourse of the *Allegro vivace*, Schubert elevates it from the role of a simple preface. This is not the first time a slow introduction had been recalled during the first movement proper, for Haydn’s Symphony No. 103 in E-flat (1795) recalls the introduction near the end of the first movement. Considering Schubert’s admiration of Mozart, it is not surprising to also find this feature in the overture to *Die Zauberflöte* (1791), although in this instance the series of three chords is recalled immediately following the exposition.¹⁸ But the recollection in the First symphony is different from these examples because there is another fascinating feature with this return: in order to instill a greater sense of continuity, Schubert left this “return” of the introductory material in the same *Allegro vivace* tempo as the movement proper, and doubled the note durations to aurally imitate the original *Adagio* tempo.

¹⁷ Measure numbers for this symphony refer to the original, full-length version of the first movement (including the measures Schubert later marked for deletion) as published by Edition Eulenberg.

¹⁸ It is not improper to consider the influence of overtures on Schubert’s use of this device, for several writers, including Griffel, have commented that Schubert did not seem to differentiate between orchestral overture and symphonic first movement in his earliest orchestral efforts. See Griffel, “Schubert’s orchestral music,” 195.

The image shows two staves of musical notation. The top staff is labeled 'Adagio' and 'strings'. It begins with a treble clef, a key signature of one sharp (F#), and a common time signature (C). The music consists of a series of eighth and sixteenth notes, with some rests. The bottom staff is labeled '[Allegro vivace]' and 'strings'. It starts at measure 325, indicated by a '325' above the staff. The tempo and key signature are the same as the first staff. The notation is similar to the first staff, with eighth and sixteenth notes and rests. Both staves end with 'etc.'.

Figure 4 Schubert: Symphony No. 1, 1st Movement, Opening measures & Recapitulation

This allows him to move in and out of the recollection without a *ritardando* or *accelerando*, which might otherwise seem more disruptive. Newbould points to examples by Louis Spohr as precedents for this metric conversion (the Concert Overture Op. 12 of 1806 and the Violin Concerto Op. 62 of 1810), but it might have also been suggested by Mozart's overture to *Così fan tutte* (1789/90), where the end of the introduction (ms. 8-14) returns right before the coda (ms. 228-240), written in doubled note-values.¹⁹ The importance of this feature is that, combined with the other features they share in common (D major key, duple meter, beginning with a loud chord for the full ensemble, and a generally triumphal character), it allows the return of the introductory material to sound complementary to the surrounding material of the movement proper and is a step towards greater cohesion between the introduction and the rest of the movement.

¹⁹ The Spohr works are cited in Newbould, *Schubert*, 75. Mozart also uses this device in the serenade (and redacted symphony) K. 320, which was published as a symphony by André in 1791. See Zaslaw, *Mozart's Symphonies*, 357.

Schubert's next symphonic effort, the Symphony (No. 2) in B-Flat (D. 125) of 1814-15, returns to the more traditional concept of the introduction: a preface that establishes the tonic key and provides weightiness to contrast the sprightly main theme of the movement proper. This *Largo* does not appear to bear any motivic connections to the *Allegro vivace*, nor is there any suggestion of a return to the introductory music during the course of the movement.²⁰ However, as we shall see later, this symphony does not entirely abandon ideas manifest in the previous symphony.

In the Symphony (No. 3) in D (D. 200) from 1815, Schubert returned to the idea of integrating a slow introduction with the ensuing movement. This time he motivically linked the two sections such that gestures from the introduction give rise to motives in the *Allegro*. The most obvious link is the rising octave figure that gradually emerges in measures 2-4.²¹



Figure 5 Schubert: Symphony No. 3, 1st Movement, Measures 2-4

²⁰ It could be said that the introduction's clear delineation between the material allotted to winds and strings establishes the dialogue between these groups that continues throughout the entire symphony, but continuity is otherwise limited to the tonic key and duple meter that the formal sections share in common, and the extended anacrusis in the first violins that bridges the two sections by leading from the end of the *Largo* into the first theme of the *Allegro*.

²¹ Newbould, *Schubert*, 81-82.

Once this idea is introduced and expanded, it permeates much of the introductory material.²² When the movement proper commences, a quiet clarinet theme builds for many measures to a bold *tutti* statement (measure 35) that is built from the introduction's fourth measure.



Figure 6 Schubert: Symphony No. 3, 1st Movement, Measures 35ff.

Here Schubert further expands on this idea, adding a series of rising triads and descending triplets (measures 36-38) after which the whole segment is repeated (measures 39-43). Thus he not only recollects a prominent idea from the introduction, he also develops it by further expanding it, thereby making it an active part of the musical argument. This figure is absent from the true development section, but it returns in the recapitulation (measure 163), where it serves as the vehicle for recapitulatory recomposition over a series of downward progressions by third that lead to the entrance of the second subject group in the subdominant.

²² It might even be said that the repeated notes at the end of the octave are derived from the repeated eighth-note pulses in the wind accompaniment.

The image shows a musical score for Schubert's Symphony No. 3, 1st Movement, measures 163ff. The score is in 3/4 time, key of D major. It features a string section (str + vuv) playing a rhythmic pattern of eighth notes. The melody in the upper voice starts with a sixteenth-note run, followed by a series of eighth notes, and includes a trill-like figure. The bass line provides a steady accompaniment with eighth notes. The score includes dynamic markings like 'ff' and 'sim', and articulation like 'etc.'

Figure 7 Schubert: Symphony No. 3, 1st Movement, Measures 163ff.

Lastly, the same motive forms the main material of the brief coda, where it is repeated in another series of downward progressions by thirds (measures 204-211, entire cell repeated 212-218). The extensive treatment of this figure at important structural points in the *Allegro maestoso*, and the way in which its gradual extension in the introduction foreshadows its expanding role in the Allegro, point towards attempts at strengthening the connection between introduction and movement proper.

The advance in cohesion over the approach from the First symphony is that, rather than experiencing a momentary reprise, an introductory gesture is woven into the fabric of the entire movement. Similarly, the first tonal center of the development (measures 95-111) is in F Major (flattened-III), probably originated in the surprise appearance of F Major in the introduction (measures 10-12), and the two-note falling figures that alternate

with the first theme (measures 20, 22, etc.) can be linked to the similar figures from the introduction.²³

The image shows a musical score for Schubert's Symphony No. 3, 1st Movement. It is divided into two sections: the introduction and measures 19ff.

Introduction (Measures 11-18): The tempo is marked *[Adagio maestoso]*. The score features three staves: Flute 1 (fl 1), Clarinet 1 (cl 1), and String (str). The flute and clarinet parts play a melodic line with slurs and accents, while the strings provide a harmonic accompaniment. Dynamics include *pp* (pianissimo) and *p* (piano). The introduction ends with a repeat sign and the word *etc.*

Measures 19ff: The tempo changes to *Allegro con brio*. The score features two staves: Clarinet 1 (cl 1) and Flute 1 (fl 1). The clarinet part continues the melodic line from the introduction, marked *pp*. The flute part plays a rhythmic accompaniment, marked *p*. The tempo is significantly faster than the introduction.

Figure 8 Schubert: Symphony No. 3, 1st Movement
Comparison of Introduction and Measures 19ff.

All of these connections bring the movement closer to being part of a continuous musical argument, blending ideas first presented in the introduction with material from the movement proper. Yet while the means are different, the First and Third symphonies share a similar aim towards connecting introductory material with the main portion of the fast movement.

The integration of the introduction is less obvious in the first movement of the Symphony (No. 4) in C Minor (D. 417) of 1816. One of the most prominent ideas from the introduction is a move to a G-flat tonality, a tri-tone removed from the home key, but this exciting move does not make a notable

²³ This figure also reappears in the coda. See Newbould, *Schubert*, 82.

return anywhere else in the movement. On the other hand, the opening upward leap of 'C' to 'A-flat' (measure 2) places greater interest in the A-flat, interest that is augmented by suspending the 3rd beat A-flat into the downbeat of the next measure, and by the repetition of this gesture in other voices and at other pitch levels.



Figure 9 Schubert: Symphony No. 4, 1st Movement, Opening

The emphasis on this A-flat foreshadows the prominence of A-flat throughout the first movement proper (as the highest pitch of the ascending pitch ceiling of the first theme- measures 35 & 37; and as the tonal center of the second subject group- measures 67ff) and the entire symphony (as the tonal center of the entire second movement and finale's second subject group- measures 85ff).



Figure 10 Schubert: Symphony No. 4, 1st Movement, Principal Theme

Nevertheless, the connections are much more subtle than in the First and Third symphonies. In this opening movement, as with the Second symphony, Schubert appears to have focused instead on experiments with other formal features, such as three-key expositions and arch-forms in the development section.²⁴

Schubert's Special Ingredient: The In-tempo Preface

Despite the relatively conventional openings stated above, the Second and Fourth symphonies do continue to experiment with concepts for beginning a symphonic outer movement: they both contain an in-tempo preface to the finale. The finale of the Second Symphony opens with four measures of material prior to the entry of the first subject.

The musical score for the opening of Schubert's Symphony No. 2, 4th Movement, is shown in Figure 11. It is in B-flat major and 2/4 time, marked *Presto vivace*. The score consists of two staves: a treble clef staff for woodwinds (labeled 'vn 2, vb, vc' and 'etc.') and a bass clef staff for strings (labeled 'pp' and 'vc'). The woodwinds enter in the fifth measure with the first theme, marked *pp*. The strings play a harmonic preparation in the first four measures, marked *pp*.

Figure 11 Schubert: Symphony No. 2, 4th Movement, Opening

These measures introduce the key (B-flat), tempo (*Presto vivace*), and character of the music that follows, but they can hardly be described as “thematic.” Instead they function as a harmonic preparation for the entrance of the first theme, preparing for the tonic by means of the cadential progression $V^7 - I^{6/4}$ -

²⁴ Newbould, *Schubert*, 78-81, 83-85.

V. This odd, off-tonic start is perhaps explained as a desire to restore the symphony's "home" key of B-flat.²⁵ Breaking from tradition, Schubert set the third movement in a key other than the key of the first movement, C Minor (perhaps to connect it with the C Minor fourth variation of the second movement), and thus B-flat has not been heard since the opening movement.²⁶ Schubert may have felt it necessary to prepare the audience for a restoration of B-flat, strengthening a sense of connection between the first and last movements and reducing the chances of the symphony sounding too much like a series of unrelated movements. By prefacing the actual landing in B-flat with four measures of cadential harmonic progression, Schubert cements the notion of B-flat as the tonic of both the finale and the entire symphony.

A similar feature opens the finale of the Fourth symphony. Here the first subject is preceded by four C Minor measures in the same *Allegro* tempo as the rest of the movement.

²⁵ Neither this example nor the opening of the finale of the Fourth symphony actually makes a full modulation from the key of one movement to the key of the next.

²⁶ The second movement is in E-flat. Beethoven's Seventh symphony follows the rather unorthodox tonal plan: A Major, A Minor, F Major, A Major. For the possible influence of this work on Schubert's symphonic output, see discussion below.

The musical score for the opening of Schubert's Symphony No. 4, 4th Movement, is presented in four staves. The top staff, labeled 'wv + hns', contains woodwinds and horns, starting with a fortissimo piano (*fp*) dynamic and a *dim* (diminuendo) marking. The second staff, 'vn 1', is for the first violin, marked *p* (piano). The third staff, 'vn 2, va', is for the second violin and viola, also marked *p*. The bottom staff, 'bn + vc', is for bassoon and cello, marked *p* and 'tutti bassi [senza bn]'. The tempo is 'Allegro' and the key signature is B-flat major.

Figure 12 Schubert: Symphony No. 4, 4th Movement, Opening

Once again, both middle movements of the symphony are in keys other than the first movement tonic (second movement in A-flat, third movement in E-flat), and the opening four measures of the finale give a harmonic progression that prepares the audience for a restoration of the key and atmosphere of the first movement. The crucial difference between the Second and Fourth Symphonies on one hand, and the First and Third Symphonies on the other, is that in the former Schubert set the middle movements in different keys from the outer movements, while in the latter the third movement makes the traditional return to the symphony's home key. To compensate for the delayed return to the home key, or perhaps to highlight it, Schubert supplied the finales of the Second and Fourth symphonies with a preface that brings the music back "home."

This is a fairly innovative idea for a symphonic finale. As discussed previously, most symphonic finales launch right away into a first subject group. There are some first movements that begin in tempo with material that is not obviously part of the first subject group, but most of these

openings simply apply rhythmic activity to the tonic chord. For example, Mozart's Symphony No. 40 (1788) begins with three in-tempo beats containing nothing but the rhythmicizing of a G Minor triad, with the first subject theme entering on the fourth beat of the same measure.²⁷ Also, the figure being played in the first three beats continues on as an accompaniment to the first subject, such that it is more accurate to state that the accompaniment commences before the theme.²⁸

The image shows a musical score for the opening of Mozart's Symphony No. 40. It consists of three staves. The top staff is for Violin 1 (vn 1), the middle for Violin 2 (vn 2), and the bottom for Violoncello and Double Bass (vc + bass). The tempo is marked 'Allegro molto'. The key signature has two flats (B-flat and E-flat). The time signature is 2/4. The Violin 1 part begins with a rest in the first measure, then enters with a melodic line. The Violin 2 part begins with a rest in the first measure, then enters with a rhythmic accompaniment. The Violoncello/Double Bass part begins with a rest in the first measure, then enters with a rhythmic accompaniment. The score includes dynamic markings such as 'p' and 'va divisi'.

Figure 13 Mozart: K. 550, 1st Movement, Opening

²⁷ Schubert seems to have been particularly fond of this symphony and Schubert's copy of the beginning of the Minuet survives. See Zaslav, *Mozart's Symphonies*, 440; Newbould, *Schubert*, 76 (citing a recollection by Schubert's friend Josef von Spaun).

²⁸ Zaslav (*Mozart's Symphonies*, 436) points out that this symphonic opening, "an accompaniment waiting for a tune to accompany... can be heard at the beginnings of Beethoven's Ninth Symphony, Schubert's A minor string quartet, Mendelssohn's violin concerto, and more than one Bruckner symphony." The same basic concept occurs in the finale of Haydn's Symphony No. 104 in D, where the two measures of octave horn pedals that begin the movement serve as the backdrop for the theme that enters in the third measure.

A similar description fits the finale of Mozart's "Paris" Symphony (No. 31; 1778), where the perpetual motion of the movement is initiated by the second violins, which commence before the offbeat entrance of the principal subject in the first violins.

The musical score for Figure 14 consists of two staves in D major and 3/4 time, marked 'Allegro'. The first staff is for the first violin (vn 1) and the second for the second violin (vn 2). The first violin part starts with a whole rest in the first measure, followed by a melodic line of eighth notes starting on the second beat. The second violin part starts with a continuous eighth-note accompaniment beginning on the first beat. Dynamics include 'p' (piano) and 'etc.'.

Figure 14 Mozart: K. 297/300a, 3rd Movement, Opening

The opening measure in this example does not leave the tonic harmony (D Major), and the material being played by the second violins is really an accompaniment to the principal theme, as it is present every time the theme returns. In Schubert's two finale prefaces, the opening four measures do not serve as the accompaniment of the subject that immediately follows.²⁹ The one aspect Schubert may perhaps have learned from previous examples is the notion of beginning *in media res*, as if entering the music midstream and already in motion. But Schubert goes further by beginning on an unstable harmony and then moving through a short cadential progression. A finale such as that for Mozart's Symphony in G K. 74 (1770), which begins "off

²⁹ Beethoven's Third symphony (1803) begins in tempo with two E-flat hammer-blows from the orchestra that set the movement in motion, and while these chords could be viewed as a type of in-tempo preface, they never leave root-position tonic harmony.

tonic,” is somewhat different in that the opening measures are part of the principal subject and are present whenever the subject returns.

Allegro

Figure 15 Mozart: K. 74, Finale, Opening

Also, whereas Schubert's prefaces restore the home key after the "away" key of a previous movement, Mozart begins away in order to break away from the tonal continuity of adjacent movements.

Perhaps the closest precedents (functionally) to Schubert's concept are the prefaces that open the finales of Beethoven's Third and Seventh symphonies. In the Third symphony, the music begins away from the tonic (on V of iii) and is steered towards a dominant preparation for the tonic.

Allegro molto

The image shows a musical score for the opening of Beethoven's Symphony No. 3, Finale. The score is in E-flat major, 2/4 time, and marked 'Allegro molto'. It features a string quartet with a forte (ff) dynamic. The first system shows the initial rhythmic patterns in both staves. The second system, starting at measure 5, includes woodwinds (ww) and brass (bn) instruments, with markings for 'tutti', 'str. imp.', and 'imp.'.

Figure 16 Beethoven: Symphony No. 3, Finale, Opening

Beethoven's third movement is in E-flat, so there isn't a need to restore the home key. However, it has been suggested that this opening is an important continuation of "issues" raised in the first movement of the symphony.³⁰ On the other hand, the opening measures of the finale of the Seventh symphony are unstable chords (on the dominant and dominant seventh) that restore the home key after its unusual absence in the third movement and spawn many of

³⁰ See Lewis Lockwood, "Eroica' Perspectives: Strategy and Design in the First Movement" in *Beethoven Studies* 3, ed. Alan Tyson (Cambridge: Cambridge Univ. Press, 1982), especially pp. 94ff where his discussion raises the possibility that the opening of the finale could be one of several spots to signify that the conflict inherent in the main theme of the opening movement is not yet resolved when the finale begins and indeed may never truly be "resolved." This would imply that the finale's opening bars are a resurfacing of the unresolved conflict. The material of these opening measures returns, somewhat altered and transposed to root-position G Minor harmony, as a bridge from the slow G Minor variations to the much faster E-flat coda, and both G Minor and the pitch G are important to the symphony as a whole.

the principal motivic and melodic ideas of the movement.³¹

Allegro con brio

ww, brass,
tmp

slr
ff

Figure 17 Beethoven: Symphony No. 7, Finale, Opening

This brings up an important point that also applies to Schubert's in-tempo prefaces: their role is not limited to the opening measures of the movement. In the finales of Schubert's Second and Fourth symphonies the music of the opening four measures returns to commence the recapitulation (measures 400-403 and 289-292 respectively).³² These returns are modified to respond to the events of their new structural environment. In the Second symphony finale, the added dactylic figures in the first violins create continuity with the figures from the preceding measures and point forward to the same figures in the principal theme.

³¹ The third movement is in F Major, although with appearances as secondary tonal areas in the scherzo and trio, A Major is never far from listener's conscious.

³² The opening bars are also heard again when the exposition is repeated.

Figure 18 Schubert, Symphony No. 2, Finale, Measures 398ff.

The return of the preface in the Fourth symphony finale occurs in the major mode, to correspond with the recapitulatory modal transformation of the exposition material. In neither symphony is the return of the material harmonically necessary, for the previous measures already provide the standard dominant pedal preparation for the return to tonic. Schubert may have included these returns because he wanted to elevate the opening measures from mere preface to an inseparable part of the entire exposition. Such an explanation becomes more plausible when considering Schubert's already-discussed trend towards integrating introductory material with the movement that follows. While an in-tempo preface and a slow introduction are different devices, Schubert's treatment of each shares a similar aim.

The Fifth Symphony: A Combination that Breaks New Ground

Both of these experimental trends from Schubert's first four completed symphonies are united for the first time in the Symphony (No. 5) in B-flat (D. 485) of 1816. There is no slow introduction, nor does Schubert launch immediately into the first subject group; instead he adopts the four-measure in-

tempo preface, transplanting it from the realm of his finales.

Allegro [horns, tacet here, not shown]

The musical score displays the opening of Schubert's Symphony No. 5, 1st Movement. It features six staves: Flute I (Fl), Oboe (Obs), Bassoon (Bns), Violin I (Vn 1), Violin II/ Viola (Vn 2/Va), and Violoncello/Bass (Vc Bass). The tempo is marked **Allegro** with the instruction "[horns, tacet here, not shown]". The key signature is one flat (B-flat major) and the time signature is 2/4. The Flute I part begins with a melodic line that has a fermata over the first two measures. The Oboe and Bassoon parts play sustained chords. The Violin I part enters in the third measure with a rhythmic pattern. The Violin II/ Viola part plays a block chord in the fourth measure. The Violoncello/Bass part has a single note in the fourth measure. Dynamics include *pp* (pianissimo) markings.

Figure 19 Schubert: Symphony No. 5, 1st Movement, Opening

This was a highly unusual way to begin a symphony in 1816, even more so as these measures combine aspects of both a slow introduction and an in-tempo preface. Because there is no preceding movement, these four measures do not have the transitional aspect of the finale prefaces. Rather than instilling a sense of restoration, they are responsible for establishing the home key of the symphony and serving as point of departure for all that follows. In this sense, they share some likeness to a slow introduction. The difference in function from Schubert's finale prefaces is born out by the harmonic scheme: instead of beginning away from the tonic this

opening starts on a tonic chord, moves away, and returns to tonic when the first theme begins. The complete progression, I – vi – ii^{6/5} – V⁽⁷⁾ – I (on the downbeat of measure 5), is far more harmonically elaborate than the simple tonic chord in the in-tempo prefaces cited previously.³³ Beyond establishing the key, tempo, and delightful character of the movement, these opening measures also provide immediate timbral contrast to the first theme: the woodwinds open the symphony and dominate the preface (joined by the first violins in the last two measures), which contrasts the initial presentation of the first theme (scored for strings only).

But, like Schubert's finale prefaces, this is more than a simple preparatory opening, as it continues Schubert's inclination to integrate introductory material with the movement proper.³⁴ These four measures take on an important role in the development section (measures 118-170), forming the basis of the first 16 of the development section's 53 measures. The chord progression in the woodwinds (with lower strings added for support) and the running 8th-notes in the first violins (borrowed from measures 3 & 4) are treated sequentially in four blocks that descend by intervals of a third (D-flat, B-flat Minor, G-flat, and E-flat Minor) leading from F Major (end of exposition) to E-flat Minor. By adding

³³ Haydn Symphony 104/iv; Mozart Symphonies 31/iv, 40/i; Beethoven Symphony 3/i

³⁴ It is worth observing that the bass line (bassoon) in Figure 20 (B-flat, G, E-flat) begins with the reverse order of the tonal trajectory of the symphony (2nd movement in E-flat Major, 3rd movement in G Minor, 4th movement in B-flat Major). Whether this meant anything to Schubert is, of course, difficult to prove.

the opening figure from the first theme (heard in solo woodwind voices), Schubert makes it clear that this passage is a significant part of the musical argument, rather than mere transition. The final measures of the development include a derivation of the preface as a transition into the recapitulation. This time the measures are making a transition from the B-flat dominant pedal of the preceding measures into the E-flat tonic that opens the recapitulation, and the chords of the preface are changed accordingly, to V – IV – I^{6/4} – V⁷ – I (m. 171).

Figure 20 Schubert: Symphony No. 5, 1st Movement, Measures 169ff.

The harmonic progression has been altered and the rhythm compressed into two measures' duration, but the contrast between the two measures of wind scoring and the strings-only recapitulation of the first theme is enough to allude to the four measures that opened the movement.³⁵

Thus the Fifth symphony is the first time a Schubert symphony blends the ideas of instilling an in-tempo opening with aspects of an slow

³⁵ These transitional bars also occur between statements of the principal subject, at measures 23-24 and 185-186; only the preface itself begins and ends on the symphony's tonic chord.

introduction and integrating the symphonic opening with the argument of the entire first movement. The in-tempo preface of the Fifth symphony provided an important new option in the pool from which the openings of the remaining symphonies were drawn.

The Remaining Symphonies: Expanding Upon Previous Trends

The Symphony (No. 6) in C (D. 589) of 1817-18 returns to the use of a slow introduction, but continues towards integrating the opening material with the first movement proper, now extending the connection to the tonal plan of the entire symphony. Two very important tonal events in the introduction, the move to E-flat (measures 12-15) and the move to A-flat (measures 18-21) mark the first appearances of two secondary tonal centers that recur throughout the entire symphony.³⁶ E-flat Major occurs at the false recapitulation in the first movement (measures 187-203), for a portion of the scherzo (measures 33-40), and in the finale (second half of the first subject group, measures 15-18; and in the fourth subject group of the exposition, measures 128-142). A-flat Major is an even more prominent point of arrival, appearing at the start the second half of the main theme of the second movement (measures 17-29), as an important tonal center of the second section of the scherzo (measures 57-76, and also 155-162), and

³⁶ While they are related to C Major by the interval of a third, they are less common secondary tonal centers than G Major, F Major, and C Minor.

multiple times in the finale.³⁷ By these means, Schubert connects events from the first movement introduction into the scheme of the entire symphony, extending the level cohesion achieved in the first movement of the Fifth symphony to the larger plane of the multi-movement cycle.

On the other hand, the fragmentary piano sketches for the Symphony in D (D. 615) of 1818 suggest that in this work Schubert intended to take up to the concept of motivic interconnection (like he did in the Third and Fourth symphonies) as a means to integrate the opening measures into the main ideas of the first movement. Here the dotted figure that opens the slow introduction forms an essential ingredient of the first subject, and similar connections exist with the second subject.

The sketches for the incomplete Symphony in D (D. 708A) of 1820-21 contain Schubert's first attempt to begin a symphony without a slow introduction or an in-tempo preface. Nevertheless, the work draws upon the idea of incorporating aspects of a slow introduction into the in-tempo opening of a symphony, for the first subject group is filled with bold gestures, dramatic pauses, loud sustained chords with chorale-like suspensions, and unexpected harmonic turns.³⁸ These features impart a sense of grandeur and weightiness that is more typical of a slow introduction than a first subject group.³⁹

³⁷ Including the second half of the first subject group, measures 23-29; the second subject group, measures 53-60; and in the recapitulation of the fourth subject group, measures 370-383

³⁸ Newbould, *Schubert*, 374.

³⁹ Hearing such gestures in a symphonic opening may also create a sense of ambiguity as to whether the passage is indeed the first

This amalgamation of roles was anticipated by the Fifth symphony, inasmuch as the opening bars, until the violins enter and reveal the true tempo, sound like the long notes of a slow introduction.

The slow introduction of the unfinished Symphony (No. 7) in E (D. 729) of 1821 achieves a high level of cohesion with the entire symphony, drawing upon both tonal and motivic interrelationships. Yet, as with the three preceding symphonies, the techniques employed add nothing that is entirely new to Schubert's approach, for the seeds of the ideas can be traced back to the first five completed symphonies. The opening woodwind motive, a series of falling 2nds, occurs throughout the first half of the introduction, and is related in shape to the second subject of the first movement and a portion of the second subject of the finale. Also, the motive that accompanies the woodwinds bears a familial relationship to several themes in the symphony, including the first subject of the opening movement proper (and the fragment of this theme that dominates the entire movement), the accompanying rhythm of the finale's first subject, and the finale's second subject. These motivic interconnections are an extension of techniques Schubert had used as early as the Third symphony; here, as in the Fourth and Sixth symphonies, the relationships extend beyond a single movement and onto the level of the multi-movement cycle. The most significant tonal event of the introduction- a bold *tutti* entrance in an unexpected C Major- lays out

subject group; ambiguity that is only answered in retrospect when the second subject group has clearly arrived.

an important secondary tonal area for the entire symphony. In the first movement, C Major enters in a Neapolitan relationship to the dominant during the closing group of the recapitulation, and this tonality commences the development section (and is a principal key of the same section). In the finale, C Major once again makes a series of appearances at the end of the exposition (functioning as a Neapolitan of the dominant), and the second subject is recapitulated in C Major (a scheme that is vastly different from the traditional tonic recapitulation of the second subject). In addition to serving as the tonality of significant points in the outer movements, C Major also becomes part of the tonal trajectory of the entire symphony by establishing itself as the tonic key of the third movement, thus completing a rising progression: E (1st movement)– A (2nd movement)– C (3rd movement)– E (4th movement). This level of tonal organization, outlining ascending or descending triads, is also found in the Fourth (C Minor – A-flat – E-flat – C Minor) and Fifth (B-flat – E-flat – G Minor – B-flat) symphonies. In the absence of the more traditional mono-tonality of the first, third, and fourth movements, schemes such as these constitute another way to organize the tonal plan of a symphony by creating a sense of tonal trajectory. Particularly significant to this discussion is that in the Seventh symphony the major tonal surprise of the introduction is incorporated into this scheme. There is a possibility that this was influenced by Beethoven's Seventh symphony (1811/12), in which the third movement's F Major tonic is already present in the introduction (measures 42-52). However, the weaving of introductory tonal events into the fabric

of the remainder of the symphony can be seen in Schubert's Fourth and Sixth symphonies, making the Seventh an extension of earlier ideas.

Despite similar aims, the previous four symphonies outwardly draw more from Schubert's first four completed symphonies than from the Fifth symphony. With the Symphony (No. 8) in B Minor (D. 759) of 1822, Schubert took up the idea of a multi-faceted opening and carried it further than in all of his previous symphonic efforts. Yet many aspects of the present work are particularly indebted to the unconventional opening of the Fifth symphony. Like the Fifth symphony and the fragment D. 708A, there is no slow introduction. The music begins in-tempo but this monophonic phrase presents an enigma: is this an in-tempo preface, a slow introduction, or part of the first subject?⁴⁰

⁴⁰ Michael Steinberg makes similar observations regarding this ambiguous opening and the four bars that follow (measures 9-12). Michael Steinberg, *The Symphony: A Listener's Guide* (Oxford: Oxford Univ. Press, 1995, paperback 1998), 479-480.

Allegro moderato

ob 1 + cl 1
vds
vc + bass
pp
pizz.
10
pp
etc.

Figure 21 Schubert: Symphony No. 8, 1st Movement, Opening

There is a written-out pause, as the F-sharp in measure 6 is sustained for three measures without any other musical events, further suggesting this may be a slow introduction.⁴¹ The music that follows (measures 9-12) sounds more clearly like an in-tempo preface, in this case an example of an accompaniment entering before the associated theme (starting in measure 13).⁴² The ambiguity is only resolved by hindsight: the opening measures of the symphony form the majority of the material in the development section, making them the principal theme of the first subject group, to which the oboe and clarinet melody (starting measure 13) occupies a secondary, albeit

⁴¹ There is perhaps a resemblance, more conceptual than literal, to the pauses in the openings of Beethoven's Fifth (1807/8) and Sixth (1808) symphonies.

⁴² By using measures 9-12 to prepare for the melody in measure 13, Schubert strengthens the temporary impression that the oboe and clarinet melody is the principal subject, thereby enhancing the ambiguous role of the opening measures.

attractive, role.⁴³ As innovative as this combination of events is, ambiguity in an in-tempo opening was already suggested in Schubert's Fifth symphony and D708A.⁴⁴ The opening eight measures of the symphony thus stride across the boundaries of in-tempo preface and principal subject, extending the techniques of integration Schubert had used in the Fifth symphony to elevate the in-tempo preface to an essential role in the movement proper.

Schubert's final symphonic efforts present two different approaches towards achieving cohesion between the opening material and the music that follows, but both develop techniques already in Schubert's symphonic palette. The Symphony (No. 9) in C (D. 944) of 1825-26 draws upon the idea of recapitulating a slow introduction by transforming it into an in-tempo conclusion to the first movement proper (measures 662ff.), resembling the similar metric conversion found in the first movement of the First symphony. Also, with a technique first used in the Third symphony, the principal motive (first heard in measure 2) of the opening eight measures frequently recurs during the course of the *Allegro, ma non troppo* (for example, in measures 199ff., and 304ff.), and it bears resemblance to many of the themes in the movement.⁴⁵ Echoing ideas in the

⁴³ Another interpretation is that the oboe/clarinet melody is the main theme of the first subject group but the cello/bass opening is the principal thematic idea of the entire first movement.

⁴⁴ Thus the opening of the Eighth symphony, while novel in its realization, is not quite as new in concept as Steinberg seems to imply (Steinberg, *The Symphony*, 479-480).

⁴⁵ The motivic connections between the opening of the first movement and the entire symphony are too extensive to discuss in this paper.

Third, Fourth, Sixth, and Seventh symphonies, the most significant tonal surprise of the introduction, the move to A-flat (measure 48), foreshadows the A-flat tonality that begins the development section, returns later in both the development (including measures 316-331) and the recapitulation (such as at measures 508ff.), opens the second half of the scherzo, and occurs prominently in two spots near the end of the finale (measures 1064-1067 and 1092-1095).

In Schubert's final symphony, the opening measures draw upon Fifth symphony's use of an ambiguous opening that plays a significant role in the development section. For the unfinished Symphony (No. 10) in D (D. 936A) of 1828, Schubert avoided both slow introduction and in-tempo preface, but as in D. 708A this beginning has aspects of a slow introduction built into the first subject group.⁴⁶ The dotted figures, the re-iteration of the first scale degree, and the concluding sustained chords (complete with a suspension resolved to the leading tone by the gesture 8-7-6-7) bring to mind the grandiose and triumphal world of many slow introductions. The fact that this is the first subject is made clear when it is immediately repeated (harmonized) at a softer dynamic. As suggested earlier, there was already at least a hint of this concept of delayed identification in the opening of the Fifth symphony. The role of the Tenth symphony's opening in the sonata-form structure of the first

⁴⁶ A facsimile of Schubert's draft for the opening of this symphony is reproduced in *Schubert: Symphony No. 10 and other unfinished symphonies*, Scottish Chamber Orchestra, conducted by Sir Charles Mackerras (realizations by Brian Newbould) Hyperion CD A67000 (1997), 9.

movement is unusual because it is largely absent from the development section (which focuses instead on the second subject group). This exclusion might be explained by the fact that the first subject is already being developed when it is initially heard, as the bold unison presentation at the opening of the symphony includes internal repetition of the principal motivic block (sequentially descending by step, from D to B-flat), and the soft after-statement continues to treat the various components of the subject in a developmental fashion (elaborating the entire repeat of the sequential descent).⁴⁷ However, the true development section begins by shifting a half-step from 'A' to 'B-flat', initiating a trombone chorale in B-flat minor that, while thematically related to the second subject, is centered on the pitch that was the goal of the sequence heard in the first subject.⁴⁸ As with the Fifth symphony, the beginning therefore plays an important role in the development section. The opening of the Tenth symphony, a formal first subject, may seem worlds removed from the four bars

⁴⁷ In a broad sense, this opening resembles the "echoed" double statement of a principal theme, as cited above in connection with options for opening a symphonic fast movement. Besides the previously mentioned array of gestures, the main difference between this work and more "normal" double statements is the way in which the first statement seems to be already undergoing internal development.

⁴⁸ Also, 'B-flat' enters to start the coda (as part of an augmented-sixth chord), where the first subject is treated to further development. There do not appear to be any links to the subsequent pair of movements, but the intense contrapuntal nature of the finale (a new characteristic for a Schubert symphony) suggests that in these movements Schubert was focusing on other considerations. See Newbould, *Schubert*, 387-388.

that commence the Fifth symphony. Yet the kind of subject used in the Tenth symphony, with its degree of ambiguity and amalgamation of introductory and in-tempo properties, would not have been conceivable strictly within the context of the ideas Schubert exploited in his first four completed symphonies. When he broke with convention in the Fifth symphony, Schubert opened the door for himself to devise in-tempo openings whose exact function is not at first clear and, at the same time, beginnings that fit his aim to integrate the events of the initial measures into the course of the material that follows.

Conclusions

Based upon these examinations, at least some of the progressive trends in Schubert's symphonies are supported and interconnected by an underlying interest in strengthening cohesion between the opening material and the music that follows.⁴⁹

⁴⁹ The influence of other genres on symphonic composition is beyond the scope of this article, but a few examples serve as reminders of the possibility of cross-generic influence. Recapitulating a slow introduction can be found in opera overtures (such as the Mozart and Spohr examples cited above) and keyboard works (notably Beethoven's Piano Sonata Op. 13 in C Minor). Beethoven's Piano Sonata Op. 13 integrates the slow introduction into the first movement proper (including developing the material), and the finale of his String Quartet Op. 18 No. 6 (1800) treats the slow introduction ("La Malinconia") as one of two competing characters in the course of the movement. Schubert's lieder usually begin with in-tempo prefaces, as does his String Quartet in A Minor of 1824. This latter work, like the Mozart

Towards this aim Schubert employed various techniques, such as: recapitulation of the slow introduction, motivic and harmonic interrelationships, in-tempo openings that serve as both prefatory and developmental material, and first subject groups with properties resembling a slow introduction. These allowed him to provide material that was both appropriate for opening a symphony and easily incorporated into the main body of the musical argument. The lines of development are not always direct, as Schubert often tried different approaches from symphony to symphony, but in the broad sense of his entire output, ideas used in the later symphonies can be traced to those found in earlier ones.

A result of the techniques described above, ambiguity arises in several of his symphonic openings as the boundaries of introduction, preface, and first subject are blurred. This ambiguity is especially prevalent in the later symphonies, but this aspect owes much to the Fifth Symphony, where the use of the in-tempo preface provides a platform for openings that are simultaneously introductory and a main part of the fabric of the entire movement. Joining elements from previous symphonies and containing the seeds of ideas explored in later ones, the Fifth symphony allows us to see a broader continuity amidst the diverse beginnings of each symphony.

It appears that Schubert was aware of a variety of techniques for beginning a symphony, and

examples mentioned previously, is another example of accompaniment beginning before the theme enters.

he developed approaches that suited his deeper interest for connecting the opening material with the subsequent musical argument. If Schubert's choice of techniques varied from symphony to symphony, his entire output is nevertheless a persistent journey toward this goal. In this context the Fifth symphony stands as a crucial meeting place of several progressive trends comprising the palette from which the openings of the later symphonies are drawn. Rather than retrenchment, the Fifth symphony represents an important milestone on Schubert's journey towards cohesion and integration in a genre that he viewed as among "the highest in art."⁵⁰

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⁵⁰ Schubert's letter to B. Schott's Söhne (February 1828), quoted in Griffel, "Schubert's orchestral music," 193.

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Abstract

On the surface, many aspects of Schubert's Fifth symphony D. 485 (including the reduced scoring and similarities between Schubert's minuet and the third movement of Mozart's Symphony No. 40 K. 550) seem to fall outside the course of Schubert's previous symphonies and look back to the symphonies of Haydn and Mozart. Yet the opening four measures of this work, and their subsequent treatment, occupy a significant position in Schubert's symphonic output, uniting trends in the earlier symphonies and pointing forward to important elements in several of the later ones.

Examining some of the most common options for beginning a symphony in the decades leading to the composition of the Fifth symphony, this essay emphasizes the relative novelty of beginning a symphony with an in-tempo preface. Some of the closest precedents to Schubert's example come from the finales of his own Second and Fourth symphonies. In addition to transferring the concept of an in-tempo preface to the opening movement, the Fifth symphony demonstrates Schubert's ongoing efforts to integrate the opening of his symphonies into the subsequent musical discourse, a trend made evident through analysis of his entire symphonic output.

After demonstrating the Fifth symphony's continuation of lines exploited in Schubert's previous symphonies, this study highlights the unique contributions that the Fifth symphony's opening made to the mixture of ideas from the early symphonies upon which the procedures in the later

symphonies are based. The function of the Fifth symphony's opening measures (neither purely introductory nor truly thematic) also introduced a key element of ambiguity common to several of the later symphonies that was lacking from the openings of Schubert's other early symphonies.

This paper reveals the Fifth symphony to be a work that draws upon Schubert's past accomplishments while looking forward to his future achievements.

The Music of the *Music Box Revues*

Larry Bomback

On 22 September 1921, a quaint, little establishment located on West 45th Street opened its doors to the theatre-consuming public. Like the Wagner *Festspielhaus* across the ocean in Bayreuth, the one-million dollar Music Box Theatre was built as the outlet for the works, specifically the revue shows, of a single composer—the Russian-Jewish immigrant, Irving Berlin.¹

Revue, a type of musical theater imported from France, were big business on Broadway during the first decades of the twentieth century. Even

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¹ In an attempt to further emphasize his commitment to Berlin, co-owner Sam Harris, a producer by trade, originally intended to name the building “Irving Berlin’s Music Box Theatre,” although that proposal was swiftly rejected by the ever-modest composer himself, who remarked that such a decision would have resulted in “too much Berlin.” This was probably a wise move considering that the original promise of devoting the theatre entirely to Berlin’s music was not upheld for very long. The *Earl Carroll Vanities* played the Music Box Theatre in the fall of 1924, and after the final *Music Box Revue* closed in 1925, Harris and Berlin began renting out the establishment to other revue shows at first, and then eventually to general bookings. See “The Music Box to Open” *New York Times*, 12 September 1921, 20; Unknown author, “Dancing Mothers’ has novel climax” *New York Times*, 12 August 1924; and Edward Jablonski, *Irving Berlin: American Troubadour* (New York: Henry Holt and Company, 1999), p. 94.

though there were revue shows in New York dating back to the 1890s, Florenz Ziegfeld popularized the exciting format in 1907 when he staged his first of many annual *Follies*. Music contained in these *Follies* was essentially an amalgam of recent songs written by popular composers. Berlin, in fact, had been writing individual songs for Ziegfeld as early as 1916, and composed much of the music for the *Ziegfeld Follies of 1920*. Thus, by the time Berlin started penning his first *Music Box Revue*, he certainly felt comfortable working in the genre. Nevertheless, Berlin and co-owner Sam Harris made a concerted effort to differentiate their new revue from contemporaneous endeavors conducted by Ziegfeld, Lee and Jacob Schubert (*The Passing Show*), George White (*Scandals*), and a host of other producers. By exploiting the particular dimensions of the Music Box Theatre, deemphasizing the focus on nudity, and most importantly, creating shows centered around music, Berlin and Harris succeeded in raising the caliber of the revue show genre to a higher artistic level.

With its 1000-seat capacity, the Music Box Theatre seems miniscule compared to the New Amsterdam Theatre, where the majority of the *Follies* played, and Harris and Berlin used this feature to their advantage. The intimate feel of the Music Box made for a more intellectual revue with a smaller cast and frequent interaction between the audience and the people on stage.² Granted, the first *Music Box Revue* still cost a fortune to produce. Its nearly \$200,000 price tag was comparable to a Ziegfeld production,

² Gerald Bordman, *American Musical Theatre* (New York, Oxford University Press, 1978), p. 365.

but instead of that money being spent on huge chorus lines of scantily-clad women and high-profile stars, gorgeous scenery and elaborate costumes made up the bulk of the bill. In fact, many a critic remarked that the inaugural *Music Box Revue* was a classier show than the *Follies*, *Scandals*, and especially the Schubert productions, precisely because it did not rely on cheap effects and leggy women in order to sell tickets.³ Instead, the *Music Box Revue* relied on a great score. Unlike any other prior revue show, the music itself was at the forefront of the *Music Box Revues*, and in no way was this better evidenced than by Harris's insistence on having all the songs (words and music) written by a single person, an unprecedented decision. Maintaining the highest artistic standards and assuming a worldly audience, Berlin wrote self-referential songs about musical topics such as dancing, singing, nineteenth-century music, ragtime, jazz and opera. One overseas critic, who saw the first revue when it toured in London, noted that the songs were "far above the average for revue stuff,"⁴ no doubt in part because of their lyrical content. The

³ An anonymous press clipping, "Berlin Cleans Up the Music Box," found at the Library of Congress notes: "Without the least desire to lessen the crowd's interest in it, I am impelled to remark that I remember it as the cleanest and most fully clothed of any of the newer flesh and wit shows. There are powdered backs to be seen and thighs aplenty. But there is little or no nudity in the modern sense. The humor, too, has been pretty thoroughly disinfected." A later reviewer claims that "He [Berlin] had dared to clothe a revue." (From an anonymous press clipping entitled, "The Play: The Music Box is wound up for the Season," and dated 2 December 1924).

⁴ Unknown author, "London Notes" *New York Times*, 20 May 1923, X:1

songs clearly superseded the comedic elements and the choreography, and although in terms of general staging there was nothing particularly innovative about these revues, the fact that they were propelled forward by their songs justifies why they must be recognized as indispensable components in any study looking at American musical theater developments.

Yet despite their importance, little research has been devoted to any aspect of the *Music Box Revues*, as indicated by several RILM search combinations that all yield zero results. Only one monograph, Marilyn Jane Plotkins's unpublished dissertation, *Irving Berlin, Cole Porter, George Gershwin, and the Spectacular Revue: the theatrical context of revue songs from 1910-1937*, actually devotes more than a few pages to these four shows. Allen Forte and David Carson Berry have analyzed some of the revue songs, but questions of historiography have not been a major focus of their writings. The many biographies of Irving Berlin and general musical theater textbooks contain much regurgitated information, and my archival research proves that such information is not always entirely accurate, especially with regards to which songs were actually heard in the revues.

Of course, it is no easy task compiling a definitive list of songs from really any musical theater event prior to 1930, and the *Music Box Revues* are no exception. Many of the songs are unpublished and the lead sheets have yet to be uncovered, so that we are left with lists of titles. In addition, some songs were presented only a few times before they were eventually cut due to time constraints or replaced because of poor reception. Finally, many new songs were added to the revues once the shows went on

tour. The inventories that I have compiled (please refer to the appendices at the end of this article) include all songs that were explicitly published as being featured in one of the four revues, unpublished and lost songs that are mentioned at least once in programs, press clippings, or other primary source documents, as well as any added songs that were performed when the revues traveled. Taken together, the complete list is staggeringly large, and while probably still incomplete, it is by far the most comprehensive one to date.⁵

Those familiar with Berlin's *oeuvre* will notice from the appendices that several songs featured in the revues would go on to become timeless classics that continue to be performed and recorded today, including "All Alone," "What'll I Do?," and "Say It with Music" (plate 1). Sung by newcomers Wilda Bennett and Paul Frawley in the original production, "Say It with Music," a song that lyrically required at least an elementary knowledge of nineteenth-century classical music, was singled out by virtually every critic as a showstopper. Such was its popularity that it would later serve as the theme for the entire series.⁶

⁵ I have deliberately left out purely instrumental music used as accompaniment for the *corps de ballet* scenes because much of it was not written by Berlin.

⁶ Sigmund Spaeth, *A History of Popular Music in America*, 11th ed. (New York: Random House, 1967), p. 430; and, Bordman, *American Musical Theatre*, p. 365. This notion of "saying something with music" is supported by evidence from the original manuscript of the first revue, where we observe recitative-like dialogues between characters contained within many of the larger song numbers. Unfortunately, the manuscript scores of the second, third and fourth revues have not yet been located, but I would imagine, owing to the fact that

Considering the sheer number of songs that were lyrically about music, this unexpected hit could not have been more apropos. More than half the songs in the first show were about singing or dancing including, “Everybody Step,” a jazz dance number in the vein of “Alexander’s Ragtime Band” sung in close harmony by the Brox Sisters, “They Call It Dancing,” a song spoof of the dance marathons that were so popular at that time, “Dancing the Seasons Away,” and “Tell Me with a Melody.” While Ziegfeld had Rudolph Friml and Victor Herbert tunes in his *Follies of 1921*, none of the songs from that show were nearly as popular with the general public as the many hits from the *Music Box Revue*.⁷

“Say It with Music” was the official theme of the entire series, and based on the knowledge that the general layout of the skits was pretty much the same from season to season, that this quasi-operatic practice was upheld in the later revues.

⁷ Bordman, *American Musical Theatre*, p. 365; and Gerald Bordman, *American Musical Revue* (New York: Oxford University Press, 1985), p. 82

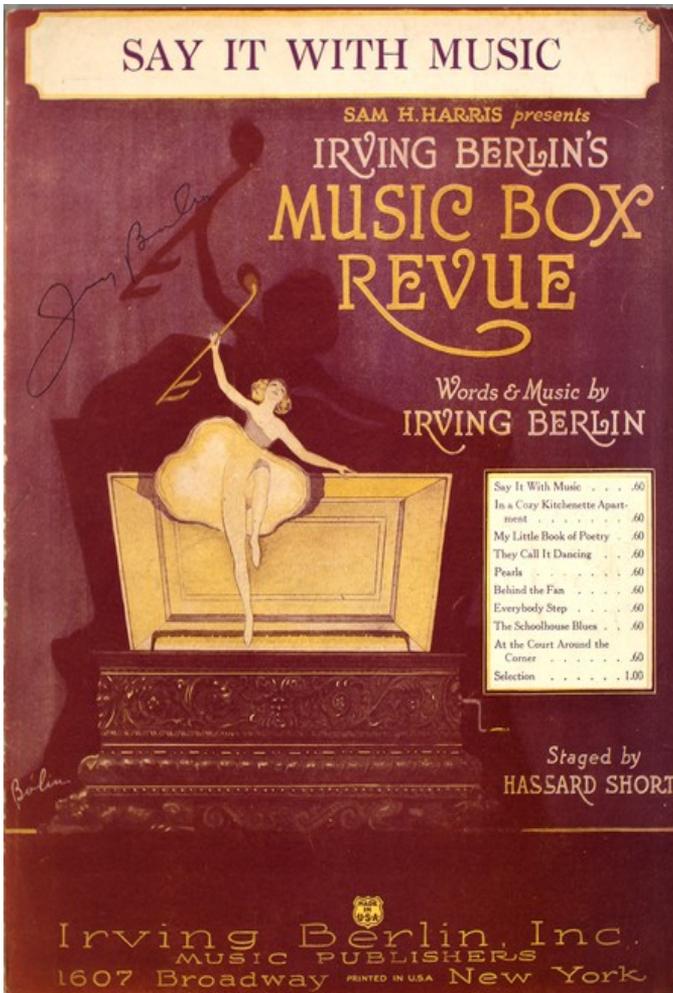


Plate 1 Cover page for “Say It with Music” (1921). Notice the Music Box Theatre logo. This same insignia appears on all published sheet music that includes an indication about being featured in a *Music Box Revue*.

Say It With Music

3

Words and Music by
IRVING BERLIN*Moderato con espressione*

The piano introduction is in 3/4 time, key of B-flat major. It features a steady accompaniment in the left hand and a more melodic line in the right hand. A 'rall.' marking is present in the second measure of the right hand.

(*Over*) Mu - sic is a lang - uage lov - ers un - der - stand,
 (*Over*) There's a ten - der mes - sage Deep down in my heart,

The vocal line consists of two phrases. The piano accompaniment continues from the introduction, with the left hand playing a simple harmonic accompaniment.

Mel - o - dy and ro - mance wan - der hand in hand;
 Some - thing you should know But how am I to start;

The vocal line continues with two phrases. The piano accompaniment remains consistent with the previous section.

Cu - pid nev - er falls as - sis - ted by a band,
 Sen - ti - men - tal speech es Nev - er could im - part,

The vocal line concludes with two phrases. The piano accompaniment features a more active bass line in the final measures.

Arranged by
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4

So if you have some - thing sweet to tell her:
Just ex - act - ly what I want to tell you:

REFRAIN

Say it with mu - sic, Beau -

ti - ful mu - sic; Some - how they'd

rath - er be kissed — To the strains of Clo - pin or Liszt.

p. mf dolce e legato

mf molto marc.

mere.

Say It With Music. 3

5

A mel - o - dy mel - low

p dolce e legato

played on a cel - lo, Helps

mis - ter · Cu - pid a - long — So say it with a beau - ti - ful song.

1 2

f

Say It With Music . 3

Songs that were not so strong melodically were bolstered by exquisite wardrobes and creative set design. Still, even in these larger chorus numbers, the clothes worn were far from skimpy. On the contrary, they were rather cumbersome. For example, in “Eight Notes,”⁸ (plate 2) yet another song with a musical theme, the chorus girls appeared in musical iconography outfits, and in the “Dining Out” sketch, which contained the two songs “Dining Out” and “In a Cozy Kitchenette Apartment,” the girls were dressed up in life-size food and place setting costumes. “The Legend of the Pearls” featured the chorus girls each wearing a giant pearl and set up against a black backdrop, simulating a necklace in a jewelry shop window.

⁸ In apparent homage to Gilbert and Sullivan, Berlin opens this song with the line, “Eight little notes are we.” Later in the same tune, he uses *solfege* syllables to create a melody, four decades before Rodgers and Hammerstein applied the concept in *The Sound of Music*.



Plate 2 A 33-year-old Berlin and the “Eight Notes.” Notice the staves on the dresses.

Berlin appeared on stage twice during the revue, singing and dancing to his own music. He was in the “Eight Notes” sketch early on in the program, and made another cameo near the end of the show during “The Irving Berlin Interview” number in which the chorus girls asked the composer to reveal his songwriting secrets, and which featured a snippet of his most lucrative composition of 1921, “All By Myself.” According to Percy Hammond’s review, this number elicited the loudest applause on opening

night.⁹ Performing, of course, was nothing new to Berlin. He had been a singing waiter on the Lower East Side for years before finally gaining recognition as a songwriter, and even made several live recordings during the 1910s. Furthermore, Berlin would often tour his new songs around New York hotspots in order to gauge audience reactions before eventually seeking their publication. In fact, he did just that with “Say It with Music.” While it was written specifically for the show, unlike “All by Myself,” or “At the Court Around the Corner,” part of the reason for the success of the song is that it had been paraded around the city for months before the show opened, not only by the composer accompanying himself on the piano, but by the many dance bands who had already made arrangements of the tune and were performing it in social halls.¹⁰

The first revue temporarily closed on 22 June 1922 so that Berlin could begin preparations for the second revue. During the summer, a touring company took the original show across the country as well as to London.¹¹ The revue would return to the Music Box

⁹ Percy Hammond, “The New Play: The Music Box is dedicated to folly by a costly review [*sic*] whose author is Irving Berlin,” *New York Tribune*, 23 September 1921.

¹⁰ Jablonski, p. 95.

¹¹ *Ibid.*, p. 97. Berlin probably did not go on tour with the revue. In fact, the “Irving Berlin Interview” song was eliminated by the time the show came back to Broadway, replaced with an interview of an anonymous actor named “The Tenor.” Based on songs that I found having had appeared in the later *Music Box Revues*, I also suspect that when the shows went on tour, songs from other composers were occasionally incorporated into the score. The “keep it Berlin” rule appears to have been limited only to the Music Box Theatre.

in August with some new music including the song, “The Flipper and the Flapper.” Counting the tours, the first revue played for 54 weeks, grossing \$1.5 million.

Several critics complained that the first revue was not very funny, and considering the sheer length of the show—all the revues, in fact, hovered around the four hour mark—they understandably had hoped for a higher level of humor. This problem was fixed in the second revue when Charlotte Greenwood and the comedic pair of Bobby Clark and Paul McCullough were added to the cast. While Clark and McCullough did sing in one number, “Three Cheers for the Red, White, and Blue,” they were there primarily for comic relief. Greenwood, on the other hand, did sing a great deal, injecting much humor into her three big numbers, “Too Many Boys,” “I’m Looking for a Daddy Long Legs,” and the show-stopping “Pack Up Your Sins and Go to the Devil.”¹² The latter song, along with “Lady of the Evening,” “Crinoline Days,” and “Some Sunny Day” (a song written earlier in the year which was not featured in the revue, as far I am aware, although a snippet may very well have been interpolated during one of the larger numbers), were Berlin’s biggest moneymakers from 1922.¹³

While the interjection of a cruder brand of humor may have watered-down the show, there was one musical number in particular that suggests Berlin

¹² “Pack Up Your Sins and Go to the Devil” was the focus of a major lawsuit filed against Berlin by an unknown composer who claimed to have had written the song first. See Jablonski, p. 99, for the complete story.

¹³ Spaeth, p. 435.

was still attempting to maintain a respectable level of artistry by gearing his music towards a fairly-cultured audience. To fully appreciate “My Diamond Horseshoe of Girls,” one needed to be quite familiar with opera, which has always been considered a very high art form. Like the opera medley in Berlin’s first musical, *Watch Your Step* (1914) the setting for the “Diamond Horseshoe” number was the Metropolitan Opera House, and, indeed, many of the same famous arias ragged in that medley were quoted from once again in this song.¹⁴ John Steel, whom Berlin had essentially stolen from Ziegfeld, and a chorus of women burlesquing popular operatic heroines (Tosca, Carmen, Marguerite, Isolde, Butterfly, Manon, Mimi, Aida, and Thais) performed this hilarious number to enthusiastic cheers.

¹⁴ “My Diamond Horseshoe of Girls,” was actually Berlin’s fourth foray into the world of opera medleys. In his second musical, *Stop! Look! Listen!* (1915), the finale to Act II contained an opera medley entitled the “Ragtime Melodrama.” On his first such endeavor, see Larry Hamberlin’s, “National Identity in Snyder and Berlin’s ‘That Opera Rag,’” *American Music* 22 (Fall 2004), pp. 380-406.

Diamond Horse-Shoe

3

By IRVING BERLIN

Met-ro-pol-i-tan nights bring to me mem-o-ries dear

vol-ees clear— Keep ring-ing in my ear

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4

Met-ro-pol-i-tan girls with their sweet mus-i-cal themes

Haunt my dreams— and ev-'ry night it seems—

CHORUS

I see a horse-shoe set with dia-monds— a dia-mond

p. mf

horse-shoe set with girls— and ev-'ry love-ly maid-en I

Diamond Horse Shoe 3

Detailed description: This is a page of sheet music for the song 'Diamond Horse Shoe'. It features a vocal line and a piano accompaniment. The music is in 2/4 time and the key signature has one sharp (F#). The score is divided into several systems. The first system contains the first line of the verse. The second system contains the second line of the verse. The third system is the beginning of the chorus. The fourth system contains the first line of the chorus. The fifth system contains the second line of the chorus. The piano accompaniment consists of chords in the right hand and a simple bass line in the left hand. A dynamic marking of *p. mf* is present in the fourth system. The page number '4' is in the top left corner, and the title 'Diamond Horse Shoe 3' is at the bottom left.

5

see is call - ing to me with a sweet mel - o - dy I hear them

say - ing it with mus - ic — Un - til each trag - ic, tale un -

furls and my heart is lad - en with love for each maid - en, in my

dia - mond horse - shoe of girls. — I see a girls. —

Diamond Horse Shoe 3

Plate 3 This verse and chorus served as an intro to the parade of opera divas. Notice the “Say It with Music” lyric on the third page.

With a wealth of memorable comic tunes, the *Second Annual Music Box Revue* grossed over a million dollars, playing for 46 weeks.¹⁵ The highly-respectable 330-performance success of this revue instilled in Berlin and Harris enough confidence to decide to open the third revue with no trial runs on the road.¹⁶ This was probably not the best idea since the score to the third revue proved to be the weakest one thus far, and despite Stephen Rathbum's glowing appraisal in the *New York Sun-Globe*, deeming it a "a revue that has no rival,"¹⁷ there really was only song from the premier performance that proved to be a memorable hit and a significant money generator. This was the delightful "An Orange Grove in California," during which the audience members were sprayed with orange scent.¹⁸

The comedic angle of the third revue certainly lived up to its predecessor though, with George S. Kaufman, who would later pen the side-splitting book to the Pulitzer-Prize winning musical *Of Thee I Sing* (1931), contributing to many of the sketches.¹⁹ There was also another opera parody. Berlin expanded the already-hysterical hit song, "Yes! We Have No

¹⁵ Bordman, *American Musical Theatre*, p. 374-5.

¹⁶ John Corbin, "The Play" *New York Times*, 12 September 1923, 14.

¹⁷ As quoted in an untitled advertisement, *New York Times*, 20 January 1924, X: 3.

¹⁸ Grace Moore, who had been training in France to become an opera singer when Berlin discovered her and convinced her to join his company, sang this particular number. Jablonski, p. 98.

¹⁹ *Of Thee I Sing* would eventually save the Music Box Theatre from going bankrupt during the Depression.

Bananas” (1923) written by Frank Silver and Irving Cohn, into a number billed as the “Opera Sextette,” by interpolating the melodies of operatic favorites within the song’s catchy chorus.

There's a fruit store on our street, It's run by a Greek; And he keeps good things to eat, But
 you should hear him speak. When you ask him a - ny-thing, ne - ver an - swers no,
 He just yes - es you to death, And as he takes your dough, he tells you: Yes! we have no ba -
 na - nas! We have no ba - na - nas to - day! We've
 broad beans like bun-ions, ca - bah - ges and hun-ions, And all kind of fruit, and
 say, We have an old fa - shioned to - mah - to, A nice Jer - sey po - tah -
 to, But yes we have no ba - na - nas! We have no ba - na -
 nas To - day!

Plate 4 Melody to “Yes, We Have No Bananas!” by Frank Silver and Irving Cohn

But with five opera medleys over the course of a decade, the concept was fast losing its novelty, and indeed, this would turn out to be his last opera medley. Comedy alone simply could not save this show, and Berlin soon felt the need to include his

recently-completed waltz, “What’ll I Do?” Sung by Grace Moore and John Steel, this gorgeous yet heart-wrenching ballad served as a testament to the enticing power of Berlin’s music, and it was primarily responsible for keeping the show afloat for so long.²⁰ The *Third Annual Music Box Revue* totaled a noteworthy 273 performances, although this was a significant downgrade from the first revue, and by the time the tours began, the question of whether or not to even put on a fourth revue was certainly in the minds of the theater owners. When Berlin and Harris turned the Music Box Theatre over to Earl Carroll and his *Vanities* in September 1924, a rumor was circulated among the press that Berlin’s series of revues was going to close after only three seasons. The rumor proved false, and the only reason the theater was temporarily rented out was that the duo needed more time to fix pre-production problems in the fourth revue. Since the show would not be able to open until at least the end of November, there was no reason to keep the theater dark for two months when the raunchy *Vanities* could generate some much-needed income.²¹

Many critics believed that the fourth revue was as good as the first one, if not better, although some noted that the format of the show was falling into similar patterns.²² Several songs were recycled from the earlier revues including “Behind the Fan,” “In the Shade of a Sheltering Tree,” “At the Court

²⁰ Bordman, *American Musical Revue*, p. 381.

²¹ Unknown author, “Dancing Mothers Has Novel Climax” *New York Times*, 12 August 1924, 12.

²² Unknown author, “Music Box Revue Filled With Beauty” *New York Times*, 2 February 1924, 23.

Around The Corner,” “Everybody Step,” “Legend of the Pearls,” and “My Little Book Of Poetry,” and while I have not found any programs or reviews to confirm this, according to New York Public Library records, they were all supposedly republished as having appeared in “Irving Berlin’s *Fourth Annual Music Box Revue*.” Of course, there were many original tunes as well, and one reviewer declared that “several of Mr. Berlin’s numbers, if not all of them, will be sweeping the land before long.”²³ Edward Miller remarked that the show contained “several numbers even more tuneful than you will ordinarily find at the Music Box,”²⁴ and Alexander Woollcott of the *Evening Sun* deemed the production a “masterpiece...[T]he best revue which these senses have experienced in ten years of playgoing on Broadway.”²⁵

Many of these glowing statements were given rather hastily though. Indeed, critical reception and popular reception seems to have differed most with regards to this revue, and Don Gillette may have been the only critic to actually have recognized this. He observed on opening night that the *Fourth Annual Music Box Revue* was “like a journey through Fairyland, and it has already revealed so many wonders that it may exhaust itself prematurely. That is the disadvantage of presenting something that can’t be bettered. Strangely enough, the *Music Box Revue* in all its glory did not elicit one round of real hearty

²³ Ibid.

²⁴ Edward A. Miller, “Across Broadway Footlights,” *Official Metropolitan Guide*, 12 December 1924, 25.

²⁵ As quoted in an untitled advertisement, *New York Times*, 3 December 1924, 24.

applause on the occasion of this review.”²⁶ Heywood Broun also noticed an apparent lack of hit songs. While he thoroughly enjoyed “Tokio Blues,” he did not think that “this time there are many [tunes] which will be heard around the world.”²⁷

Favorites from the fourth revue included “Tell Her in the Springtime,” which was “worthy of inclusion in a popular opera” according to one reviewer,²⁸ and “In the Shade of a Sheltering Tree” which Gilbert Gabriel believed stood an excellent chance of soon “being on the piano racks from here to Honolulu.”²⁹ But the most frequently singled-out song from the opening night reviews was “The Call of the South,” with its interpolation and manipulation of the melody to “Way down upon the Sewanee River.”³⁰ Along with “Bandanna Ball,” “The Call of the South” comprised the memorable Finale to Act I, whereby, through a combination of make-up preparation and lighting effects, the all-white cast was able to change to blackface before the audience’s very eyes.³¹

²⁶ Don Carle Gillette, unknown article title, *Variety*, 2 December 1924. This quote seems to imply that revues would frequently change their song lineups.

²⁷ Heywood Broun, “At the Music Box Theatre: ‘The Music Box Revue,’” *New York World*, 2 December 1924.

²⁸ Unknown author, “Music Box Revue: Irving Berlin’s Fourth Production is Beautiful Show,” *New York Mirror*, 2 December 1924.

²⁹ Gilbert W. Gabriel, “The Music Box Revue: Fourth Annual Heaping of Scenic Splendors and Irving Berlin’s Coaxing Melodies,” *New York Telegram*, 2 December 1924, 24.

³⁰ E.W. Osborn, “Review of the *Music Box Revue*,” *Evening World*, 2 December 1924.

³¹ Fred MacIsaac, “Music Box Auspiciously Inaugurated,” unknown paper, 2 December 1924.

With fewer and fewer original songs about musical topics, the *de facto* theme of the series was giving way to dated minstrelsy conventions and other forms of lowbrow humor. It seemed almost as if Berlin and Harris had abandoned their artistic vision by the fourth revue. Responding to poor attendance, Berlin, for the second straight year, decided to add another ballad guaranteed to generate positive reception, the beautiful waltz, “All Alone.”³² “All Alone” certainly helped to draw in crowds, further proof of Berlin’s musical capabilities, but the fourth revue still signaled the death-knell of the series. It lasted 186 performances, continuing a progressively downward spiral ever since the highly successful premier of the original *Music Box Revue* in 1921. By 1925, Berlin had become convinced that putting on a revue was “considerably less lucrative than song writing and approximately fifty times as arduous,”³³ and this sentiment was shared by his fellow impresarios. By the mid-1920s, revues in general were becoming *passé*. George White was forced to discontinue the *Scandals* after the 1924 season, and while Ziegfeld continued to produce the *Follies* for a few more years, they were no longer the cash crop that they once were.³⁴

Talk of resurrecting the *Music Box Revues* went on for decades. There were rumors of a fifth revue planned for the spring of 1926, but these soon died

³² While “All Alone” was not originally intended to be featured in the fourth revue, shortly after it was written in 1924, it did appear in a Newark, New Jersey touring production of the third revue.

³³ Unknown author, “Gossip of the Rialto,” 19 April 1925, X:1.

³⁴ Jablonksi, p. 99.

down.³⁵ In 1935, it was reported that a whole new series of *Music Box Revues* would soon return to Broadway, but again, the plans seem to have been abandoned.³⁶ A new *Music Box Revue* was penned in 1938, yet never made it to stage, and in 1957, there was to be a televised *Music Box Spectacular* in the style of the old revues that would feature many of the original songs, but studio gatekeepers prevented its production.

Today, it is rare for a theater company to stage a complete performance of any single revue. More common are “greatest hits” versions of the show. For example, in April 2005 at the Longy School of Music in Boston, the American Classics troupe³⁷ made a compilation *Music Box Revue* that incorporated skits and songs from all four revues and used only a piano accompaniment. The problem is not that the individual shows are themselves dated; on the contrary, they are rather timeless. What is challenging is figuring out exactly how these numbers were all put together into one cohesive unit. The song lists that I have amassed represent the first steps in solving this problem. Still, it is impossible that a single performance contained all the songs in any one of the lists. There was mixing and matching, and adding and cutting, and the next task will involve

³⁵ Unknown author, “Harris to Produce Eleven New Plays” *New York Times*, 17 August 1925, 15

³⁶ Unknown author, “News of the Stage” *New York Times* 17 June 1935, 20

³⁷ American Classics mounts productions of musicals from the first half of the twentieth century. To hear the troupe’s interpretations of some of the *Music Box Revue* songs, please visit the following website: <<http://www.amclass.org/mbr.html>>

locating the many missing manuscripts that contain the storylines, dialogue, and precise location of the songs within each skit. In shows like these, there is no definitive *Urtext* because song order and song selection were constantly changing. I suspect that once we discover the necessary manuscripts and other documents indicating later script alterations, we will finally learn which songs were sung when and by whom. I am also sure that such material will provide titles to other lost musical gems.

At this point, there is certainly no excuse for the first revue not to be staged in its entirety. The original manuscript for the first *Music Box Revue* with rough orchestrations and dialogue has been located at the Library of Congress, and several libraries possess copies of the opening night program. Using both resources, a fairly-authentic performance could well be mounted and is definitely overdue. But much work still needs to be done in order to provide all four *Music Box Revues* with a proper and deserved place in American musical theater history. Berlin and Harris deserve recognition for their desire and successful attempt at being different, for their insistence on raising the intellectual level of the revue show as a genre, for essentially laying the groundwork for later revue shows that contained tighter storylines, and most importantly, for indirectly spawning the recent revival of the revue show format, now featuring works of a single composer (i.e. *Ain't Misbehavin'*, 1978, Fats Waller; *Crazy for You*, 1992, George Gershwin; *A Grand Night for Singing*, 1993, Rodgers and Hammerstein; *Smoky Joe's Café*, 1995, Lieber and Stoller; *Lennon*, 2005, John Lennon). The current trend of devoting a revue to a single

composer is not a recent phenomenon, as this paper made clear at the outset, and we have Irving Berlin and his artistic ambition to thank for this.

Appendix 1Songs featured in the *Music Box Revue 1921-1922*

Title (alternate titles)	Comments
At the Court Around the Corner	Not specifically written for the show; Published as a <i>Music Box Revue</i> song
Behind the Fan	Published as a <i>Music Box Revue</i> song
Dancing the Seasons Away (Dance Your Troubles Away; Dance of the Seasons)	
Dining Out	Also the name of an entire sketch that included “In a Cozy Kitchenette Apartment”
Eight Little Notes	From the manuscript; part of the “Opening Chorus” number
Everybody Step	Served as the Finale to Act I; Published as a <i>Music Box Revue</i> song
Fair Exchange (The Court Room)	From the manuscript
The Flipper and the Flapper	From the touring company production
I’m a Dumb-Bell (I’m a Dumbell; I am a Dumbell; I am a Dumbbell)	Published as a <i>Music Box Revue</i> song
In a Cozy Kitchenette Apartment	Published as a <i>Music Box Revue</i> song
The Irving Berlin Interview	An interview conducted in song by the “Eight Notes” (chorus girls); Contained a snippet of “All By Myself” (1921); Interview set up the Finale to Act II which recycled the more popular themes from throughout the

	evening
The Legend of the Pearls	Published as a <i>Music Box Revue</i> song
My Ben Ali Haggin Girl	
My Little Book of Poetry	Published as a <i>Music Box Revue</i> song
Opening Chorus	From the manuscript
A Play without a Bedroom	From the touring company production
Say It with Music	Served as the theme of the entire series; Published as a <i>Music Box Revue</i> song
The Schoolhouse Blues	Published as a <i>Music Box Revue</i> song
Tell Me with a Melody	From the manuscript; appeared in the London production
They Call It Dancing	Published as a <i>Music Box Revue</i> song
We Work While You Sleep	From the manuscript; part of the “Opening Chorus” number

Appendix 2

Songs featured in the *Music Box Revue 1922-1923*

Title (alternate titles)	Comments
Bring on the Pepper (Bring on the Red Pepper)	Published as a <i>Second Annual Music Box Revue</i> song
Crinoline Days	Published as a <i>Second Annual Music Box Revue</i> song
Dance Your Troubles Away	Was also featured in the first revue
Dancing Honeymoon (Take a Little Wife)	Published as a <i>Second Annual Music Box Revue</i> song
I'm Looking for a Daddy Long Legs (Daddy Long Legs)	Published as a <i>Second Annual Music Box Revue</i> song
Lady of the Evening	Published as a <i>Second Annual</i>

	<i>Music Box Revue</i> song
The Little Red Lacquer Cage	Not specifically written for the show; Published as a <i>Second Annual Music Box Revue</i> song
Mont Martre (Montmartre)	Published as a <i>Second Annual Music Box Revue</i> song
My Diamond Horseshoe of Girls (Diamond Horse-shoe)	Published as a <i>Second Annual Music Box Revue</i> song; “Diamond Horseshoes” was the name of a song written by Billy Rose and Con Conrad; Berlin’s version from the show portrayed nine famous operatic heroines being burlesqued.
Pack Up Your Sins and Go to the Devil	Published as a <i>Second Annual Music Box Revue</i> song
Porcelain Maid	Published as a <i>Second Annual Music Box Revue</i> song
Three Cheers for the Red, White, and Blue	Published as a <i>Second Annual Music Box Revue</i> song
Too Many Boys	
Too Many Girls	May very well have contained the same music as “Too Many Boys”
Will She Come from the East? (Will She Come from the East, North, West, or South?)	Published as a <i>Second Annual Music Box Revue</i> song

Appendix 3

Songs featured in the *Music Box Revue 1923-1924*

Title (alternate titles)	Comments
All Alone	From a touring production at the Schubert Theatre in Newark, NJ
Climbing Up the Scale	Published as a <i>Third Annual</i>

	<i>Music Box Revue</i> song
Dance	
Jazz No. (Jazz Number)	
Learn to Do the Strut	Published as a <i>Third Annual Music Box Revue</i> song
Little Butterfly	Published as a <i>Third Annual Music Box Revue</i> song
Maid of Mesh	Published as a <i>Third Annual Music Box Revue</i> song
One Girl	Published as a <i>Third Annual Music Box Revue</i> song
Only a Rose	Lyrics by Brian Hooker and Music by Rudolph Friml; From the musical <i>The Vagabond King</i> (opening night: 21 September 1925); Found with the Library of Congress materials for the <i>Third Annual Music Box Revue</i>
An Orange Grove in California	Published as a <i>Third Annual Music Box Revue</i> song
Song of the Vagabonds	Lyrics by Brian Hooker and Music by Rudolph Friml; From the musical <i>The Vagabond King</i> (opening night: 21 September 1925); Found with the Library of Congress materials for the <i>Third Annual Music Box Revue</i>
Tell Me a Bedtime Story	Published as a <i>Third Annual Music Box Revue</i> song
Too Many Sweethearts	Not specifically written for the show
Venetian Isle	Published in 1925; Found with the Library of Congress materials for the <i>Third Annual Music Box Revue</i>

The Waltz of Long Ago	Found with the Library of Congress materials for the <i>Third Annual Music Box Revue</i> ; Version that appeared in the show featured an interpolation of Strauss's "Blue Danube" Waltz
What'll I Do?	Not specifically written for the show; Later interpolation; Published as a <i>Third Annual Music Box Revue</i> song
When You Walked Out (When You Walked Out Someone Else Walked Right In)	Not specifically written for the show
Yes! We Have No Bananas (Opera Parody; Opera Sextette; Bananas)	<p>"Yes! We Have No Bananas" was originally a song of musical nonsense written by Frank Silver and Irving Cohn. The title comes from the purported utterance of an actual Greek fruit-dealer. The song is an absurd mix of positive and negative statements; Berlin enlarged the song into an operatic parody that burlesqued the following arias:</p> <ol style="list-style-type: none"> 1) "Triumphal March" from <i>Aida</i> 2) "Chi Mi Frena?" from <i>Lucia di Lammermoor</i> 3) "Bella Figlia Dell'Amore" from <i>Rigoletto</i> 4) "Belle Nuit (O, Nuit D'Amore) from <i>Contes D'Hoffman</i> 5) "Ah Che La Morte Ognora" from <i>Il Trovatore</i> 6) "Anvil Chorus" from <i>Il Trovatore</i>

	7) “Hallelujah Chorus” from <i>Messiah</i> By and large, these were the same segments spoofed in the “Diamond Horseshoe” from the <i>Second Annual Music Box Revue</i> and a few were also ragged in the “Opera Medley” from Berlin’s first musical, <i>Watch Your Step</i> (1914)
Your Hat and My Hat	

Appendix 4

Songs featured in the *Music Box Revue 1924-1925*

Title (alternate titles)	Comments
Alice in Wonderland (Come Along with Alice)	Published as a <i>Fourth Annual Music Box Revue</i> song
All Alone	Not specifically written for the show; Later interpolation; Did appear in a touring version of the third revue; Published as a <i>Fourth Annual Music Box Revue</i> song
At the Court Around the Corner	Republished as a <i>Fourth Annual Music Box Revue</i> song
Bandana Ball (Bandanna Ball; Bandanna Roll; Grand Bandana Ball)	Published as a <i>Fourth Annual Music Box Revue</i> song
Behind the Fan	Republished as a <i>Fourth Annual Music Box Revue</i> song
The Call of the South	Published as a <i>Fourth Annual Music Box Revue</i> song; Part of the Finale to Act I; Contained the special effect of changing the all-white cast into blackface before the audience’s very eyes

Come Back to Little Old New York (Come Back to Greenwich Village; Catskill Mountain Scene)	From the touring company productions at the Forrest Theatre and the Ohio Theatre; Perhaps an “answer song” to “Where Is My Little Old New York?”
A Couple of Senseless Censors	
Don't Send Me Back (Don't Send Me Back To Petrograd)	Published as a <i>Fourth Annual Music Box Revue</i> song
Don't Wait Too Long	From the touring company productions at the Forrest Theatre and the Ohio Theatre
Everybody Step	Republished as a <i>Fourth Annual Music Box Revue</i> song
The Happy New Year Blues	Not specifically written for the show
I Want to Be a Ballet Dancer (I Want to Dance My Troubles Away; I Want to Jazz My Troubles Away)	
In the Shade of Sheltering Tree	Published as a <i>Fourth Annual Music Box Revue</i> song
The Legend of the Pearls	Republished as a <i>Fourth Annual Music Box Revue</i> song
Listening	Published as a <i>Fourth Annual Music Box Revue</i> song
Moving Picture Baby	
My Little Book of Poetry	Republished as a <i>Fourth Annual Music Box Revue</i> song
Nature's Child	From the touring company productions at the Forrest Theatre and the Ohio Theatre
Polly from Hollywood (Polly of Hollywood)	From the touring company production at the Forrest Theatre; Compositional rights attributed to B.G. De Sylva and James F. Hanley;

	Published as having been introduced in <i>Irving Berlin's Fourth Annual Music Box Revue 1925</i>
Rock-a-Bye Baby	Published as a <i>Fourth Annual Music Box Revue</i> song
Russian Art	From the touring company productions at the Forrest Theatre and the Ohio Theatre
Sixteen, Sweet Sixteen	
Tell Her in the Springtime (Call Me in the Springtime; Tell Me in the Springtime)	Published as a <i>Fourth Annual Music Box Revue</i> song
Tokio Blues	Published as a <i>Fourth Annual Music Box Revue</i> song
Unlucky in Love	Published as a <i>Fourth Annual Music Box Revue</i> song
Where Is My Little Old New York?	Published as a <i>Fourth Annual Music Box Revue</i> song; Served as the Opener to Act I
Who	
Wildcats (Wild Cats)	

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Abstract

Revue, a type of musical theater imported from France, were big business on Broadway during the first decades of the twentieth century. Florenz Ziegfeld popularized the exciting format in 1907, when he staged his first of what would be many annual *Follies*. Music contained in these *Follies* was essentially an amalgam of recent songs written by popular composers.

Irving Berlin, in fact, had been writing individual songs for Ziegfeld as early as 1916, and composed much of the music for the *Ziegfeld Follies of 1920*. Thus, by the time Berlin started penning his first *Music Box Revue* in 1921, he certainly felt comfortable working in the genre. Nevertheless, Berlin and co-owner Sam Harris made a concerted effort to differentiate their new revue from contemporaneous endeavors conducted by Ziegfeld, The Schubert Brothers, George White, and a host of other producers. By taking advantage of the intimate dimensions of the Music Box Theatre, deemphasizing the focus on nudity, and, most importantly, creating shows centered around music, Berlin and Harris succeeded in raising the caliber of the revue genre to a higher artistic level.

Aspects of Time in the Later Music of Morton Feldman

Edward Jurkowski

There is probably no western art composer who has been more influenced by the visual arts than Morton Feldman. One would be hard pressed, for instance, to find an interview or essay by him in which visual art does not play some role when describing his compositional work.¹ Feldman was, of course, a member of John Cage's circle, who in the early 1950s along with the composers Earl Brown and Christian Wolff and the pianist David Tudor, formed an alliance that has frequently been referred to as the "New York School" of composition. As is often the case, the label is misleading, for each of these artists would follow distinct compositional as well as geographical trajectories. However, in Feldman's case the label is rather appropriate, as his art was consciously related to a group of New York-based painters that includes such names as Philip Guston, Willem de Kooning, Jackson Pollock and Mark Rothko. For instance, it was Feldman's association with such noted modernist painters combined with his deep understanding of visual art in general that gave him the sense that intricate, slowly evolving musical patterns could fill a musical time space in much the same manner as the figurations of a Guston painting fill up a canvas (or beginning in the early 1970s, the weaving patterns of a Turkish carpet, a passion that consumed Feldman until his death in

¹ Feldman 2000 contains a comprehensive collection of his writings.

1987). Despite his radical innovations, in some ways Feldman was the most traditional of his generation of experimentalists, for he was unwilling to sacrifice beauty for any other compositional idea or technique and never seemed to stray very far from romantic notions of tone color and emotional power.

Feldman's early published works from 1950 are graphic in design; for the next fifteen years his scores were either graphic in nature or were notated traditionally using varying degrees of indeterminacy. However, by the late 1960s Feldman abandoned the elements of indeterminacy that had characterized these pieces and instead began a remarkable compositional journey in which he relied upon his intuition and acute sense of orchestration to create works of ferocious difficulty where every note and rhythm was notated to formidable precision. Concomitantly, Feldman's compositions also became increasingly greater in duration; in the final decade of his life they reached lengths of unheard of proportions—for instance, the four-hour 1984 *For Philip Guston*, written for flute, vibraphone, and piano or the two-hour cello and piano composition from 1981 entitled *Patterns in a Chromatic Field*. The pieces from Feldman's middle period, generally considered from the early 1960s until 1977, are less long, less slow, and, his detractors would say, less monotonous than these later pieces and, therefore, can be more easily absorbed. Many of his most popular pieces come from this time period. For instance, in a work such as his 1970 *The Viola in My Life* the lyricism and nostalgia of the title reflects a lighter mood—silences interrupted by episodic events makes this, as well as other compositions from this time period, more

poignant than the longer, meditative late works. Ironically, given the focus of this paper, many pieces from this period seem to evoke a memory, or remembrance, as in the 1970 *Madame Press died Last Week at Ninety*.

Unquestionably, the most challenging pieces for performers and audiences are the works from the last ten years of his life—i.e., the compositions beginning with the 1977 trio *Why Patterns?* for flutes, piano and glockenspiel. Although the atonal harmonic language, low volume level and austere textures from his earlier works still remain, they now contain a significant amount of repetitive material and, as was just noted, tend to be of enormous length. Along with the sheer difficulty of playing the notes on the page, whether a solo instrumentalist or member of an ensemble, Feldman demands that the extreme concentration needed to play this music be sustained for long periods of time. Perhaps no work stretches such expectations more than his 1983 String Quartet no. 2. The quartet is, like most of Feldman's pieces from his late period, constructed by literal repetitions of small motives. Such repetition in this later music has evoked charges of monotony from his critics; however, what is astonishing about the second quartet, as well as these other works from Feldman's final ten years, is the vast amount of variety and change they actually do contain. The quartet's duration lasts anywhere from four to six hours; the wide variation is determined by the number of repeats taken during a performance. As such, the extreme length of the quartet has given the work a notoriety all its own—a status that has been exacerbated in recent years when the Kronos Quartet, the ensemble

for whom the work was written, announced that they were too old to continue to play the composition, due to the extraordinary demands of stamina the piece places upon the four players.

Clearly there is something new and special attached to these later works. Although Feldman's attraction to the visual arts has been identified at least as early as the 1950s, commentators of his music suggest that the greater length and the increased amounts of motivic repetition that these later compositions contain can be attributed to the influence from two sources that began to take hold in the early 1970s: one, his interest in the crosshatch paintings of Jasper Johns; two, his passion for Turkish and Persian carpets.² The latter, in particular, has received attention by scholars and commentators of Feldman's music alike.³ These hand-loomed rugs are characterized by repeating, self-contained square- or diamond-shaped geometric patterns set within a border; the carpets themselves are rarely exactly rectangular. Because the wool used for these rugs is dyed in small quantities at a time, there is typically a multitude of shades of the same colour. These patterns, although geometric, are often imprecise and will vary in colour, shape, and/or size. The upshot is that unlike the rugs made in commercial factories, the colours and patterns of these hand-made rugs do not adhere to a consistent identifiable system of usage, but appear freely in the overall design.

² Johnson 2002 discusses the role that Jasper Johns may play in Feldman's *Why Patterns?*

³ Feldman himself discusses the role that Turkish carpets play in his music in his 1981 "Crippled Symmetry" essay. See Feldman 2000, 134–149.

As a composer who always demonstrated great sensitivity towards visual art, as regards its influence upon his compositional work, the close interrelationship between colour and pattern in these rugs led Feldman to gradually reevaluate his views about the nature of musical material. What Feldman came to recognize is that a musical pattern could serve as an analogue for the musical colour of these carpets, where musical pattern is synonymous with musical material, musical image or motive. Like the geometric designs in the rugs, these musical patterns are self-contained units which repeat; importantly, the repetitions allowed Feldman to break off without preparation into a different pattern. However, the multiple hues and slightly imprecise geometric designs of these rugs also influence the variations associated with these repetitions; a few musical analogues that could be cited include changes such as chordal revoicings, chromatic alterations or changes in register. In short, the irregular placement of the rugs' patterns translates into irregular musical pacing. As an illustration, consider the opening page of his 1981 piano work *Triadic Memories*, shown in Example 1. The constant 3:4 rhythmic conflict is typical of the rhythmic arguments that pervade many of the later works—although it should be noted that the complexity here is relatively mild compared with some pieces. These bracketed durational proportions frequently appear in Feldman's later works. As Paula Kopstick Ames notes in her analytical essay on Feldman's piano work entitled "*Piano*":

It would be incorrect to follow convention by designating these bracketed proportions as 'groupings.' [For example, i]n many instances, Feldman's brackets

contain but a single attack surrounded by rests ...
Feldman's use of bracketed proportions is usually oriented much more toward placing attacks within a frame of time, rather than, toward, say, compressing five notes into the period normally available to four.⁴

Feldman remarks in his 1981 essay "Crippled Symmetry":

For my purpose, [an asymmetric duration proportion] "contains" my material more within the metric frame of the measure; while in post-Webern arrhythmic language, lopsided acceleration results from the directional pull of one figure to another. What I'm after is somewhat like Mondrian not wanting to paint "bouquets, but a single flower at a time."⁵

⁴ Ames 1996, 107.

⁵ Feldman 2000, 135.

triadic memories

morton feldman

Example 1 Morton Feldman, *Triadic Memories*, mm. 1–24

Even though the same pitch classes are used in each alternate measure, their position within a measure and their rhythmic realization change; at m. 15, the register of the pitches also changes. However, for purposes of a more extensive analysis of this piece later in the paper, let us consider that these patterns

are demarcated instead by the change in register of the G to B-flat ostinato; the first complete pattern, then, is from mm. 1–18. Example 2 illustrates that the ostinato right hand, in fact, masks two subtle rhythmic patterns in the left hand: one pattern is associated with the odd-numbered measures; the second pattern for the even-numbered measures (only the left hand pitches are illustrated). The integers refer to the proportion of twelve triplet sixteenth notes within each measure. The lower portion of Example 2 combines the patterns into one large pitch/rhythmic grid for Section I of the piece. Some comments about my notation are warranted. Square brackets indicate that the measures are identical both in terms of the ordering of the pitches and the rhythmic pattern. The arrows indicate that only one parameter remains the same between the two measures; the letters P and R indicate whether it is the pitch or rhythm, respectively. For instance, a bracket associates measures 1 and 7; however, an arrow relates measures 7 and 13. While the first pair of measures is identical, notice in the latter pair that the ordering of the rhythm for each measure is the same, but the order of the pitches is reversed. We shall come back to these eighteen measures later, when we study what role this opening section plays within the larger formal design of the opening seventy-eight measures.

* * * * *

While it is clear that these Turkish and Persian rugs play a prominent role to comprehend Feldman's later works, I would argue that the composer's deeper

appreciation of the larger canvases by such painters as Guston, Pollock and Rothko plays an equally valuable role in these compositions. For instance, one feature that appears consistently in interviews and writings from the last decade of Feldman's life is his use of "scale" to describe the expansive length of these compositions. Simply put, an understanding of scale seems paramount in order to appreciate what Feldman seems to be after in these later works. However, the word is obviously problematic, as it seems difficult to comprehend how and why Feldman would use an expression that portrays something visual to depict the temporal art of music.

As a point of departure to this topic, let us set the stage with a quote by the American composer George Rochberg that I believe has particular relevance here. In his essay "Duration in Music," the first in a group of three essays entitled "On Musical Time and Space," Rochberg discusses the role memory serves to comprehend musical design. He writes that:

The power of return in music serves much more than a purely formal function about which we have heard so much in the past from theorists and aestheticians: ideas of unity in variety, repetition and return ... etc. It does not account for the sheer power of return, nor does it account for the enormous satisfaction gained when the meaning of a work is suddenly crystallized by the arrival at ideas, stated earlier in the work, emerging on a new plane. Return in music has something of the force of the past suddenly illuminating the felt present as a real element in the present.⁶

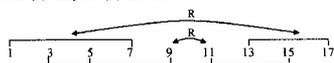
⁶ Rochberg 1984, 73.

m.:1 $\left| \begin{array}{c} 3 \\ r \ G\# \ D \\ 4.5 \ 4.5 \ 3 \end{array} \right| \left| \begin{array}{c} 5 \\ r \ D \ G\# \\ 3 \ 4.5 \ 4.5 \end{array} \right| \left| \begin{array}{c} 7 \\ r \ D \ G\# \\ 3 \ 4.5 \ 4.5 \end{array} \right| \left| \begin{array}{c} 9 \\ r \ D \ G\# \\ 3 \ 4.5 \ 4.5 \end{array} \right| \left| \begin{array}{c} 11 \\ r \ G\# \ D \\ 3 \ 4.5 \ 4.5 \end{array} \right| \left| \begin{array}{c} 13 \\ r \ D \ G\# \\ 4.5 \ 4.5 \ 3 \end{array} \right| \left| \begin{array}{c} 15 \\ r \ G\# \ D \\ 3 \ 4.5 \ 4.5 \end{array} \right| \left| \begin{array}{c} 17 \\ r \ D \ G\# \\ 4.5 \ 4.5 \ 3 \end{array} \right|$

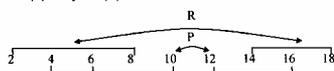
m.:2 $\left| \begin{array}{c} 4 \\ r \ A \ C\# \\ 4.5 \ 3 \ 4.5 \end{array} \right| \left| \begin{array}{c} 6 \\ r \ C\# \ A \\ 1.5 \ 4.5 \ 4.5 \end{array} \right| \left| \begin{array}{c} 8 \\ r \ C\# \ A \\ 1.5 \ 4.5 \ 4.5 \end{array} \right| \left| \begin{array}{c} 10 \\ r \ A \ C\# \\ 4.5 \ 3 \ 4.5 \end{array} \right| \left| \begin{array}{c} 12 \\ r \ C\# \ A \\ 1.5 \ 4.5 \ 4.5 \end{array} \right| \left| \begin{array}{c} 14 \\ r \ A \ C\# \\ 1.5 \ 4.5 \ 4.5 \end{array} \right| \left| \begin{array}{c} 16 \\ r \ C\# \ A \\ 4.5 \ 3 \ 4.5 \end{array} \right| \left| \begin{array}{c} 18 \\ r \ A \ C\# \\ 1.5 \ 4.5 \ 4.5 \end{array} \right| \left| \begin{array}{c} 18 \\ r \ C\# \ A \\ 4.5 \ 3 \ 4.5 \end{array} \right|$

NB: (1) "r" denotes rest; (2) durations based upon twelve quadruple sixteenth notes per notated measures

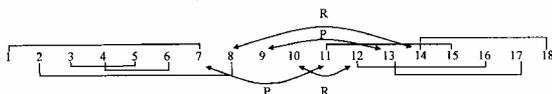
Pitch (P) / Rhythm (R) Associations in Odd-Numbered Measures



Pitch (P) / Rhythm (R) Associations in Even-Numbered Measures



Pitch (P) / Rhythm (R) Associations within Section I (mm. 1–18)



Example 2 Pitch/Rhythm analysis of Feldman, *Triadic Memories*, mm. 1–18

I believe that it is safe to say that Rochberg's comment is one with which most musicians would not disagree. While many composers and listeners alike have intuitively or formally adhered to traditional formal designs, others have viewed them with suspicion. For instance, Feldman had felt that forms such as ternary or sonata had become taken for granted, clichéd and overused. As he recounted in his *Crippled Symmetry* essay:

Over time I have come to realize that musical forms and related processes are essentially only methods of

arranging material and serve no other function than to aid one's memory. In short, Western musical forms have become a paraphrase of memory.⁷

Right from his early pieces in the 1950s—indeed, one of the hallmarks of the composer's style overall—Feldman was interested in conveying to the listener the immediacy of the sonic experience. However, in the 1970s, Feldman began to consider that memory could operate in a manner virtually opposite to Rochberg's perspective, through a conscious attempt at “formalizing a disorientation of memory [by] avoiding any acoustical anecdote likely to orient the auditive memory.”⁸ What Feldman began to discover was that as new material was introduced and repeated successively, he would forget the previous material. Simply stated, as Rochberg (and others) have noted, memory acts as a point of orientation in most Western music; however, for Feldman it became the basis of disorientation. Further, this confusion could be enhanced by placing absolute attention on the minutest of details—first, through the numerous repetitions (which the performer has some control over), and then subtle alterations of these repetitions; examples include the rhythmic framing of a repeated bar, the careful displacement of a pitch or pitches by an octave, the reorchestration of a harmony or melody, or by finely altering a dynamic level. As an illustration of such minute changes in action, consider the opening measures of the second string quartet, shown in Example 3. The opening harmony, C-sharp, D, D-

⁷ Feldman 2000, 137.

⁸ *Ibid.*, 137.

sharp and E, is repeated no less than thirty-eight times. Only these four pitches are used, whose registral placement and rhythm never change; yet these thirty-eight measures contain a tremendous variety, as only a couple of chords contain the same pattern of dynamics. In short, even though it is the same chord in terms of pitches, it is rarely the same chord: by focusing our attention on the constant dynamic changes and occasional alterations in orchestration, our disorientation as to the work's structure, made problematic because of the repetitive harmonies, becomes greatly exacerbated.

By employing such devices in his compositional methods and by making disorientation one of his main concerns, Feldman intentionally confuses our "active memory," i.e., our sense of auditory retention. Of course, in much Western art music this confusion does not occur to such a great extent since less attention upon a composition's minute details is usually placed upon the listener. By contrast, however, in a piece by Feldman the detail *is* the point of focus for the listener. In short, like the string quartet excerpt from Example 3, what we are left to cogitate upon are the complex fragments of an unclear design and it is through a mindful attempt at the disorientation of memory that Feldman is able to direct the listener towards a more conceptual and elusive listening experience.

Yet since all of the parts of a composition achieve equality, an interesting phenomenon takes place. Specifically, Feldman demands that the listener focus intensely upon each feature of a composition's design since the listener's attention, once directed to any one particular element, is not pulled away by what

occurred before it or by what will follow it. In other words, moments of equal importance follow one another. However, this leads to a crucial question: if a structure consists of a series of events, all equally important, and, at the same time, each event becomes the focus of attention, to what, then, do all these events and their details add up? In other words, what makes all these events into a unified whole? With such a paradox in mind, let us now place this highly repetitious sound world within the context of the expanded length of Feldman's later works.

STRING QUARTET (II)

Morton Feldman

J = 63-66

The musical score for String Quartet (II) by Morton Feldman, measures 1-27, is presented in four systems. Each system contains eight measures. The dynamics are as follows:

- System 1: Measures 1-8. Dynamics include mp, mf, ppp, f, and mf.
- System 2: Measures 9-16. Dynamics include ppp, mp, mf, f, and mf.
- System 3: Measures 17-24. Dynamics include ppp, mf, mp, mf, ppp, mf, and mf.
- System 4: Measures 25-27. Dynamics include ppp, mf, mp, mf, mp, ppp, and mp.

Example 3 Morton Feldman, String Quartet no. 2, mm. 1-27

* * * * *

As noted earlier, Rothko had long been a member of Feldman's group of friends; the painter and composer grew especially close during the 1960s until Rothko's untimely suicide in 1970. One of

Rothko's trademarks beginning from the early 1950s was his penchant to paint big paintings. As regards the expansive dimensions of these canvases, Rothko wrote:

I paint very big canvases. I'm conscious about the historical function in doing grandiose and pompous paintings. The reason I'm doing it—and this goes for the other painters I know as well—is exactly the opposite: I want to be as intimate and human as possible. To paint a little canvas means that you put yourself outside your own experience, as if you observed an experience through a diminishing glass. When you paint a big canvas, however, you are in it. It's out of your control.⁹

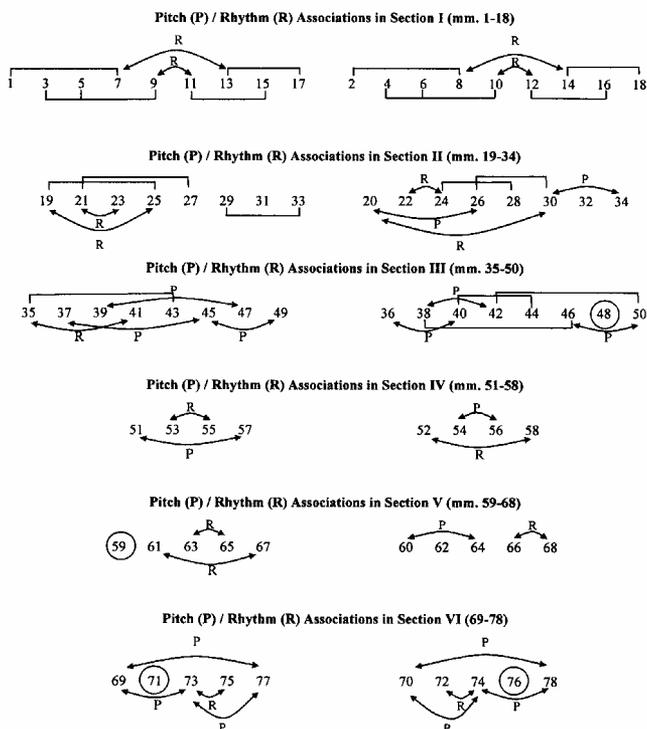
By his own accord, Rothko's huge paintings, vibrating with color, had a major influence upon Feldman; he often identified the state of immobility in Rothko's paintings as something he himself sought for in his own music. Along with his large canvases, Rothko demanded that viewers stand in close proximity to them, thereby preventing one from being able to survey the paintings, an assessment that hinders a direct experience of them. Feldman sought a similar effect when composing his music, in part by not allowing the structural parts of a composition to stand in simple symmetrical relation to one another or the whole. In this way he avoids predictability and overview. For instance, the relatively straight forward symmetrical pattern of harmonies A-B-C-B-A, shown in Example 4, could be, to use Feldman's term, crippled in some manner, an important means by which to avoid periodicity and, therefore, a

⁹ Rothko 1951, 104.

predictable rhythmic pulse. Three possible cripplings are shown; there are, of course, further possibilities. Since each letter can represent a single harmony, a pattern of harmonies in a progression, or at a higher level, even sections of a work, the range of possible cripplings is very large indeed. It is important to note, by the way, that when Feldman thought of crippled symmetries, he did so with regards to both the object (i.e., a musical pattern) and its placement. Feldman considered that objects placed at irregular time intervals was an especially powerful means of crippling, for it greatly diminishes the close-knit aspect of patterning and, therefore, provides an important element of unpredictability.

- (a) A-B-C-X-B-A
- (b) A-B-X-C-B-A
- (c) A-B-C-X-B-Y-A

Example 4 Three possible cripplings of the symmetrical harmonic progression A-B-C-B-A



Example 5 Pitch / Rhythm associations in Feldman, *Triadic Memories*, mm. 1–78

While exact repetitions of a harmony, measure, or group of measures frequently appear in Feldman's later works, it is very unusual for the As or Bs in the illustrations of Example 4 to repeat exactly. By fashioning a seemingly endless variety of crippled symmetries through a myriad of disturbances, distortions, and skewings of symmetrical forms, Feldman provides a unique, individual shape to each of the symmetrical forms employed. Further, the breaking of a symmetrical formulaic shape adds an

element of the unknown, and thus of freshness and surprise to the form. Most importantly, this balancing of order with disorder opens up the closed system of the symmetry to new transformations of the material.

As an illustration of how Feldman's use of crippled symmetries can serve to generate a work's formal design, let us return to *Triadic Memories*. We recall that a feature of the opening eighteen measures was the similarity in the pitch/rhythm correspondence between the odd-numbered measures and even-numbered measures. Example 5 reproduces the two analytical graphs of mm. 1–18 we saw earlier, and now adds the analytical charts for the other five sections from Part One. Like section one, only three pitches are used for the odd-numbered measures and the even-numbered measures for the remainder of Part One—G, G-sharp, D and A, B-flat, C-sharp, respectively. Further, the dynamic level remains constantly set at triple *piano*; the $\frac{1}{2}$ pedal marking adds a “suspended” quality to this mix of trichords. In typical Feldman fashion, despite the apparent similarity throughout part one, no two sections are designed the same. However, even though the patterns of the first and sixth sections are not the same, nor are they even of the same length, these are the only two sections in which there is an exact correspondence of pitch and rhythm between the odd-numbered and even-numbered measures. In short, this similar association between sections one and six engenders a framing role to these outer sections, infusing a sense of symmetry in an otherwise disordered series of sections. Note, however, that even this symmetry is slightly skewed: unlike the first section, in which the pitch/rhythm correspondence

between the odd-numbered and even-numbered measures is the same, the pitch/rhythm association of the odd-numbered measures in section six is an exact retrograde of the even-numbered measures.

Feldman has acknowledged that these crippled symmetries an important feature of his later works. However, Wes York argues that these symmetries are themselves cast within multiple recursive levels of crippled symmetries to generate a composition's overall design.¹⁰ Simply stated, it is the unique balance of the overall shape, ordering and expansion of these crippled symmetries within each work that Feldman refers to as a composition's scale. We can take confirmation of Feldman's conception of an all-encompassing musical balance from his description of a similar process he observed in Rothko's large paintings, articulated in his "Crippled Symmetry" essay:

It seems that scale (the subliminal mathematics of a work) is not given to us in Western culture, but must be arrived at individually in our own work and in our own way. Like that small Turkish 'tile' rug, it is Rothko's scale that removes any argument over the proportions of one area to another, or over its degree of symmetry or asymmetry. The sum of the parts does not equal the whole; rather, scale is discovered and contained as an image. It is not form that floats the painting, but Rothko's finding of that particular scale which suspends all proportions in equilibrium.¹¹

Feldman's quest for a distinctive equilibrium of crippled symmetries for his later compositions

¹⁰ York 1996.

¹¹ Feldman 2000, 148–149.

suggests that his music is constructed with a large-scale design in mind. This idea proposes a shift from the perspective that commentators often apply to Feldman's music—namely, that it is an aimless, or more kindly, “elusive” mosaic of beautiful sounds. In short, it is a call for a change in the analytical methodologies needed to comprehend this music—what little there are at present. Happily, there are scholars beginning to recognize and address these matters. For instance, in a recent article, Dora Hanninen discusses the “problem” of coming to terms with Feldman's later music. In her article entitled “Feldman, Analysis, Experience” she states that “Feldman's music asks analysts to become intensively introspective, to inquire into qualitative aspects of music experience, and to develop appropriate conceptualizations and methodology.” Later, she notes that “... in much of Feldman's late music, organization emerges at a level theorists are not used to working with: the level of populations, not individuals.”¹²

During his 1984 Darmstadt lecture, Feldman quipped that the reason why he was now writing long pieces was that he finally had the time and money to do so. In Jonathan Bernard's article entitled “Feldman's Painters,” he suggests that a more profitable response to the question about Feldman's proclivity towards the extreme length in these pieces can be found in a 1980 interview in which Feldman remarked that “the fact that I have more time to compose now means that I'm asking myself different questions.” Bernard comments that “these longer

¹² Hanninen 2004, 228.

pieces ... enabled Feldman to realize certain durational analogies that he felt could exist between painting and music."¹³ I not only agree with Bernard's assessment but would extend his thought further. It seems that in the end, length for Feldman was, in part, the result of simply enjoying to compose long pieces and a means of challenging musicians and audiences. But mostly he believed that writing long pieces was a matter of searching for the right scale, the overall shape and duration of a piece that, like a large Rothko canvas, made sense of everything else. To quote Feldman one final time:

Form is easy—just the division of things into parts. But scale is another matter. You have to have control of the piece - it requires a heightened kind of concentration. Before, my pieces were like objects; now, they're like evolving things.¹⁴

In short, Feldman's later compositions *had* to be long because the same elements squeezed in or chopped off in works of lesser dimension would have been, to his ears, too simplistic or uninteresting, whereas at the scale he determined for them, they took on an inevitability and even a grandeur that defined their being.

For a painter like Rothko, the large size of the canvases that hindered an overview was a way of letting the viewer *be in the painting*—thus stopping time, a total immersion in the present. In Feldman's later work, his challenge is similar in intent but much more profound in outcome: by compelling the

¹³ Bernard 2002, 205.

¹⁴ Griffiths 1994, 305.

listener to lose their sense of time by always being “present” within a work forces us to re-evaluate fundamental precepts of time, memory, form and ultimately, what it means to experience music.

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Abstract

During the 1960s, Morton Feldman abandoned the elements of indeterminacy that had characterized his scores since the early 1950s and instead began a remarkable compositional journey in which he relied on his intuition and acute sense of orchestration to create works of ferocious difficulty in which every note and rhythm was notated to formidable precision. Concomitantly, Feldman's compositions also became increasingly greater in duration—although given Feldman's life-long predilection for painting, it is perhaps more appropriate to speak of his works in terms of space rather than duration.

While it has been frequently acknowledged that Feldman's passion towards Turkish rugs played a vital role in how these expansive compositions from his last decade are structured, in this paper I argue that their design may be more profitably explained by studying the composer's deeper appreciation of the large canvases of such painters as Philip Guston and Mark Rothko. For instance, uncovering Feldman's relationship with these New York-based painters proves valuable to not only comprehend his frequent use of the term "scale" to describe the form and

length of these expanded musical compositions (an obviously problematic expression, given its association to portray the visual instead of the temporal art of music), but also the rationale behind his conscious attempt to disorient memory in his late works, an attribute that directs to what is Feldman's crowning compositional achievement—namely, a innovative means to experience musical time.

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