Conference Program

Friday, February 26, 2015 (School of Music, Room 146)

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**Session 1: Topic, Agency, and Narrative**

*Gabriel Venegas (Chair)*

Topical Transformation in Liszt's Transcriptions

**Melissa Murphy** (Northwestern University)

A Topical Exploration of The Jazz Messengers' 1963 Recording, “One by One”

**Daniel Thompson** (Florida State University)
Gestural Agency in George Crumb’s *Sun and Shadow*: Who gets to Sing? Who gets to Speak? Who gets to Move?

**Mike Ford** (Rutgers University)

“The Fictional Analyst and Penderecki’s Third Symphony”

**Richard Lee** (Florida State University)

### Session 2: Twentieth-Century Music

*Don Traut (Chair)*

Secundal and Quartal/Quintal Structures in Khachaturian’s Toccata

**Olga Savic** (Northern Arizona University)

Bleeps and Bloops 101: Electroacoustic Music in the Undergraduate Theory Classroom

**Andrew Selle** (Florida State University)

### Session 3: West-Side Story, Flutes, and the Russian Romance

*Jay Rosenblatt (Chair)*

The Patterns of Grand Opera on Broadway: A Semiotic Approach

**Thomas Posen** (University of New Mexico)

Abhorrence or Adoration?: The Evolving Transverse Flute and its Involvement in W.A. Mozart’s Life and Compositions

**Kayleigh Miranda** (University of Texas at Arlington)

The Evolution of Tchaikovsky’s Art Songs: From Sacred Simplicity to *Weltschmerz*

**Michael Dodge** (Peabody Conservatory)

### Session 4: Motive and Meter

*John Muniz (Chair)*

Reti’s Motive: Twentieth-Century Analysis or Nineteenth-Century Ideal?

**Eric Elder** (Brandeis University)

In the Pianist’s Hands: Metrical Dissonance and Performance in Schumann’s *Fantasiestücke*, Op. 12

**Molly Reid** (University of Cincinnati)

### Session 5: Form

*Boyd Pomeroy (Chair)*

Motive, Form, Process, and Second Themes: An Analysis of Reger’s D Minor Piano Quartet

**Sarah McConnell** (University of North Texas)

Rethinking Reversed Recapitulations and Type 2 Sonatas: An Analytical Continuum

**Chelsea Wright** (University of Oregon)
A fascinating gap exists between gestures understood as embodied by listeners and the inference of seemingly disembodied musical meanings, such as emotional states, that are represented by musical gestures. By presuming virtual agents who are in some sense enacting these gestures, we can anchor expressive meanings as virtual emotions expressed by virtual agents within a virtual world.

But how are these inferences justified? What kinds of signification are presupposed by the claim that virtual agents express (or enact, or will, etc.) virtual meanings that have reality for listeners and evoke comparable meanings for them? I propose a theory of virtual agency that addresses these issues from the ground up.

Prior to being understood as a (virtual human) gesture, a sonic emission must be perceived as an immediate/temporal gestalt, interpretable as having an individual source of production. Next, its interpretation as an action presupposes a virtual actant as the “source for the force.” Various modalities of the energetic sonic gestalt may then lead to an interpretation of that individual source as (virtually) human. Energetic analogues, such as the impression of goal-directedness, may lead to its embodiment as the willed action of a virtual human agent. Directional frequency contours may suggest striving (upward) or lament (downward); dynamic intensities may imply degrees of force, etc. As negotiated with tonality, goal-directedness and plays with expectation draw on the resources of a musical style. Developing variation supports the continuous identification of thematized gestures as virtual agents, their interaction leading to an ongoing musical discourse. The larger temporal dimensions of stylistic forms and genres offer the potential for dramatic agency, in which virtual actors take on discursive roles. Furthermore, cues such as shifts in level of discourse can suggest a virtual narrative agent. Ultimately, a kind of transcendence of embodiment takes place at the level of subjectivity, in which previously individual agents are understood as parts of a singular consciousness, and the virtual is complemented by actual listeners’ experiences.

I will illustrate these stages with musical examples drawn from the tonal repertoire.

Robert S. Hatten, Marlene and Morton Meyerson Professor of Music, and Professor of Music Theory at The University of Texas at Austin, is the author of Musical Meaning in Beethoven: Markedness, Correlation, and Interpretation (1994; co-recipient of the Wallace Berry Publication Award from the Society for Music Theory in 1997) and Interpreting Musical Gestures, Topics, and Tropes: Mozart, Beethoven, Schubert (2004), both published by Indiana University Press. He has served as Vice-President of the (North American) Society for Music Theory and President of the Semiotic Society of America. Dr. Hatten edits the book series “Musical Meaning and Interpretation” at Indiana University Press; 28 books have appeared since its inception in 2004. Recent articles have appeared in Music Theory Spectrum, Music Theory Online, Music Analysis, Nineteenth-Century Music Review, the Oxford Handbook of Topic Theory, Mozart’s Chamber Music with Keyboard, and Music and Narrative since 1900. His theory of virtual agency in music is drawn from a book in progress.
Abstracts

Session 1: Topic, Agency, and Narrative

Topical Transformation in Liszt’s Transcriptions
Melissa Murphy (Northwestern University)

The art of arrangement played a central role in nineteenth-century musical life. Exercises in thematic variation and paraphrase developed the performer’s instrumental skill as well as mastery of form (Gellrich and Sundin, 1993). A question that remains uninvestigated, however, is how transcription lent itself to the development of the composer’s expressive vocabulary.

More than a student exercise, transcriptions comprise nearly half of Liszt’s body of approximately 800 published works. Opera paraphrases dominate his transcriptions, thus presenting Liszt with the creative challenge of incorporating extramusical reference into instrumental music. I suggest that for Liszt—a self-taught composer—transcription functioned to develop his expressive language via to pics.

This paper investigates the question of nineteenth-century topics as compositional strategy and in connection to communicative considerations. The growing popularity of the concert hall lent itself to music that relied increasingly on secondary parameters to reach audience members from a range of musical experience (Meyer, 1989). The arrangement of not only themes—but topics themselves—is here suggested as a process of making meaning comprehensible to a diverse nineteenth-century audience.

My analysis of Liszt’s paraphrases of popular operas during his virtuoso period (1811–1847) demonstrates his reliance upon a core repertory that emerged at this time. His representation of the diabolic in particular extends beyond his transcriptions to his seminal piano and symphonic works. I will discuss the development of these topics and the gradual process of change in musical style, then conclude with a discussion of the Dante Sonata and explore the transcriptions’ significance for his works in later years.

A Topical Exploration of The Jazz Messengers’ 1963 Recording, “One by One”
Daniel Thompson (Florida State University)

Jazz improvisation presents several methodological dilemmas for the music analyst. Its style and compositional circumstances (improvised vs. pre-composed) lead one to question the validity of deconstructing jazz improvisations with common-practice analytical tools. My proposed talk addresses three questions regarding the analysis of jazz improvisation. (1) To what extent do the aesthetic goals of a jazz improvisation align with those of western tonal composition? Could a Schenkerian reading, as Larson suggests, prove insightful? (2) Might the higher-level structural characteristics of a jazz improvisation be viewed as mere by-products of common-practice harmonic appropriation (or more bluntly, has jazz analysis largely focused on the structures inherited from styles that jazz ultimately opposes)? (3) How might a “soft” semiotic approach (Agawu) to the discursive strategies of jazz improvisation shed light on the music’s expressive statements?

Leonard Ratner’s seminal work, Classic Music, identifies topics in eighteenth-century musical discourse. These topics provide a primer for several authors’ semiotic and narratological approaches to common-practice music (Hatten, Agawu, Klein, Almén, Monelle, and others). Ratner’s influence has even touched jazz theory and analysis, as evident in Garrett Michaelson’s chapter from Analyzing the Music of Living Composers (and Others). Michaelson identifies groove topics in the Miles Davis Quintet’s 1964 recording, “My Funny Valentine,” and the roles these topics play in shaping the expressive trajectory of the performance. Like Michaelson, my analysis of The Jazz Messengers’ 1963 recording of “One by One” draws from Ratner’s topical approach. The focus, however, is not on rhythm-section patterns but on the improvised melodic structures.
“One by One” (composed by then Jazz Messengers saxophonist Wayne Shorter) does not resemble blues structure – it has a 32-bar AABA form and lacks any harmonic emphasis on the sub-dominant. However, much of its surface-level melodic content – both in the head and improvised solos – makes direct references to the blues. My analysis suggests an expressive opposition between the “bop” and “blues” topics as giving rise to a multilayered romantic narrative. In an effort to address my expository questions, I compare the results of this topical analysis against Schenkerian sketches and consider future directions for topic theory and jazz improvisation.

Gestural Agency in George Crumb’s *Sun and Shadow*:
Who gets to Sing? Who gets to Speak? Who gets to Move?

Mike Ford (Rutgers University)

Analysts of song have long grappled with the challenge of navigating through a genre that, in the words of Agawu, “includes two nominal semiotic systems, music and language.” However, until the recent work by scholars such as Hatten, Gritten, and King, analysts have neglected a third semiotic system: that of physical gesture, or body language. Physical gestures are not merely required in order to produce the music, but also contribute to the expressive meaning a work conveys. Songs are therefore significant not only through linguistic and musical signs, but also through the meanings created by the physical gestures that musicians execute during a performance.

In this paper, I propose a new theory of analysis that incorporates linguistic, musical, and physical gestures. I demonstrate how the interplay among these three gestural modes— which correspond to the three semiotic systems— shapes the expression and narrative in Crumb’s *Sun and Shadow* (2009). I contend that, following Hatten, gestures grant agency to various actors and that Crumb creates agential hierarchies by selectively using the different types of gesture, restricting some agents to two, or even one gestural mode. I initially illustrate my theory through examples taken from “The Interrupted Concert” and then provide a cross-modal analysis of the gestures in “The Dance of the Moon in Santiago” and “The Fly.”

Although every gesture implies an agent of some sort, the strength of the gesture determines the strength of the agency it grants. The strength of a gesture depends on its individual complexity and markedness. To determine the relative strength of any particular gesture, I propose a method of organizing gestures into a hierarchy by plotting them in a three-dimensional space (each axis corresponding to a semiotic system). Plotting gestures in this space proves particularly useful in the comparison of troped gestures that comprise more than one gestural type.

My inclusion of a third semiotic system and the increased possibilities for expression, agency, and narrative that it enables, sheds light not only on Crumb’s songs, but proposes a model for the study of gestures and gestural implications in art songs of the past two centuries.

“The Fictional Analyst and Penderecki’s Third Symphony”

Richard Lee (Florida State University)

My proposed talk employs concepts from narrative (Almén, Klein), agency (Hatten, Monahan, Larson), and topic theory (Hatten, Tarasti, Agawu) to offer an interpretation of Penderecki’s Third Symphony (1988-1995). The resulting analysis demonstrates a tragic narrative archetype – imbued with irony – that emerges as the product of agential and topical play. This reading is underscored with concepts from Lacan and literary theory to uncover a logic of expressive states within the musical discourse.

I construct a tragic archetype by mapping transgression against an established order throughout the work. To show this, oppositions are drawn between active and passive agential design which yield a compositional process that shapes the symphony. The passacaglia reveals a process of theme and
variations which breaks at a dramatic **peripeteia** (turn of events). The aftermath yields a Lacanian death scenario; two deaths are constructed – one real and one symbolic. Both deaths are embodied by a bass ostinato, which functions as a Lacanian **master signifier**. The master signifier leads the analyst to look retrospectively at the symphony following the master signifier toward a tragic and ironic end. Also, strategic use of B minor and B major harmonies creates an ironic opposition to the bass ostinato on F2 that dominates multiple movements of the work. The polarity of this relationship plays a decisive role throughout the work. The analyst-as-agent is not protected from the irony, as it is their conviction in compositional process and form that forces the reading of the symphony into an archetype.

My proposed talk addresses the issues of how theories of musical meaning, as seen in common-practice analysis, are applicable to post-tonal repertoire. Since tonal allusions are made so forcefully throughout the work, agency and topic theory can do nothing but construct a narrative. That narrative begins in the middle of a tragic discourse, and a master signifier pulls the analyst into ironic scenarios. My talk aims to approach the work in a myriad of ways to yield a multidimensional analysis which reflects subjective and objective concerns.

**Session 2: Twentieth-Century Music**

**Secundal and Quartal/Quintal Structures in Khachaturian's Toccata**

*Olga Savic* (Northern Arizona University)

Khachaturian's music has not attracted significant attention from music theorists in North America. However, his pieces are interesting from the standpoint of post-tonal theory. In particular, they often emphasize different combinations of seconds, fourths, and fifths. These combinations exist in both the melodic and harmonic dimensions of his pieces, in both earlier and later works, and in works that are either tonally centered or atonal. This paper will focus on the secundal and quartal/quintal structures in the Toccata (1932). These structures appear extensively and form the basis for much of the piece.

In the Toccata, as in other pieces by Khachaturian, the perfect fourth/perfect fifth—or ic5—serves as a tonal frame: a center of departure and gravitation for the music. Meanwhile, seconds take the form of either ic1 or ic2. Even though structures derived from these three interval classes take many forms, they often involve specific pairings of ic5 with either ic1 or ic2, resulting in four trichordal sets: [015], [016], [025] and [027]. This paper will explore these characteristics and reveal an important aspect of Khachaturian's compositional language.

**Bleeps and Bloops 101: Electroacoustic Music in the Undergraduate Theory Classroom**

*Andrew Selle* (Florida State University)

Though electroacoustic music has been and remains a prolific branch of music composition, it is a genre that has been critically underrepresented and undervalued in the core theory curriculum. While there are many possible causes, there are two salient reasons one could point to for this discrepancy. The first of these is that there is simply too much material to cover in the undergraduate theory sequence as it is, and the electroacoustic genre would be difficult to integrate into the existing curriculum. The second reason might simply be that there is a less codified approach to discussing and analyzing electronic music in the first place (especially as compared to tonal acoustic music), and that the process of analyzing electroacoustic music would require a completely separate set of skills from what is taught in undergraduate theory and aural skills.

In this paper, I argue that not only can students (and everyone) analyze electronic music effectively with existing skills that are learned in the core curriculum, but also that the process of analyzing electroacoustic music in parallel with acoustic music has real, tangible pedagogical benefits. Aside from the clear benefit of increasing a student's familiarity with music literature, the analysis of electronic music refines, reinforces, and broadens the aural and written skills (especially in regard to form and formal
listening) that students develop through the undergraduate theory curriculum. To illustrate this point, I provide a methodological framework for analysis via works by composers such as Jonty Harrison, György Ligeti, and Elainie Lillios.

Session 3: West-Side Story, Flutes, and the Russian Romance

The Patterns of Grand Opera on Broadway: A Semiotic Approach

**Thomas Posen** (University of New Mexico)

In his “West Side Story Log,” invented after the events it describes, Bernstein describes the genesis of *West Side Story* (1957) in terms of “making a musical that tells a tragic story in musical comedy terms, using only musical comedy techniques, never falling into the ‘operatic trap’” (Bernstein, 1957). After its premier, and perhaps in part due to the logbook, critics discussed *West Side Story* in relation to Bernstein’s own manufactured criteria: how well did it tread the line between accessible Broadway and sophisticated opera, while still avoiding the dreaded “operatic trap?”

Many critics recognize similarities between Bernstein’s ensemble finale “Tonight” and the ensemble finales found in opera. However, writers carefully hedge their comparisons. For example, after noting that the “Tonight” ensemble seems to recall Verdi, Nigel Simeone (2009, 17) suggests that, nevertheless, “there is no sense whatsoever of Bernstein falling into an ‘opera trap.’” But, these statements are contradictory. How does “Tonight” invoke the patterns of grand opera, while simultaneously avoiding it?

In this paper, I argue that the “Tonight” ensemble closely parallels—and even goes beyond—some ensemble finales found in opera, and at the same time invokes popular idioms common to Broadway vernacular. To illustrate, I offer a brief background on ensemble finales in opera and Broadway and provide a comparative analysis of the dramatic structure of “Tonight” with Verdi’s quartet, “Bella Figlia Dell’amore” from *Rigoletto* (1851), in the context of theatrical semiosis. Afterwards, I analyze Bernstein’s “Tonight” ensemble in a semiotic framework that involves the second Peircean trichotomy of the sign—*icon, index, and symbol*—and two terms from William Bright (1963)—*endosemantic and exosemantic* references—that help describe the reference in more detail. Using this semiotic framework, I detail how moments in the “Tonight” ensemble reference earlier moments in the musical, musical topics both from the “serious” or learned sophistication of ensemble finales found in opera, and at the same time, popular American musical topics. What results from this analysis is a more thorough understanding of how Bernstein’s “Tonight” ensemble tightly integrates theatrical and musical paradigms of Broadway and opera, and consequently, cuts across both.

Abhorrence or Adoration?: The Evolving Transverse Flute and its Involvement in W.A. Mozart’s Life and Compositions

**Kayleigh Miranda** (University of Texas at Arlington)

Biographers and instrumentalists alike have speculated on Wolfgang Amadeus Mozart’s opinion of the various instruments for centuries. Although some instruments appear to have been favored by the composer, others have not been so fortunate. It has been said that Mozart’s hatred for the trumpet originated as a childhood phobia of the instrument, and that his opinion of the flute was a self-described “abhorrence.” Through the careful analysis of scores, letters, and memoirs of those acquainted with Mozart, these myths can be effectively disproved. Despite the many circumstances which led researchers to believe and perpetuate these myths, the truth is that Mozart treated each instrument with the respect it deserved. Mozart’s treatment of the trumpet in his compositions was unremarkable and quite standard for the time. Furthermore, Mozart seemed to have a fascination with the flute and incorporated it in his music in a way that was both beautiful and unexpected.

This paper will reveal the actual motivation behind his works for trumpet and flute, and his methods for utilizing the instruments’ unique abilities, while also compensating for their weaknesses. The study will show that Mozart’s extraordinary flute writing was not in spite of his hatred but rather a testament to his
natural interest in the flute’s timbre and abilities. His approach to the trumpet was not unlike that of his contemporaries and was in response to the desire for a more modern sound. The study will first define the myths and their origins, examining the inaccuracies and assumptions therein, and in doing so negate the myths entirely. It will review the technical features of the two instruments and how their reputation was affected during Mozart’s time. Furthermore, it will assess the many factors that led Mozart to write for the flute and trumpet, including the reasoning behind how they were used. Finally, it will reveal Mozart’s true feelings for the flute and trumpet through a musical analysis of his usage of the instruments.

The Evolution of Tchaikovsky’s Art Songs: From Sacred Simplicity to Weltschmerz

Michael Dodge (Peabody Conservatory)

To Tchaikovsky, vocal music held a special significance, as seen through his prolific composition in the genre (Russian Romance). However, even with his vast body of works composed in this genre, Tchaikovsky’s romances are often overlooked. The evolution of Tchaikovsky’s songs reflects the progression of his compositional style, and reveals possible correlations to his biographical life.

To prove this argument, I will examine three specific songs from the early, middle, and late periods of Tchaikovsky’s compositional life while analyzing both harmonic and interpretive aspects of each selection. Of course, my idea can be challenged by theorists such as Dahlhaus who claimed that Tchaikovsky was a composer of opera and ballet, and that other works such as his symphonies were “used to conceal an admission of failure.” I will allow myself to disagree with this claim while also discussing the importance of dance and ballet in all of his music.

Tchaikovsky’s early art songs such as “Amid the noisy din of the ball” are simple, both harmonically and formally, and act as a conduit for his love of dance music such as the waltz. However, when examining his final song, “Again, as before,” a more complex understanding and use of harmony is apparent, combined with a more obscure treatment of the text. The metaphoric imagery portrayed through the vocal line fully reinforces his choice of A-minor as a key of desperation and longing. With a journey from a simple waltz to an elaborate portrayal of a text that can only be described by Jean Paul’s famous Weltschmerz, it becomes obvious that Tchaikovsky’s romances are crucial to understanding his development as a composer.

Session 4: Motive and Meter

Rudi’s Motive: Twentieth-Century Analysis or Nineteenth-Century Ideal?

Eric Elder (Brandeis University)

Rudolph Rudi’s The Thematic Process in Music continues to be cited with uncommon regularity in scholarly works sixty-four years after its initial publication, particularly in light of the author’s relative obscurity. The vast majority of these references portray Rudi’s work as completely untenable, even ridiculous, making the composer, critic, pianist, and theorist something of a “foot-notorious” figure in music. But few scholars demonstrate a clear understanding of Rudi’s theories. This should come as no surprise, for despite the large number of musical examples adorning The Thematic Process, Rudi’s analytical methodology remains woefully unclear.

What does come through clearly is Rudi’s view of sonata form as the pinnacle of aesthetic achievement in the development of Western music. Indeed, the belief that the form’s inherent contrasts beautifully obscure a desired, deeper, pervasive thematic unity is at the very heart of his theory. This assertion will form the basis of a thorough yet succinct exploration of Rudi’s analytical method. Two outside sources will also be employed in deciphering the “thematic process”: First, Rudi’s lesser-referenced volume, Thematic Patterns in Sonatas of Beethoven, published ten years after his death, will be considered as a key to The Thematic Process. Second, an examination of the philosophical cosmology of Alfred North Whitehead,
commonly referred to as process philosophy, will reveal much about the inner workings of Reti’s approach and his intentions. The value of these findings will be tested through a comparison of a realized Retian analysis of the opening movement of Brahms’ Symphony No. 2 in D major, op. 73, the foundations of which are taken from *The Thematic Process*, and a more conventional reading of the piece.

In the Pianist’s Hands: Metrical Dissonance and Performance in Schumann’s Fantasiestücke, Op. 12

*Molly Reid* (University of Cincinnati)

In 1995, Joel Lester observed that performers and performances have historically been left out of the theoretical literature. The existing discussions about performance and analysis—following the tradition set forth by Wallace Berry’s *Musical Structure and Performance*—prescribed an action plan for the performer based on one analysis of the score. More recent studies have shown that studying performances can lead to remarkable insights and sometimes perturbing questions about the structure of a piece of music. However, little attention has been focused on the performance and analysis of metrical dissonance in the music of Robert Schumann.

Harald Krebs’ theory of metrical dissonance in the music of Schumann does briefly bring the voice of the performer to the discussion of meter. A chapter written in the imaginary voice of Clara Schumann is dedicated to issues of practicing and performing metrical dissonant music, in which Clara asserts, “The meter of anything that you play, and particularly of any conflicted passage that you play, is to a large extent *in your hands*. . . . [this] will to a large extent determine how the listener perceives the meter.” However, Krebs’ analyses of metrical dissonance are primarily derived from the notated score.

In this paper, I submit that metrical dissonance derived from the notated score is only one part of the piece’s metrical identity; the broad field of the piece’s performances provides the other essential part of its metrical identity. I use Krebs’ theory as a starting point for analyzing metrical dissonance in two pieces from Schumann’s *Fantasiestücke*. In Fabel (Example 1), metrically dissonant passages emerge as part of a dialogue with surrounding metrically stable passages. Des Abends (Example 2) adopts a metrically dissonant state as the prevailing aspect of its identity, and a struggle between dissonant layers and the metrical layer is intertwined with the piece’s harmonic and formal trajectory. Rather than using performances as analytical aids, I consider the performances as viable analyses themselves—and equally viable forms of the musical text. Emphasizing the performer as the generator of musical meaning significantly alters one’s perception of works employing metrical dissonance.

Session 5: Form

*Motive, Form, Process, and Second Themes: An Analysis of Reger’s D Minor Piano Quartet*

*Sarah McConnell* (University of North Texas)

One of the theoretical concepts that Janet Schmalfeldt addresses within her *In The Process of Becoming* (2011) is motivic cyclicism. Schmalfeldt concentrates upon the propensity of early nineteenth-century instrumental works to show cyclic and processual formal techniques, which draws new attention to secondary, as opposed to main, themes. In such pieces, the music itself seems to look within itself so that an interior moment, or movement, becomes the focal point of the entire work, the center of gravity toward which what comes before seems to pull and from which all that follows emanates.

Max Reger’s *Quartett d-moll für Violine, Bratsche, Violinencello und Klavier* was written in 1910, a century later than those works examined by Schmalfeldt. However, Reger’s quartet also seems to turn inward, towards a motive from its second theme, to provide unity to the entire work. The first tetrachord of the second theme, our 4-note motive, shows up in some manner in the third and fourth movements. This paper presents an analysis of this cyclic motive within the quartet and Reger’s musical forms of the movements. The motivic analysis may encourage “retrospective reinterpretation” of the formal analysis within the scale of the entire work.
The reversed recapitulation presents a challenge in the analysis of sonata form. When the first and second theme groups are reversed near the end of a sonata form, one must determine whether the return of the secondary theme in the tonic marks a formal division between development and recapitulation, and thus a true recapitulation, or whether these sonata forms are best viewed as having no recapitulation at all, but instead a continuous zone from development through the return of the primary theme, which may act as a coda. James Hepokoski and Warren Darcy take the latter approach and claim that the term “reversed recapitulation” perpetuates a “fallacy.” In their view, such pieces are “Type 2” sonatas—sonatas without recapitulations in which the ultimate return of the primary theme functions as a coda (the return of the primary theme may also be omitted entirely). Relying on their principle of rotation, they argue that the recapitulation can only begin with the onset of the primary theme; as such, the tonal return is in fact a part of the same rotation as the development.

This paper proposes criteria—considering the presence or absence of thematic liquidation preceding tonic return, tonic return, resolution of the local dominant, return of a tight-knit theme, and caesura—for evaluating the strength of a recapitulatory arrival and devises a continuum between Hepokoski and Darcy’s Type 2 and Type 3 models along which pieces may be placed according to those criteria. Analyses of Mozart’s Piano Sonata in D Major, K. 311 (I) and Schubert’s Quartett-Satz, D. 703 demonstrate how the proposed criteria clarify the structure of these works. Ultimately, I argue that while Hepokoski and Darcy rightly distinguish between Type 2 and Type 3 forms, their approach obscures the differences between Type 2 sonatas with contrasting second rotations, and the similarities between some Type 2 and Type 3 pieces. My own approach allows Hepokoski and Darcy’s Sonata Theory to be applied more broadly, and more precisely, in the description of the unique features of individual compositions.