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A SEMIOTIC EVALUATION OF MUSICAL MEANING IN THE WORKS OF IGOR STRAVINSKY

Decoding Syntax with Markedness and Prototypicality Theory

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1998

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A Semiotic Evaluation of Musical Meaning in the Works of Igor Stravinsky

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Nicholas Peter McKay

Doctor of Philosophy 1998

This research approaches the elusive subject of musical meaning in the works of Igor Stravinsky, by attempting to establish a viable semantic framework which is capable of decoding his compositional aesthetics: the 'how', not the 'what', of his musical discourse. The inquiry focuses more on the *methodology* behind a legitimate semiotic evaluation of Stravinsky's music, than on any specific analytical results which this groundwork may yield.

The thesis concentrates on two of three aesthetics, which are evaluated as *paradigmatic* pillars of Stravinsky's techniques: his *subversive* 'cubist', and *deviant* 'neoclassic' aesthetics. These are contextualized in the *syntagmatic* dimension of *Stravinsky's aesthetic progress*, with the additional, prospective consideration of his 'serial' aesthetic. *Excentrique* (the second of the Three Pieces for String Quartet) forms the 'cubist' case study for a syntax built upon *subversive* oppositions. These oppositions are decoded through the linguistic theory of *markedness* and are interpreted through *tropological* strategies of mediation—a methodology indebted to Hatten's evaluation of *Musical meaning in Beethoven*. *Oedipus Rex* and *The Rake's Progress* form the 'neoclassic' case studies of *deviant* syntax, which exhibits radially decentered interpretations of cultural norms. These are decoded through the related linguistic theory of *prototypicality*, and are interpreted through *dialogical* strategies of mediation—a methodology gleaned from Lakoff's theory of categorisation.

These musical appropriations of linguistic theory are established in a *syntactic* framework for evaluating musical implications and their realisations, based on Rosch's tripartite theory of cognitive categorisation. This framework, and the tools of markedness and prototypicality, challenge the classical concepts of categorisation. The *semantic* inferences of *abnegation* and (Bakhtin's notion of) *exotopy*, drawn from Stravinsky's application to this framework, further challenge the traditional concepts of resolution—the key to unlocking Stravinsky's musical meaning as a linear narrative masquerading behind an *Ur-code* opposition of *mechanical* and *human* qualities.

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I confirm that no part of the material offered in this thesis has previously been submitted for a degree in this or any other university. In all cases, where it is relevant, material from the work of others has been acknowledged. I confirm that this thesis conforms with the word limit set out in the Degree Regulations.

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Signed:

Date: 25th September 1998

CHAPTER 1

A THEORETICAL MODEL FOR STRAVINSKY'S IMPLICATIVE SYNTAX

> Unlike Haydn, Stravinsky could expect his audience to be more familiar with the musical language of the past than with that of the present....But these signposts would prove to be misleading guides for the unwary; and Stravinsky (this time like Haydn) may well have hoped that the more alert among his listeners might gain added enjoyment from the interplay of the anticipated and the actual.
>
> Cone, *The uses of convention*

Section 1 – Implicative Syntax: Contextualizing the Model

Identifying 'Negation' with Implication-Realisation Models

Stravinsky has long established his historical position as the master of musical subversion. His seminal work, *The Rite of Spring*, underlines this reputation in the adolescence of our century. Subversive acts are judged according to the prerequisite norms which they invert; the Latin origin, *subvertere*, literally means 'to turn upside down'. Stravinsky's career is characterised by countless examples of norms turned upside down—norms of genre, orchestration, harmony, rhythm, melody, counterpoint and metre, to mention but a few. In any element of musical discourse the Stravinskian repertoire yields innumerable examples which subvert its normative values. Like Haydn before him, Stravinsky's music plays, or even 'preys', on the familiar with the subversive; his is a syntax of 'misleading signposts', evoking 'an interplay of the anticipated with the actual'.[1]

The focus of this thesis is to evaluate the potential of musical syntax to encode subversion, before attempting to draw semantic inferences from these encryptions, through which the musical narrative may be interpreted. Inquiries of this kind traditionally formulate *implication-realisation models*: Meyer[2] and Narmour[3]

---

[1] Edward T. Cone, "The uses of convention: Stravinsky and his models," in *Stravinsky: a new appraisal of his work*, ed. Paul Henry Lang (New York: W.W. Norton & Company, Inc., 1963), 25.

[2] Leonard B. Meyer, *Explaining music* (Berkeley, Los Angeles: University of California Press, 1973)

present two obvious cases. These psychological theories measure the 'anticipated' against the 'actual'. They operate throughout the various parameters of musical syntax (melody, harmony, rhythm, etc.), identifying perceptual expectations, (which are experienced by the listener), and subsequent realisations, (which are awaited with anticipation). So-called 'realisation' may take the form either of 'fulfilment' or 'denial' within and between musical parameters. Meyer refers to realisation in terms of 'relative degrees of closure'. This is said to be 'congruent' when it occurs between parameters and 'noncongruent' when it occurs within individual parameters. His implication-realisation model is articulated in an evaluation of Beethoven's String Quartet in Bb major, op. 130:

> For a series of stimuli to form separable events which can act as elements within a hierarchy, there must be some degree of closure. Closure—the arrival at relative stability—is a result of the action and interaction among the several parameters of music. Because melody, rhythm, harmony, texture, timbre, and dynamics are relatively independent variables, some may act to create closure at a particular point in a work, while others are mobile and on-going. To the extent that the parameters act together in the articulation of closure or, alternatively, in creating instability and mobility, they may be said to move *congruently*. Conversely, when some parameters foster closure while others remain open, the parameters are said to be *noncongruent*. A deceptive cadence is a simple instance of non-congruence: rhythm and melody act to articulate closure, but harmony remains open and mobile.[4]

Meyer's psychological, hierarchical model shows that there is more to implication-realisation theory than an artificial binary code of fulfilment or denial. Linearly unfolding musical narratives, therefore, require analytical interpretation on two grounds. Firstly, parameters do not occur independently of one another but as interdependent components of a constituent whole, from which musical syntax is generated. Rhythm, for example, does not occur in absence of pitch, tessitura, dynamic, durational, metric or harmonic values. Secondly, one cannot talk of absolutes in the realms of fulfilment or denial but only of scaled, or relative, degrees of realisation. Any notion of 'optimal' fulfilment or denial within an individual parameter or between parameters would prove elusive to definition.

---

[3] Eugene Narmour, *The analysis and cognition of basic melodic structures: the implication-realization model* (Chicago: The University of Chicago Press, 1990).

[4] Meyer, *Explaining music*, 81.

'Optimal realisations', like perfect circles, are consigned to the abstract realm of theoretical, idealised concept; devoid of concrete existence, they function as theoretical cues against which the listener may gauge the degree of realisation presented in concrete musical examples. The ever present interaction of multiple parameters renders parametric implications necessarily opaque. Parameters rarely exhibit 'absolute' synchronisation, and single parameters cannot exhibit an indisputably 'optimal' realisation. These obstacles to binary readings of implication-realisation models raise two main issues which characterise the position their advocates occupy in music theory: i) the interdependent function of multiple parameters requires that perceptual musical judgements are based on 'scaled levels' of parametric interplay; ii) the rejection of absolutes in favour of scaled levels of realisation and congruence places the implication-realisation model in opposition to Schenkerian prolongational strategies. For Schenker, the *Ursatz* and *Urlinie* are not relative but absolute constructs, founded on principles of nature inherent in the very fabric of music itself.

Narmour aligns himself with Meyer's *psychological* approach over Schenker's *phenomenological* approach—a distinction articulated by Cook[5]—by capturing the two principles of 'parametric interdependence' and 'scaled congruence' at the outset of his implication-realisation model: 'what motivates music is not any preordained unfolding of nested tonal prolongations but rather scaled parametric noncongruence'.[6] At its extreme scaled limits, parametric noncongruence can be understood as syntactic subversion. According with Narmour's dictum, then, this thesis will argue that the motivating force of Stravinsky's music is found in such extreme forms of parametric noncongruence. To show how 'subversion' motivates Stravinsky's music, one must attempt to uncover the mechanisms by which it is syntactically encoded at the salient level of his works. This will justify any semantic implications it may harbour.

---

[5] Nicholas Cook, *A guide to musical analysis* (London: J. M. Dent & Sons Ltd, 1992), 67-70. The phenomenological approach results in identification of the same phenomenon of background structure for virtually all tonal music, experienced as 'directed motion towards an ending point', whereas the psychological approach considers music as 'the inhibition of a tendency to respond'.

[6] Narmour, *The analysis and cognition of basic melodic structures*, xi.

This process will require the construction of various models relating to the changing landscape of Stravinsky's aesthetic progress. Defining Stravinsky's 'aesthetics' is a complex, subjective business. I begin from the self-limiting premise of considering what I believe to be Stravinsky's two most salient aesthetics, the cubist and the neoclassic. Immediately one must distinguish the notion of 'aesthetic' from 'stylistic period'.[7] Stravinsky is generally accepted to have three so-called 'stylistic periods': the *Russian* (post-apprentice works, ca. 1907, to the culminating Russian ballet, *The Rite of Spring*, 1913), *neoclassic* (*Pulcinella/Mavra*, 1919–1922, to *The Rake's Progress*, 1951) and *serial* (*Cantata*, 1951 onwards). More refined accounts earmark the considerable corpus of works falling between the *Russian* and *neoclassic* periods as the *cubist* period.[8] When I refer to the cubist and neoclassic aesthetic, I refer to the salient syntactic devices which predominantly characterise the works of their corresponding stylistic periods: these will become known as 'subversion' and 'deviation', respectively. The difference between aesthetic and stylistic period, then, is simply that whilst prototypical of certain periods, the syntactic devices defining aesthetics transcend chronologically defined, stylistic boundaries.

The purpose of this thesis, then, is to construct a theoretical framework in which to evaluate the regions of syntactic play permeating Stravinsky's style. The framework is grounded in numerous implication-realisation models, which identify mechanisms through which meaningful aesthetic interpretation can be brought to bear on the musical syntax. It is not my intention, however, to build an independent, detailed implication-realisation model; rather, this study aims to decode some of the salient mechanisms by which Stravinsky motivates his music, ultimately generating some form of interpretable meaning. To this end it represents a contribution to semiotic theory and its application to musical semantics, taking Stravinsky as its case study.

---

[7] Throughout the thesis I will adopt the convention of referring to stylistic periods in italics to distinguish them from aesthetics, which are referred to in roman type.

[8] Glenn Watkins, *Pyramids at the Louvre: music, culture, and collage from Stravinsky to the postmodernists* (Harvard: The Belknap Press of Harvard University Press, 1994), 229-274.

Constructing an entirely new implicative model is clearly beyond the scope of this task.[9] It also runs the risk of all style-based theories: that of elevating *a posteriori* judgements, based on tangible examples gleaned from Stravinsky's repertoire, to the status of *a priori* theoretical constants with implicative potential. This neglects the basic need for analysis to be dual directional; in music-theoretical terms, it relies too heavily on 'top-down', concept-driven, learned, cultural input at the expense of data-driven, intuitive, 'bottom-up' input. Dual directionality is fundamental for any perception of negation, whether it takes the form of subversion or of deviation. These are the mechanisms by which Stravinsky creates his world of musical novelty. There cannot logically be any concept of negation divorced from the implication which it negates; it is impossible to understand the 'unusual' experience which Stravinsky's music evokes without simultaneously attending to the 'usual' experience it negates. Fodor clearly states this fundamental principle of perception: 'The perception of novelty depends on bottom-to-top perceptual mechanisms.'[10]

Contrary to most implication-realisation models, which begin by formulating bottom-up parametric simplexes, it seems appropriate to begin unfolding my theoretical framework from the top-down. Stravinsky's musical syntax has long been associated with the notion of 'cultural negations'; indeed, many critics have regarded a subversive approach to musical culture as Stravinsky's compositional raison d'être. Andrey Rimsky-Korsakov's embittered attack beautifully captures, in infamous metaphor, the cultural negation aspect of Stravinsky's novelty:

> what is wrong is not that Stravinsky writes the way he pleases without reckoning on anything but his own creative will, but rather the contrary: what is wrong is that he is excessively conscious not of what comes from within but of what comes from without. Under the influence not of real creative experience but of a simple act of will he has rejected all laws and declined all responsibility of self-limitation in the sphere of musical harmony. Without noticing, he has thrown the baby out with the bath water. In such a way no truly fruitful revolution in art has ever taken place. Neither Beethoven nor Wagner strove to abolish all prior foundations of musical art. The new they created did not abolish the old, but only widened

---

[9] Narmour's vast undertaking—a task spanning some three decades and numerous publications—is a testimony to the extensive nature of such models.

[10] Jerry Fodor, *Modularity of mind* (Cambridge, Mass.: MIT Press, 1983), 68.

> artistic perspectives and possibilities. Therefore their work signified a genuine *growth* of art.[11]

I use the phrase 'cultural negation' in a multifaceted sense. The above culture specific condemnation of Stravinsky refers to what I will call *second level* cultural negation—this corresponds to the cubist aesthetic of subversion, as will be made clear in this thesis. In response to *The Rite of Spring*, Andrey Rimsky-Korsakov accuses Stravinsky of transgressing the boundaries which were acceptable for membership of the specific 'pre-Rite' culture within which it is criticised. This transgression was the result of the lack of 'self-limitation in the sphere of musical harmony'; such limitation was rooted in the Russian aesthetic of *kuchkism*,[12] against which Stravinsky was instigating his 'revolution'. The 'growth' Stravinsky's music engendered was perceived as disingenuous and in some way a negation of the very culture from which it emerged. He became something of a magnet for cultural criticism of this nature. Irrespective of stylistic period, culturally subversive tendencies epitomised his aesthetic. Taking an interpretative standpoint which draws on semiotic ideas surrounding the cultures within which Stravinsky composed his music, this thesis will explore the musical syntax which inspired these criticisms. One must first distinguish what is meant by 'subversion' in relation to other forms of negation; a simple model distinguishing three levels of interrelated negation will lay these foundations.

Cultural Negation: a Tripartite Model

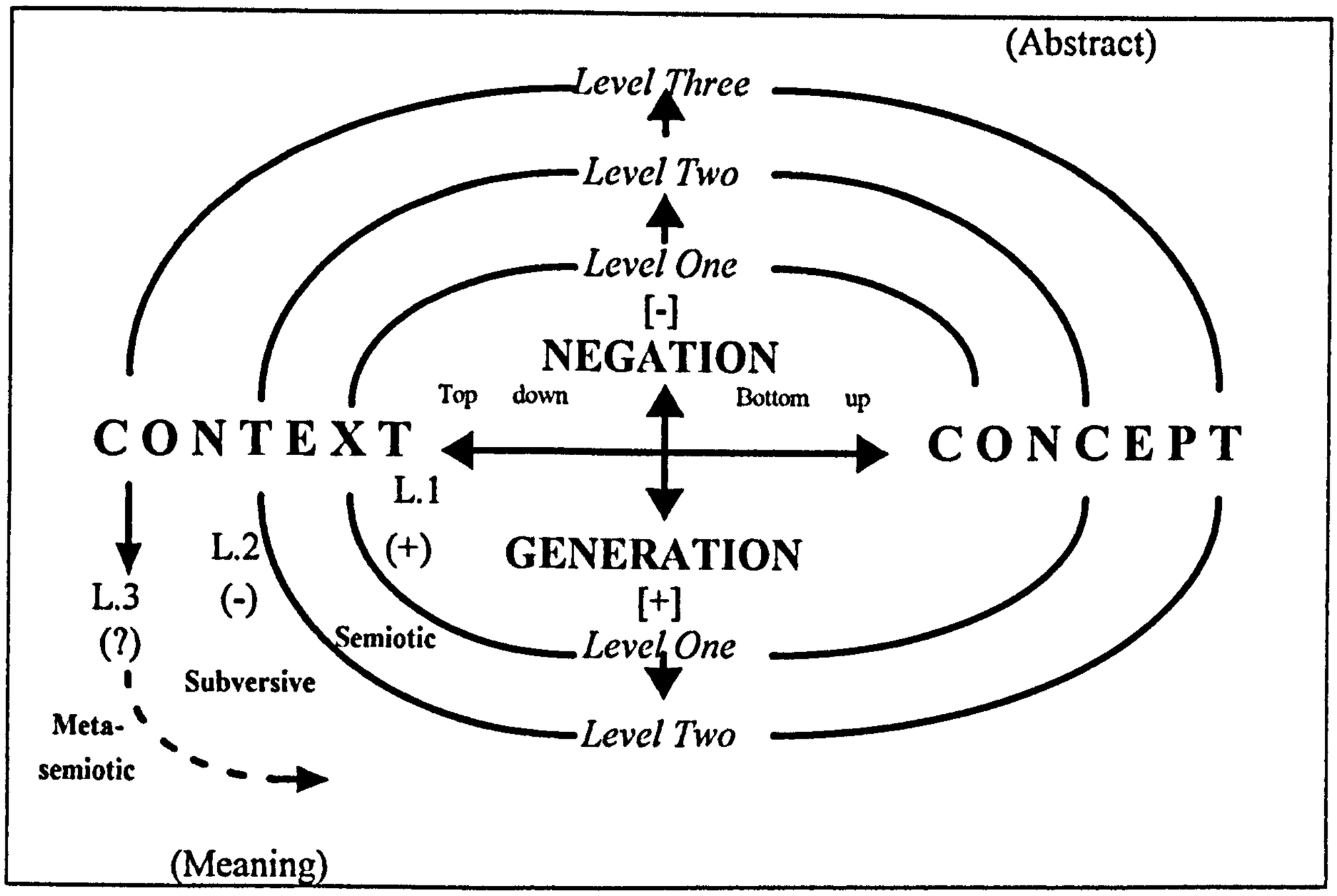
Cultural negation, in both its extreme form of *subversion* and in the more moderate *deviation*, entails a correlation between the negating 'act' and its 'object'. (See Fodor's observation on the dual directional perception of novelty, as outlined above.) It is helpful to describe the original object and its negated form as the concept and context respectively. These are represented in *Example 1-1* within the theoretical model of a centrifugal spiral.[13]

---

[11] Andrey Nikolayevich Rimsky-Korsakov, "Russkiye opernïye i baletnïye spektakli v Parizhe," *Russkaya molva*, 193 (1913), cited Richard Taruskin, *Stravinsky and the Russian traditions: a biography of the works through "Mavra"* (Oxford: Oxford University Press, 1996), 1014-15.

[12] This term, invented by the critic Stassov in 1867, denotes the aesthetic of the *kúchka* (Lit., "little heap") group, otherwise known as "The Five", or *moguchaya kúchka* ('the mighty handful'), cited Taruskin, *Stravinsky and the Russian traditions*, 1015 & 1678.

[13] The centrifugal spiral configuration finds its precedent in Piaget. See Jean Piaget, *Structuralism* (New York: Harper and Row, 1971).



Example 1-1: Context-Concept Spiral of Cultural Negation

The centrifugal spiral motion emerges when a concept-driven, or contextual, unit interferes with, and consequently negates, a data-driven implication. On the above centrifugal spiral model this provides the initial, negative force which throws musical perception from its state of conceptual inertia towards its contextual momentum. From here the centrifuge must undergo a positive force to maintain the spiral; this positive force is best conceived as one of *generation.* In this model *generation* (the contextual reinterpretation of a negation) functions as the countervailing process of *negation.* Together their opposition occupies the north-south axis with the concept-context opposition occupying the east-west axis. (Note that in the illustration, negative force is confined to the 'northern' range, representing a shift from 'east' (concept) to 'west' (context), whilst positive force is confined to the 'southern' range, representing a shift from 'west' to 'east'.) The spiral emanates centrifugally, beginning with an initial concept which is *negated* [-] by a context which, in turn, *generates* [+] a reinterpretation of the concept on the next *level*, or ring, of the spiral. The first level of cultural negation completes the initial helix of the spiral, moving from *level one* to *level two.* This process of generation can be understood as the culturally aware listener invoking his style-based knowledge (of that culture) to elevate a contextual expectation above a conceptual expectation; in other words, a gesture which first appeared negatory

becomes conventionalised as a new cultural or 'contextual' gesture. This in turn connotes its own implications on the next level of the spiral.

Level one cultural negation constitutes the very essence of top-down musical processing: bottom-up, subconscious implications are negated to become top-down conscious units, which are reinterpreted as implicative conceptual units on the subsequent level. In any dual directional theory of musical implication, what ultimately distinguishes the top-down from the bottom-up is that the former consists of imposing variable model 'structures' upon the latter's invariable model 'shapes'[14]. To interpret this another way, we could say that culturally acknowledged 'structures' negate the expectations of naturally occurring 'shapes'. The structure of a perfect cadence, for example, may well negate the implicative shape of a certain melodic contour, but the conceptual identity of the cadence unit on *level two* overrides the negation of the *level one* shape because of the predominant cultural currency which the cadence structure now carries. In other words, by a process of enculturation, what was previously a cadence structure negating a melodic shape transforms into a cadence shape with its own cultural implications. Although definitions vary as to what constitutes a shape or structure, the principle is generally upheld that *intuitive, natural, parametric simplexes* constitute shapes, whilst *learned, cultural, parametric complexes* comprise structures. *Example 1-2* illustrates this dichotomy and some of its differing interpretations.

Narmour's discussion of *gap-filling* shapes highlights the differences of theoretical opinion which this dichotomy can generate.

> Many believe that structural patterns of an ascending leap followed by a descending line are in some sense "natural," existing either as a cross-cultural melodic constant (which Meyer implies) or else emanating from nature itself (which Schenker states outright). In the confines of the implication-realisation model, however, I treat such patterns strictly as style-based phenomena because...there are countless melodic patterns where what follows a large leap is not a

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[14] These terms are taken from Narmour's concepts of 'style shape' (*forms*) and 'style structure' in Eugene Narmour, *Beyond Schenkerism: the need for alternatives in music analysis* (Chicago: University of Chicago Press, 1977) and Narmour, *The analysis and cognition of basic melodic structures*.

process in the opposite direction but rather a closural reversal in the opposite direction.[15]

Bottom-up	**(General)**	**Top-down**
Natural		Cultural
Hypothetical		Learned
Rational		Empirical
Deductive		Inductive
Rigid Input System		Variable Input System
Physio-/psycho-logical		Styled-based
Subconscious		Conscious
Data-Driven		Concept-Driven
Gestalt Patterns	**(Meyer)**	**Archetypes or Schemata**
Innate		Cultivated Norms
Cross-cultural constraint (e.g. Gap-fill melodies)		
Style Shapes	**(Narmour)**	***Style Structures***
Parametric Simplexes		Parametric Complexes
'If-then' clause		'Except' clause (e.g. Gap-fill melodies)

Example 1-2: Bottom-up/Top-down Musical Perception

Meyer conceptualises a gap-filling melodic schema as transcending cultural specificity, and in so doing he claims that it is perceived as a natural phenomenon which should be accorded the status of parametric simplex, thereby operating analytically from the bottom-up. (Schenker is even more explicit concerning its inherent natural status.) Narmour, however, finds its potential status as parametric simplex problematic because it conflicts with his own hypothetical model, which suggests that a large 'leaped-to' interval will tend to be followed by a closural *reversal* and not the ensuing open *process* which gap-filling 'structures' exhibit. For Narmour, the realisation of gap-filling *process*, instead of closural *reversal*, represents an 'if-then-exception' to his hypothetical model. This is the tell-tale sign of top-down cultural interference: a parametric complex negating the hypothetically implicative, bottom-up simplex, resulting from style-based impingement. These theoretical distinctions determine on which *levels* specific musical parameters are situated in the *context-concept spiral* of *Example 1-1*. In disputed cases, such as that between Narmour and Schenker, perhaps the mediating principle should be one of *context-sensitive, cultural* analysis; an area in which music theorists should turn to the ethnomusicology of writers such as Feld[16] and Blacking.[17]

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[15] Narmour, *The analysis and cognition of basic melodic structures*, 223-224

[16] Steven Feld, "Sound structure as social structure," *Ethnomusicology* 28, no. 3 (1984): 383-409.

Returning to the definition of *level one* generation, Narmour's vocabulary explains the process of elevating contextual expectations above those of concept. Generation occurs when knowledge of a 'style structure' overrules the expectation of a 'style shape' to such an extent that the 'style structure' attains the status of an independent concept on the next level. One might conceive of this reinterpretation as a 'style shape' occurring on *level two*, but this so distorts Narmour's meaning of the term that it becomes an unacceptable conflation of two interrelated, but inconsistent, theoretical models. Reference to style 'shapes' and 'structures' (as respective denotations of conceptual and contextual domains) in the strict Narmourian sense should be confined to *level one* only. This is specifically why I employ the descriptives *concept* and *context* as more general terms, which can safely encompass all three levels of cultural negation; more theory-specific terms apply only to individual levels.

Example 1-3 (see below) considers a case of *level one* cultural negation from the Stravinskian repertoire. Here, the *concept* comprises a bottom-up parametric simplex: a perceptual unit of musical data. This is the implicative melodic interval created by two pitches: F falling to E (*Example 1-3i*). Ignoring Meyer's caveats of parametric interdependence, Narmour's theory of melodic implication dictates, *ceteris paribus*, that the Gestalt principle of 'good continuation' implies a nonclosural melodic archetype of *process*; in other words, the data-driven musical expectations of continuation indicate a following note of D (this is labelled 'P' on *Example 1-3i*, according to Narmour's symbolic notation outlining the completed *process*—not to be confused with a Schenkerian 'passing note' symbol). Alternatively, a principle of equilibrium generates an expectation to return to F (labelled ID—Narmour's symbol for an 'intervallic duplicative structure'[18]). No dual directional, theoretical model can afford to make such one-sided interpretations in ignorance of any context-driven musical expectations. Suppose, for example, the musical simplex was located, extraopusly, in tonal convention, and

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[17] John Blacking, *Music, culture, and experience: selected papers of John Blacking* (Chicago and London: The University of Chicago Press, 1995).

[18] Narmour's jargon is not clear to those unfamiliar with his method of tracking intervallic motion and registral direction to evaluate implicative structures. In essence, ID denotes the progression of 'a small interval to the same small interval with different registral directions'; a Schenkerian complete neighbour note pattern is a paradigm ID structure.

intraopusly, at the point of a cadence; rather than being surprised at the denial of the concept-driven implication of good continuation, 'style-based' knowledge—inherited from repeated hearings of melodic cadence archetypes (of Western music culture)—overrides conceptual knowledge to implicate certain *cadential archetypes*. This need not conflict with data-driven implications; *Example 1-3ii* and *iii* demonstrate the same realisations of D and F, as implied by the culturally defined, phenomenological contexts of a Schenkerian 3-2-1 descent and a completion of an incomplete lower neighbour note, respectively. *Example 1-3iv* demonstrates a culturally inferred model which conflicts with these data-driven implications. This conflicting model is a Gjerdingenian 1–7:4–3 schema,[19] whose implication would dictate an ensuing Bb to A realisation. The picture becomes very complicated, however, with the shift from ideal models to the full parametric interplay which is found in the concrete example of the same two implicative pitches, taken from the middle piece of Stravinsky's Three Pieces for String Quartet (*Example 1-3v*). Here both data- and concept-driven models are negated; excluding the repetitions of the fragment, the data-driven implications of F or D remain unrealised with the ensuing unison statement of E. Narmour's non-closural melodic archetype of 'process' could here appear to be an inappropriate implicative model, as the E is perhaps actually a closural realisation confirmed by the ensuing unison gesture. The concept-driven implication of a cadence on E major—a commonly held interpretation of the passage, E being rhythmically articulated with down beat and on-the-beat[20] articulation—underscores this notion, but again seems fundamentally inappropriate. Two fundamental factors negate such an implication model, suggesting that the music is somehow alien to the cultural models upon which its expectations are founded: firstly, the proliferation of alien notes negate any readily discernible sense of harmonic implication, and secondly, the equally prolific repetition of the gesture, combined with its silent rests and ingrained triplet metre, negate any obvious sense of rhythmic implication. In other words, Stravinsky's innocuous opening gesture appears to be subverting both data- *and* concept-driven implications; in so doing, it situates itself on *level two* of the

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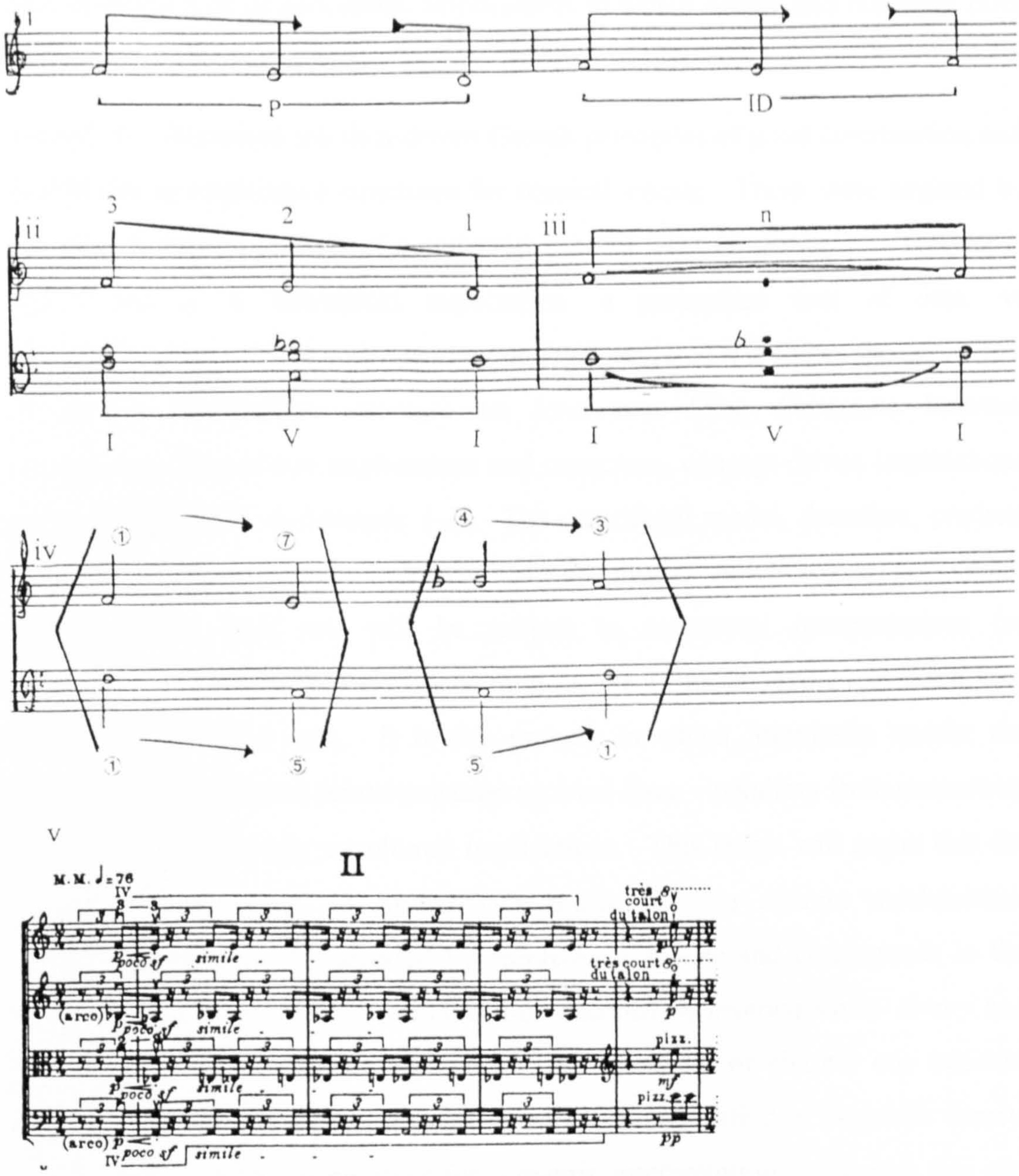
[19] Robert O. Gjerdingen, *A classic turn of phrase: music and the psychology of convention* (Philadelphia: University of Pennsylvania Press, 1988), 68-96.

[20] The significance of on-the-beat off-the-beat metric articulation in Stravinsky is discussed in Pieter C. Van Den Toorn, "Stravinsky re-barred," *Music analysis* 7, no. 2 (1988): 165-95.

negation spiral. This we will come to understand as Stravinsky's *aesthetic region of play*.

Example 1-3: Stylistic Impingement on Data-Driven Implications

Section 2 – Aesthetic Regions of Play: Unpacking the Model

To recapitulate, in the realm of *level two* conceptual expectations are generated by cultural reinterpretations—perceived as 'negations'—of more fundamental conceptual expectations which occurred on *level one*. A tacit understanding of *level one* might infer that the conceptual and the contextual implication models corresponded with a basic *nature–culture* dichotomy; reliance on such a rigid

opposition, however, would be problematic. The semiotician would contend that there is no such thing as a *natural* unit divorced from any cultural environment, since even the type of conceptual implications to which Meyer and Narmour refer are cultural products to a certain extent.

Example 1-3 illustrated the data-driven Gestalt principles of good continuation and equilibrium as implicative structures for musical events. These were negated by culturally conceived models of a cadential schema. On *level two*, this schema is reinterpreted as a conceptual expectation: a perceptual unit of data, so contextualised by cultural understanding on *level one*, that it assumes the status of a subconscious implicative structure on *level two*. (The distinction between subconscious, data-driven implications and conscious, concept-driven implications is as outlined above in *Example 1-2*.) The centrifugal model, therefore, predicts that, as on *level one*, the reinterpreted, encultured subconscious conceptual implications of *level two* will be subject to contextual interpretations (or 'negation'), before ultimately becoming subject to a reinterpretation (or 'generation') of their own. It is this process in which Stravinsky excels: the negation (and subsequent reinterpretation on *level three*—resulting from canonising his negations) of already encultured implications. This thesis will argue that the process manifests itself in Stravinsky's music by two distinct mechanisms: *subversion* which can be decoded by *markedness theory* and corresponds to the cubist aesthetic, and *deviation* which can be decoded by *prototypicality theory* and corresponds to the neoclassic aesthetic. The remainder of chapter one unpacks these two semiotic principles, whose origins will be identified in linguistic theory, and proposes possible frameworks for semantic interpretation. Chapters two and three comprise more detailed examinations of each aesthetic within selected Stravinsky repertoire, before chapter four attempts to make prospective inroads into the semantic framework of Stravinsky's serial aesthetic, in which sincerity appears to replace the earlier aesthetics of negation. Throughout, the focus is on unpacking the theoretical, syntactic and semantic models in the context of a semiotic interpretation of Stravinsky's music. Whilst this necessarily involves considerable analysis, the emphasis is on analytical observations which highlight the theoretical framework—demonstrable principles which highlight the extent to which the linguistic devices of markedness and prototypicality may inform interpretation of

Stravinsky's syntax-negating aesthetics—rather than on any definitive analysis of individual works. As with most semantic investigations, the emphasis is on the 'how' and not the 'what' of musical meaning; in other words, the study seeks to identify and better understand Stravinsky's mechanisms of semantic conveyance but does not encroach on the, perhaps unanswerable, question of what Stravinsky's music actually means.

Constructing the Framework: Stravinsky's Aesthetic Regions of Play

In order to begin constructing the suggested framework, the foundations of the theoretical model in which Stravinsky encodes syntax negation must first be laid. *Example 1-4* (below) outlines a theoretical model based on negation generated through oppositions. The oppositions occur between musical schemata, generated by levels of noncongruence within and between musical parameters. The schemata operate on three different 'regions of play' in the theoretical model. The expression denotes that it is from the play of noncongruence on (the upper two) different regions that one can generate meaningful interpretations of Stravinsky's aesthetic signification. The three regions can be defined using the musical categories of *minutia*, *model* and *matrix*.

Stravinsky's cubist aesthetic opposes schemata at the *matrix* level of musical discourse. These are referred to as *matrices* because schemata, such as theme and cadences are comprised of numerous *models* which define their schematic category. The ensuing example of Stravinsky's *Excentrique* demonstrates oppositions generated by thematic, accompanimental and cadential schemata. For example a certain paradigm might be melodically implicative of a thematic schema but rhythmically implicative of a cadential schema. In such an example, the *matrix* level schemata of theme and cadence are opposed; an opposition generated by parametric non-congruence. Implications of location may also generate opposed *matrix* level schemata in the musical syntax. This is a prevalent strategy in *Excentrique*. The opening paradigm, for example, is rhythmically and gesturally cadential, even if not melodically or harmonically. Its opening location, however, is syntagmatically implicative of a thematic, not a cadential, schema. Opposed

matrix level schemata exhibit syntactic *deadlock*, the hallmark of Stravinsky's cubist aesthetic.

Stravinsky's neoclassic aesthetic opposes schemata at the *model* level of musical discourse. *Models* are what cluster to form *matrices* and are built from *minutia*, the fundamental units of syntax (i.e. the note to note relations of bottom-up processing). The ensuing example of *Oedipus Rex* demonstrates *model* level oppositions generated by deviations from the prototypical instantiations of certain musical archetypes. For example, Oedipus' aria outlines implicative antecedent-consequent phrases and linear descents but these models deviate from their prototypical instantiations by conflating conflicting schematic *models*. Again in such an example, the opposition of *model* level schemata is generated by parametric non-congruence (most pointedly in the Aria, Oedipus' vocal line conflates a closural linear descent with the processive antecedent phrase outlined by the clarinets). Opposed *model* level schemata exhibit syntactic *multivalency*, the hallmark of Stravinsky's neoclassic aesthetic. (Both of the above cubist and neoclassic examples are discussed in the ensuing chapter and analytically unpacked in chapters two and three respectively.)

The musical categories of *minutia*, *model* and *matrix* correspond to the linguistic levels of *subordinate*, *basic* and *superordinate*. (The linguistic terms are borrowed from an amalgam of lexicons used by natural scientists and cognition theorists, which were brought together by the cognitive psychologist, Eleanor Rosch,[21] specifically for the role they play in identifying prototypical and *basic* level effects. These form a central part of George Lakoff's prototypicality theory,[22] which is central to much of this thesis.) The regions do not represent hierarchical levels or absolutes but relate to the mechanisms of cognitive musical processing.[23] In essence the *superordinate* level corresponds to top-down processing, whilst the

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[21] Eleanor Rosch, C. Simpson, and R. S. Miller, "Structural bases of typicality effects," *Journal of experimental psychology: Human perception and performance*, 2 (1976), 491-502.

[22] George Lakoff, *Women, fire, and dangerous things: what categories reveal about the mind* (Chicago and London: The University of Chicago Press, 1990), 12-57. Chapter two refers, specifically, to Rosch's theories.

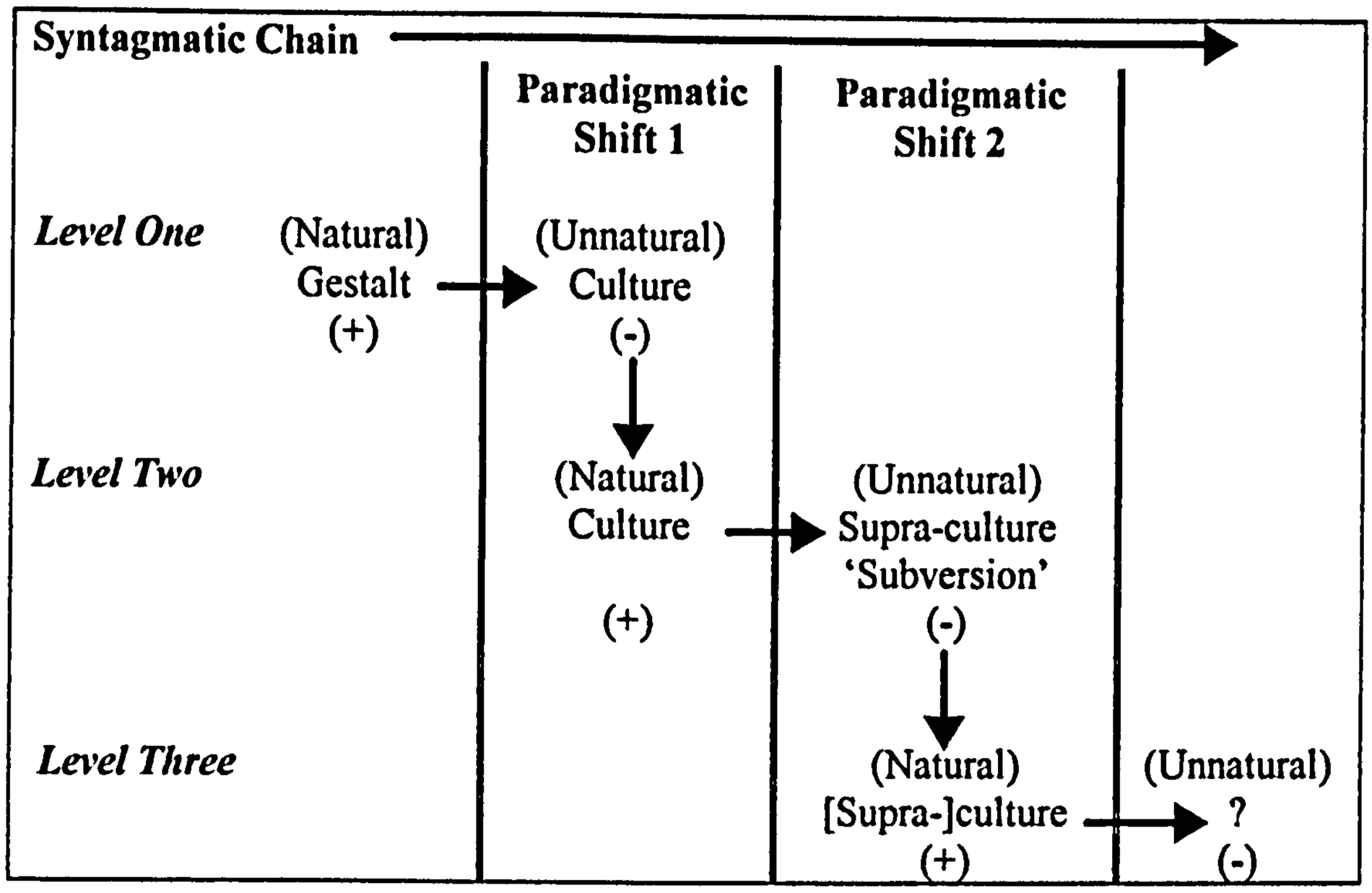
[23] Rosch employs the terms as levels upon which the mind interprets its interaction with external concepts through a three-tiered system of mental categorisation. Although her theories will be discussed in the ensuing text, the key point to note here is that the 'basic level' functions as the most operationally versatile and direct means by which the mind processes information. It both feeds, and is fed by, its surrounding superordinate and subordinate levels. This status will be reflected by its situation in the musical framework for interpreting Stravinsky's aesthetics.

subordinate level corresponds to bottom-up processing. The *basic* level occupies a special place in the model, forming a middleground which is the meeting point of bottom-up and top-down processing, where the invariant input system of the data-driven implications gives way to the variable input system of culture-/concept-driven implications. To put it in Narmourian vocabulary, it represents that perceptual region where 'style shape' gives way to 'style structure'.

Example 1-4 needs to be related to *Example 1-1*, the concept-context spiral of cultural negation, as the two contextualize one another. The 'subordinate' region of play operates on *level one* of the model in *Example 1-1*, whilst the 'superordinate' and 'basic' regions of play operate on *level two*. Each *level* of cultural negation has its own 'bottom-up' *and* 'top-down' perceptions. The *subordinate* level/*minutia* region of play corresponds to 'bottom-up processing' because its perceptual units are indisputable parametric simplexes, the minutia upon which the *basic* and *superordinate* level complexes are built. When found in *level one* of the spiral, however, the parametric simplexes within the same region of play are subject to top-down, contextual negation. In other words, a conceptual simplex ('style shape') can be contextually 'interpreted' into a culturally defined complex ('style structure') which negates its initial simplex perception. This top-down interpretation of an event, previously conceived from the bottom-up, remains the domain of *level one* for as long as it is interpreted as a top-down negation. Only when it is 'reinterpreted', no longer as negating a simplex but as a newly generated conceptual unit, do we make the transition to *level two*. Here it becomes a culturally defined unit with expectations which can once again be conceived from the bottom-up or negated from the top-down. This gives the model the appearance of circularity, in that *level two* yields a positive 'ascription' to a *level one* negative attribute. This is, however, an evolutionary, not an arbitrary, assignation. *Example 1-5* demonstrates this point by reinterpreting the centrifugal spiral model as a syntagmatic chain of negation undergoing paradigmatic shifts between different *levels*.

Aesthetic	Linguistic Theory	Contextual Negation	Region of Play	Musical Schemata	Syntactic Play
		Context		Cadence	
'Cubist' Deadlock ***Subversion***	Markedness	Concept *LEVEL TWO* Context	*Matrix* Superordinate	Theme	Diachronic ***Subversion*** Synchronic
				Accomp.	
		OR			
		Context		'x' Deviant	Less Typical Low Confidence
'Neoclassic' Multivalency ***Deviation***	Prototypicality	*LEVEL TWO*	*Model* Basic	Archetype 'x'	***Deviation***
		Concept		'x' Prototype	High Confidence Most Typical
		Context		Complex	*Structure*
		LEVEL ONE	*Minutia* Subordinate	(Parametric)	(*Style*)
		Concept		Simplex	*Shape*

Example 1-4: Stravinsky's Aesthetic Regions of Play



Example 1-5: Syntagmatic Chain of Cultural Negation

Given that bottom-up implications proceed from 'Gestalt' phenomena and top-down implications proceed from 'cultural' phenomena, it stands to reason that *level one* is the domain where culture, (perceived as 'unnatural'), negates Gestalt, (perceived as natural), by a process of enculturation. This raises the quintessential question of what negates culture—in other words, what comprises the 'unnatural' opposition with cultural implications sufficient to instigate the paradigmatic shift to *level two*? In answer, two such negating forces can be found in Stravinsky's music: 'subversion' and 'deviation'; i.e. the blatant destruction of, or radial relationship to, cultural norms. The two solutions are reflected in the two critical reactions to Stravinsky's music mentioned earlier in this chapter. Andrey Rimsky-Korsakov's accusation of 'throwing the baby out with the bathwater' (see *footnote* [11]) suggests wanton destruction of cultural norms, whereas Cone's observations on the 'interplay of the anticipated and the actual', (see *footnote 1*) refer more specifically to radial relationships between cultural implications and actual realisations. Both 'subversion' and 'deviation' constitute top-down (supra-cultural) impingement on bottom-up (cultural) expectations: a *level two* cultural negation. Again, as with *level one*, the transition to the next *level* requires an act of reinterpretation (the second paradigmatic shift of *Example 1-5*), placing 'supra-culture' as natural expectation. In Stravinsky's music, this process occurs when the two, 'supra-cultural' (on *level two*), mechanisms of *markedness reversal* ('subversion') and

prototypical play ('deviation') generate the semantically challenging aesthetics of *deadlock* and *multivalency* respectively; it is these aesthetics which require further reinterpretation, so moving them on to become *level three* concepts.

These theoretical, dual-dimensional, implication–realisation models therefore form the backbone of the syntactic framework for interpreting Stravinsky's *level two* negation. Let me here state categorically that it is not my intention to conflate the different psychological models of Meyer or Narmour, the phenomenological models of Schenkerian principles or the more overtly semiotic models of Gjerdingen or (as discussed later) Agawu. They represent different, but concept-related, models with very individual contributions to the consideration of top-down and bottom-up perceptual theory. Rather, I will explore the intersections of these theories through the framework of my conceptual model, in order better to understand some of the perceptual mechanisms by which we can interpret Stravinsky's subversive and deviant musical syntax; by so doing, I aim to align these mechanisms with certain semiotic principles which further elucidate the interaction of the listener, qua 'decoder', with Stravinsky's musical lexicon, qua 'sign-scape'. This will establish the contextual framework by which we can understand the reinterpretative act which initiates *level three*: the semantic mediation of Stravinsky's *level two* syntactic play.

To summarise, I have proposed two interanimating theoretical models; the *aesthetic regions of play* (*Example 1-4*) and the *concept-context spiral of cultural negation* (*Example 1-1*). The latter operates on three levels, the former in three regions. *Level one* corresponds to the *minutia* region whilst *level two* corresponds to the *model* and *matrix* regions. This inquiry focuses on *level two*, where Stravinsky plays with encultured conceptual norms through subversive and deviant contexts; subversive syntax will be shown to correspond to the *matrix* region and deviant syntax with the *model* region. Once the mechanics of these regions of play have been uncovered, the transition to *level three* can be made through semantic interpretation, via a reinterpretation of the newly generated musical aesthetics. These semantic considerations are vital if we are ever to transcend Adorno's dated, but peculiarly lasting, critique of Stravinsky as a 'sado-masochistic' composer:[24] an

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[24] Theodor Adorno, *Philosophy of modern music* (London: Sheed & Ward, 1973), trans. A. G. Mitchell and W. V. Bloomster, 167.

implicit reference to his predilection for negating cultural norms as a suppressionist aesthetic. Contextualizing Adorno's infamous charge is a favourite pursuit of many Stravinsky scholars, and in this sense the thesis does not propose any great originality. It does attempt, however, to uncover a more secure syntactic and semantic framework on which to attach the many intuitively correct assertions of Stravinsky commentaries, neatly summarised in Keller's appreciation of *Symphony of Psalms*:

> Psychologically, the chief fascination...is the nature of its incisive expressiveness....the work is expressive through the very suppression of expressionism through that in-turned, self-castigating aggression which prompted Adorno and myself, independently, to describe it as sado-masochistic....it is not a devaluation. What it does signify is the complexity of Stravinsky's creative aggression, which manifests itself in his aggressive love and aggressive self-love. Stravinsky's genius utilized its sado-masochism, i.e. both its aggression turned inwards and its enjoyment of such self-attack, towards his unique, tense, meaning-laden suppressionism. His anti-expressionism did not, however, as Adorno thought, result in emptiness, but in fullness fully opposed in a state of statically intense tension, of dynamic staticism.[25]

Section 3 – Assimilating Stravinsky into the Framework

Level Two Contextual Negation: Markedness and Prototypicality

Before assimilating Stravinsky's works into the theoretical framework, one must first examine the mechanisms of markedness and prototypicality. These concepts are borrowed from linguistic theory. In his discussion of musical meaning in Beethoven, Hatten defines markedness as 'the asymmetrical valuation of an opposition (in musical structure, language, culture)', arguing that 'for musical meaning, markedness of structural oppositions correlates with markedness of (expressive or other) oppositions among cultural units'. His other important observations are that 'marked entities have a greater (relative) specificity of meaning than do unmarked entities' and that they 'tend to occur in fewer contexts and...less often than their unmarked opposites'.[26] If such entities can be found in the musical syntax of Stravinsky's music, as Hatten found them in Beethoven's,

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[25] Hans Keller and Milein Cosman, *Stravinsky seen and heard* (London: Toccata Press, 1982), 12.

[26] Robert S. Hatten, *Musical meaning in Beethoven* (Bloomington & Indianapolis: Indiana University Press, 1994), s.v. "Markedness", 291-92.

their semantic value as building blocks of interpretation is self-evident. Lidov gives an indication of this value and the linguistic origin of *marking* in his foreword to Hatten's monograph:

> Markedness theory originated in phonology but has emerged as one of the most, perhaps the most, widely applicable and enduring models of cognition to appear in the linguistic, structuralist, and semiotic investigations of this century. Markedness theory proposes that wherever humans draw distinctions (right/left, man/woman, etc.) these tend to be asymmetrical: One side tends to be more richly evaluated (positively or negatively) and more special; the other, to lend itself more to abstraction and sometimes to represent the divided whole...Drawing on Michael Shapiro's[27] extensive demonstrations that marked pairs of signifiers correlate in our understanding with respectively marked pairs of contents, he [Hatten] is able to forge a new logic of interpretation.[28]

Prototypicality theory is the basis of Lakoff's investigation into what categories reveal about the mind. A prototype effect defies classical theory, in that certain members of a category—perhaps a thematic or cadential category—are assigned special cognitive status as 'best examples'. Other category members are related to these central members as radial deviations. As a simple example, a robin is more prototypical of the category 'bird' than a less central member such as an ostrich. The relation between prototype theory and markedness theory is evident in the asymmetry between either category members or oppositions, i.e. a marked entity (e.g. a cadential theme) is less prototypical than an unmarked entity (e.g. a lyrical theme). Again, the semantic implications of finding a mechanism by which the schema of Stravinsky's musical syntax might be ranked, are self-evident. Lakoff summarises prototype effects as follows:

> If classical theory were both correct and complete, no member of a category would have any special status. The reason is that, in the classical theory, the properties defining the category are shared by all members, and so all members have equal status as category members. Rosch's research on prototype effects[29] has been aimed at

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[27] Michael Shapiro, *Asymmetry: an inquiry into the linguistic structures of poetry*, North-Holland Linguistic Series, 26 (Amsterdam: North-Holland Publishing Co., 1976), *Hierarchy and the structure of tropes* (Bloomington: Indiana University, 1976).

[28] David Lidov, Foreword to Hatten, *Musical meaning in Beethoven*, x

[29] Eleanor Rosch, "Natural categories," *Cognitive psychology* 4 (1973): 328-50.

> showing asymmetries among category members and asymmetric structures within categories.[30]

These mechanisms can be used to decode Stravinsky's aesthetic allegiance to either subversion or deviation, thus explaining their positions on *level two* of our *cultural negation model* (*Example 1-1*). Both markedness and prototypicality provide ways of measuring negation. Markedness theory operates in the *matrix* region of *level two*; it is based on specific 'oppositions' which stand in diametric relation to one another. Prototype theory operates in the *model* region of *level two*; it evaluates the degree of divergence from the 'most typical example' of a conceptual norm. 'Divergence' can be interpreted as an 'opposition' of the prototype to its deviation. The fundamental difference between the two theories is the dependency of markedness theory on 'diametric' oppositions, in relation to the 'deviant', or 'radial', oppositions measured by prototypicality. The distinction becomes clear in musical terms if we consider the notion of cadence. This stands in diametric opposition to the notion of theme; this does not deny the concepts of thematic cadence or cadential themes, but simply acknowledges that they embody marked oppositions in their construction. An individual cadential model or archetype, however, has no clearly definable diametric opposition to its prototypical model. A musical instantiation can express degrees of deviance away from the prototype, but it can never achieve a diametric relation to its model. Long before this could occur, the listener would lose all perceptual salience with the archetype originally invoked. He would simply switch to an alternative according of the rule of best-fit. This is not the case for musical schemata such as theme and cadence; in these cases, clearly perceptible, diametric oppositions can be experienced without the loss of salience in either of the opposed musical concepts. This mechanism of encoding such oppositions by markedness is central to Stravinsky's deadlocked aesthetic of cubist subversion.

Negation Revealed by Markedness

Stravinsky's Three Pieces for String Quartet no. 2, *Excentrique*,[31] encodes such an opposition which syntactically plays with the schema of theme. This eccentric and

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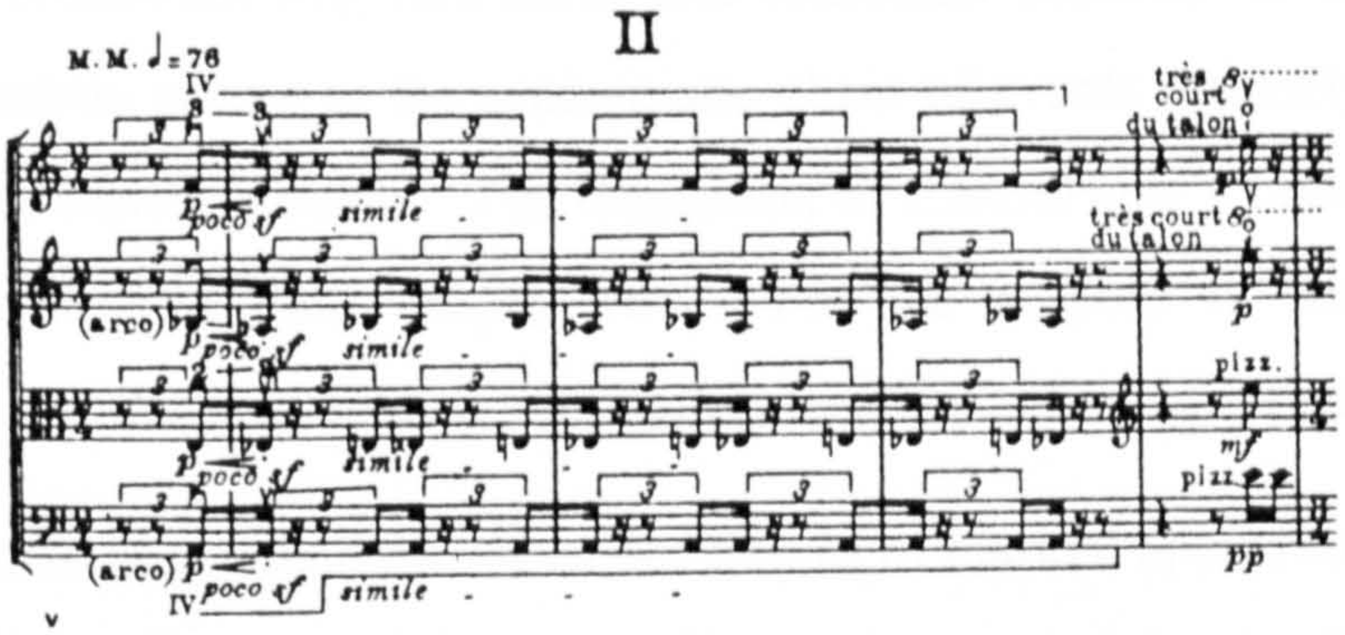
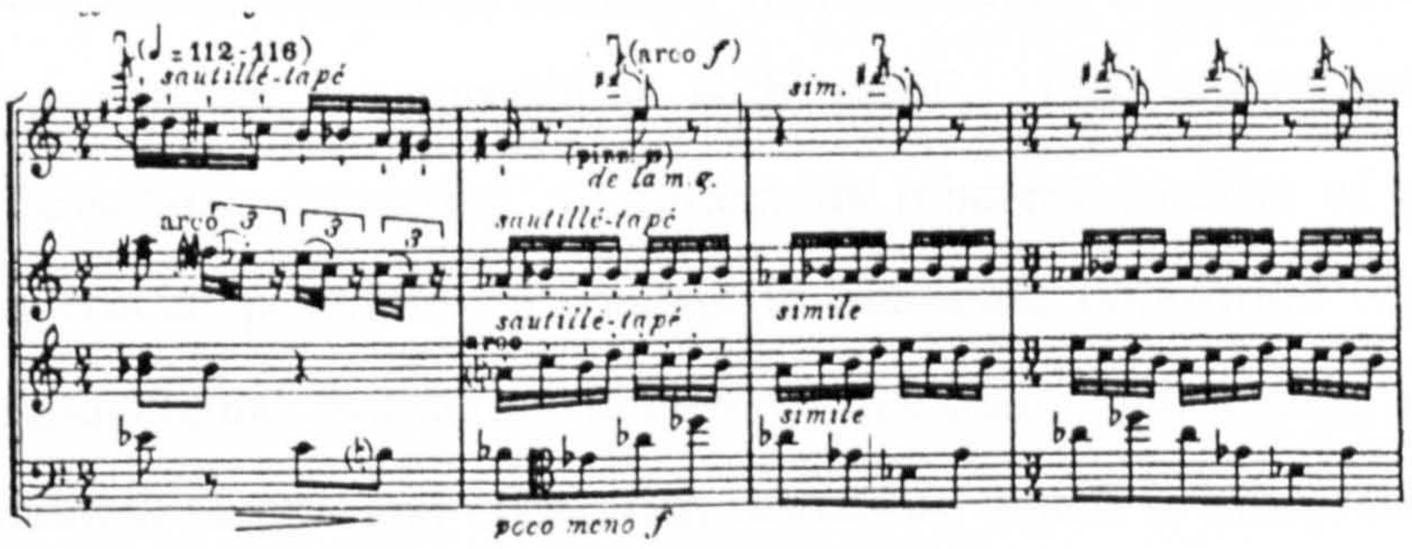
[30] Lakoff, *Women, fire, and dangerous things*, 40.

semantically challenging piece—something reflected in the number of analyses it has attracted—is a paragon of cubist subversion. Chapter two discusses this work at length. A cursory glance at its two pronounced examples of marked thematic identity, however, will elucidate the principle of markedness as a tool for interpreting subversion in Stravinsky's discourse. The semiotician might propose two schematic opposites to the notion of theme: on the diachronic axis, 'cadence', and on the synchronic axis, 'accompaniment'. Stravinsky employs both schematic oppositions to negate our encultured expectation of thematic identity, both in terms of what it should be and of where it should come. He negates our 'thematic' expectations diachronically with a 'cadential' identity and synchronically by its nihilistic absence in the association of 'unthemed accompaniment'. These are represented in *Example 1-6 i* and *ii* respectively:

i)

ii)

Example 1-6: i) Diachronic & ii) Synchronic Marked Oppositions in Excentrique

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[31] The subtitle *Excentrique* was attributed to the second piece of Stravinsky's Four Etudes For Orchestra (first performed as late as 1930 by Ernest Ansermet, in Berlin) and not to the original quartet version (1914), around which most of my analysis centres. The three pieces of the quartet version were all orchestrated in 1917, the same year that he composed the Etude For Pianola which was later orchestrated (1928 or 1929) to become the fourth piece of the Etudes. At that time the four pieces were respectively titled: 'Danse', *Excentrique*, 'Cantique' and 'Madrid'. Throughout the thesis, however, I take the liberty of referring to Piece no. 2 of the Quartet version by the nickname *Excentrique*, both to avoid its more lengthy title and to reinforce its associations with the clown, Little Tich, who inspired Stravinsky to compose the work. This association will become central to the interpretative strategies which I explore. When particular reference is made to the Etudes version, it will be explicitly stated.

The *diachronic* negation is manifest in the cross-matching of functional and locational material. Stravinsky presents a cadence where we expect a theme, at the beginning of the work, which carries with it the encultured expectation of a thematic identity. The diachronic negation is again manifest in a cross-matching of functional and gestural material; Stravinsky presents a theme which assumes the phraseology of a cadence, with an encoded resolution of up-beat to down-beat, mechanically reiterated in a punctuative gesture, as though closing a preceding theme. The *synchronic* negation is manifest in the cross-matching of the functional expectation of accompaniment (i.e. thematic complementariness) with the pronounced gestural absence of any thematic quality. Its blatant absence exposes a marked opposition between functional and locational material on the synchronic axis, akin to that on the diachronic axis. (This synchronic example can also be interpreted as cross-matching functional and locational material, as the negating moment in question occurs in the syntagmatic chain of events precisely where the listener is led to expect a theme. The discussion of *Excentrique*'s linear narrative, however, is postponed until chapter two. For the purpose of understanding markedness encryptions, individual paradigms are sufficient at this juncture.)

In both diachronic and synchronic cases, the degree of marked opposition generated by the negating influence of countervailing schema activity is diametrically opposed to the expected schematic concept. It is not merely a concept placed out of context, but a concept in opposition with itself. One might subtitle this phenomenon 'essential opposition' to reflect its inherent conflict of conceptual essence. This crucial principle—a concept in diametric opposition with itself—clarifies the fundamental distinction between contextual[32] subversion, interpreted through markedness theory, and contextual deviation, which is interpreted through prototype theory. Both are forms of negating syntax, but only marked oppositions place the concept in 'direct' opposition with itself. This explains my adoption of the aesthetic descriptive, *deadlock*, or *gridlock*, often attributed to Stravinsky's music.[33] The less salient form of prototype oppositions merely places the concept

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[32] Here the word contextual is used to denote the position which all 'negation' occupies in the *concept-context spiral*: all negation can be interpreted as contextual interference with a conceptual expectation. The terminology should not be confused with the notion that markedness theory is based on an opposed 'conceptual' unit, whilst prototypicality theory is based on opposed 'contextual' units

[33] Van den Toorn is particularly fond of the descriptive *gridlock*. Pieter C. Van Den Toorn, *The music of Igor Stravinsky* (Yale University: New Haven, 1983).

in opposition with its prototypical instantiation. Its effect is less dramatic than 'throwing the baby out with the bath water' and Stravinsky's resulting aesthetic is one of subtle narrative ingenuity in place of defiant gesture.

Negation Revealed by Prototypicality

Level two contextual negation can also be understood by prototype theory. Gjerdingen briefly discusses the notion of prototype schemata, but risks conflating two separate meanings of prototypicality: 'most typical' and 'perfect example'.[34] He raises the concept in relation to Rumelhart's six characteristics of a schema,[35] the final characteristic of which identifies schemata as 'recognition devices'. This entails first prospectively interpreting an event/phenomenon (our *level two* musical concept) according to known schemata, before retrospectively interpreting the same phenomenon according to the schema best-fitting its attributes on the basis of any new perceptual evidence. This perceptual process is known as the 'assimilation-accommodation' cycle. Gjerdingen invokes prototypicality theory because of its inherent notion of 'best fit'. Concrete musical phenomena are gauged against prototype schemata in order to ascertain which provides the best fit as a perceptual recognition device. This suggests a ranking system operating within and between individual schemata. For example, Gjerdingen considers prototype effects operating in the type of [1-7...4-3] cadential schema shown in *Example 1-3iv*. This cadential schema prototypically exhibits a closural function. Moving further away from this prototypical arrangement of the schema, Gjerdingen outlines more processive and open-ended conceptions, the most prototypical of which exhibit 'conformant sub-phrases', which precede the rhythmically accented melodic pairs: [{---}1-7{---}4-3]. At the perceptual extreme of this schema would be an example

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[34] Lakoff's notion of prototypicality explicitly segregates 'most typical cases' from 'perfect examples' which, in a subsection, he refers to as 'paragons'. Another of his subsections—'ideals'—is also a strong contender for the pragmatic notion of 'perfect examples' which Gjerdingen appears to be using. These distinctions will be discussed later. To give a brief example, however, of the confusion Gjerdingen's all encompassing conflation of 'perfect examples' and 'typical cases' may cause, consider Lakoff's example of the prototype 'husband'. The 'ideal' husband would be strong, handsome and a good provider. The 'paragon' husband would be an actual man epitomising these ideals. The 'stereotypical' husband, however, would be bumbling and pot-bellied, whereas the 'typical' husband would be safe and sensible. In short, one must be aware of exactly which aspect of prototypicality is being invoked. Gjerdingen perhaps overlooks this semantic variance, not only with his conflation of typical and perfect but also with his reference to schema archetypes as 'stereotyped scripts'. Lakoff, *Women, fire, and dangerous things*, 84-90.

[35] David E. Rumelhart, "Schemata: the building blocks of cognition," in *Theoretical issues in reading comprehension*, R and J. Spiro, Bertram C. Bruce, and William F. Brewer, eds. (Hillsdale, N.J.: Lawrence Erlbaum associates, 1980), cited Gjerdingen, *A classic turn of phrase* 58, 66-67.

composed of such a deviant arrangement that the integrity of the schema becomes questionable: e.g. [1...7-4...3]. At this great remove from the prototype, the perceptual evidence for its invocation as an implicative model becomes so flimsy that a better-fitting schema is substituted.[36]

Gjerdingen's interpretation of prototypicality theory, therefore, entails two fundamental concepts for identifying schema prototypes: i) the schema must exhibit *maximum typicality* and ii) the listener must have *maximum confidence* when aligning an instantiation with a schema. These are the two forums in which prototypical negation can arise. Stravinsky's syntax is cleverly constructed to play-off Rumelhart's characteristic of schemata as 'active processes' (i.e. implicative structures) with his characteristic of schemata as 'recognition devices' (i.e. when syntax deviates too much from the implicative structure, the rule of best fit overrides the schema invoked.) In short, he creates a syntax which plays with the prototypes of implicative models whilst preserving the identity and implications of those models; not so much 'throwing the baby out with the bath water' as 'the interplay of the anticipated and the actual'.

There is a further twist to Stravinsky's exploitation of prototype schemata, a greater level of deviancy at work than the mere lack of better fitting alternative schema. That twist is 'polyvalency'. In a climate fast tiring of disreputable Stravinskian 'poly'isms' (polychordal, polyrhythmic, polymetric, polytonal), I shall reformulate this as 'multivalency' to avoid the disreputable 'baggage' which comes with the prefix 'poly'. Multivalency occurs when multiple instantiations of different schemata are simultaneously invoked, generating a perceptual network of implication-realisation possibilities. When such a network is perceived, individual schemata exhibit some degree of prototypical deviancy, as different models and schema generate friction in their uneasy coexistence, each negating the other's prototypicality. This is evident in another cursory look at a subsequent analytical example, this time from chapter three.

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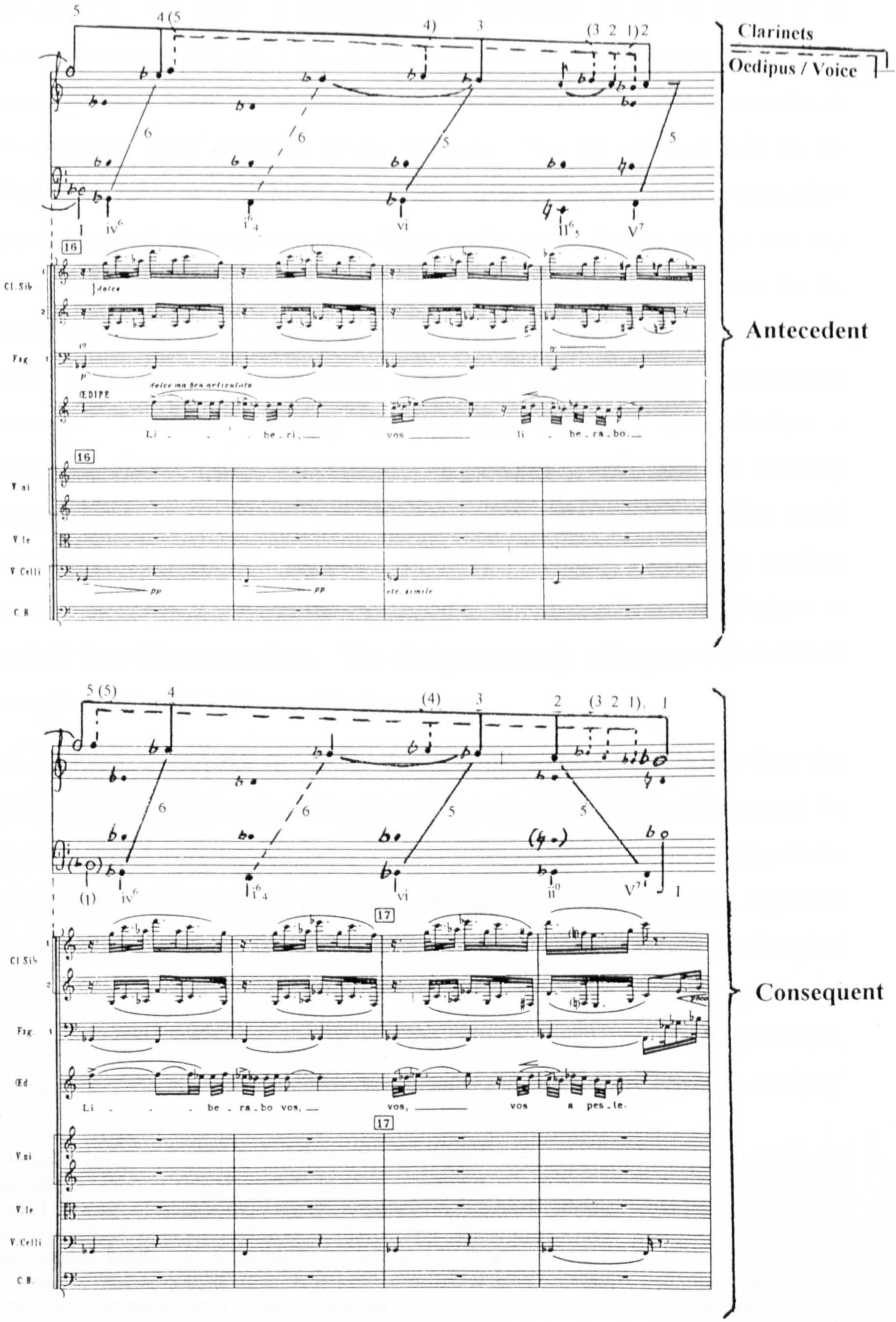
[36] This idea of ranked levels of schema membership with vague boundaries caused by perceptual switching (resulting from a loss of confidence in the schema's suitability), is known as *fuzzy set theory*. Although Gjerdingen mentions this concept—Gjerdingen, *A classic turn of phrase*, 95—the reader is referred to Lakoff for a fuller discussion—Lakoff, *Women, fire, and dangerous things*, 21-22, 26-30, 138-42.

Oedipus' aria from the neoclassic opera-oratorio, *Oedipus Rex*, is represented in *Example 1-7*. The aria encodes prototypical deviance by conflating two implicative structures functioning as *level two* conceptual norms: the encultured 5–4–3–2–1 *Urlinie* and *antecedent-consequent* phrase structure. *Example 1-7* graphically represents this multivalent (or, in this case, one might say 'bivalent') interaction of two models.

It is helpful to understand the negation which this conflation generates through the same conceptual framework of diachronic and synchronic axes used in relation to the subversion of *Example 1-6*. Along the synchronic axis, the voice leading graph represents the nonsynchronization of two alternative quasi-Schenkerian linear descents, one belonging to the clarinet obligato, the other to Oedipus' line. I denote and graphically represent these frictional lines as Schenkerian descents because of their clearly discernible harmonic support—despite Stravinsky's hallmark of contrapuntal displacement between soprano and bass articulation. (Those objecting to the phenomenological aspect of this notation will find that psychological gap-fill structures are equally discernible with the gap proposed by the bass Bb and soprano F preceding *Figure 16*.) The clash of structural notes, caused by their dislocated placement, creates a level of friction between the two proposed linear descents (or gap-fill structures) which negates their respective identities; in so doing, the identities of linear descent/gap-fill and antecedent-consequent implications are rendered less prototypical than if this friction were absent. Thus the conflation of deviant models negates their prototypical identities. The inherent multivalency of Oedipus' aria plays with these implicative structures by prototypical deviation.

The fourth bar of *Example 1-7* demonstrates the high-point of this negation by dislocated interaction. The clarinets prolong the structural mediant, Db (established in the previous bar), which continues its implied descent through to the supertonic, C, coming to rest on the dominant seventh and completing what would otherwise be a fairly prototypical antecedent phrase. Stravinsky, however, crams in Oedipus' remaining structural notes: mediant–supertonic–tonic, implied from his conflicting descent.

Example 1-7: Prototypical Subversion in Oedipus' Aria

The problem, however, is greater than mere synchronic dislocation.[37] Oedipus' gesture is a pure Handelian cadential model, supported stylistically by his excessive appoggiatura vocal style. It spearheads the 'resolution' to Bb by virtue of its composed-out turn about the tonic, C-Bb-A-Bb; a concluding gesture indicative of a closural phrase. The model of Oedipus' line, therefore, cannot possibly accord with the antecedent model proposed by the clarinets. Thus the conclusion of the so-called 'antecedent' conflates two models: the clarinets' open/processive antecedent against Oedipus' closural/completed return to the tonic. In this respect, the aria also encodes diachronic subversion. Just as merged identities result in the confusion of theme and cadence in *Excentrique* (*Example 1-6*), so Oedipus' aria merges the identity of 'prepositional' antecedent and 'conclusional' consequent structures. Instead of matching like with like, Stravinsky gives Oedipus a consequent phrase against the clarinets' antecedent phrase, and the resulting perceptual conflict this creates with the prototypical instantiations of either model is tantamount to *level two* negation. In short, Stravinsky ingeniously employs prototype deviation, supported by gestural articulations, to characterise Oedipus as divorced from his surroundings. The obvious semantic inferences which can be drawn from this will be discussed in due course.

This *basic* level deviation is clearly a less extreme form of negation than that exhibited by *superordinate* level deadlock; so much so, that it is possible to read the two stanzas of *Example 1-7* as a mere alternative, neoclassic, interpretation of the antecedent-consequent formal principle. The second stanza represents a legitimate consequent phrase for the clarinets' antecedent. This is diachronically synchronised with Oedipus in implicative purpose (i.e. both are clearly conclusional phrases realising the final tonic cadence), even if they are still synchronically displaced (i.e. Oedipus still crams his mediant, supertonic and tonic between the clarinets'

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[37] A hypothetical distinction should be made between two different systems of prototype negation. These might be referred to as *simple* and *compound* prototypical negation. The former can be understood as 'deficient model negation', a process in which the listener identifies a perceivable difference between an instantiation of a single model and the prototypical model to which it refers. The essence of *simple* prototypical negation is that the evocation and deviation of the instantiation refer exclusively to one model. Anything which does not fit this criterion of 'singularity of reference' constitutes *compound* prototypical negation. Here the negation of the prototype is caused by the multivalent interaction of conflicting models: 'multivalent model negation'. The distinction is, of course, essentially a theoretical one. It can easily be argued, given the vast and largely unexplored universe of signs surrounding any musical composition, that a given work of art could rarely exhibit reference to only one semiotic model, no matter how divorced from its cultural environment it may appear. To all intents and purposes, the notion of *simple* prototypical negation can be understood as a hypothetical system, more a product of the culturally desensitised listener's perceptual ignorance than an actual negation.

supertonic and tonic). In effect, Stravinsky presents the listener with a truly neoclassic antecedent-consequent structure. A quasi-antecedent of dual dimensional dislocation yields to a quasi-consequent, embodying only dislocation on the synchronic dimension. This neoclassic slant on the traditional antecedent-consequent function is a direct spin-off of Stravinsky playing with prototypes.

Level Two Contextual Negation Summarised

Wittgenstein summarises the logical predicament of any negatory aesthetic based on implication-realisation models when he states that: 'The assertion of the negative proposition contains the proposition which is negated, but not the assertion of it.'[38] Stravinsky's aesthetic is founded on negation. Deviancy and subversion have a weaker denotation than their prototypes, or unmarked implications, but they still denote the same implication, even though it is not affirmed. It is the loss of this affirmation which characterises Stravinsky's aesthetic, prompting critics such as Adorno to raise the charge of sado-masochism. Few works are as nihilistic as *Excentrique* or as conflationary as *Oedipus Rex*. Admittedly, the twentieth century is a climate in which negation becomes the norm, but there is something about Stravinsky's music which epitomises this dictum. I shall attempt to define this intangible quality of Stravinsky's work in the ensuing thesis, within the framework, (as proposed in this chapter), of theoretical negation by *markedness* and *prototypicality*.

The theoretical model proposes that Stravinsky's syntax operates on two levels: the *superordinate* and the *basic*. The former relates to negation in its extreme form of subversion, which is interpreted through markedness theory. *Example 1-6* demonstrates that *Excentrique* encodes both diachronic and synchronic marked oppositions, which negate the expectations of 'thematic' schemata. These expectations are culturally defined and occur on *level two* of the concept-context spiral of cultural negation. 'Theme' becomes a marked entity as it subsumes diachronic characteristics of cadence and synchronic characteristics of accompaniment. The resulting marked, thematic identity subverts the expectations of an unmarked, prototypical theme. The extent of this inherent opposition subverts

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[38] Ludwig Wittgenstein, *Philosophical investigations* (New York: Macmillan, 1953), 131.

the conceptual identity of theme, and the marked theme brings into question the very concept of thematicism.

Example 1-7 demonstrates that *Oedipus Rex* encodes both diachronic and synchronic dislocation, which negate the expectations of antecedent-consequent models. Again, these expectations are culturally defined, occurring on *level two* of the concept-context spiral of cultural negation. The resulting syntactic play with antecedent and consequent archetypes creates deviation from their prototypical expectations. To this extent, the prototypical play deviates from the conceptual identity of an antecedent-consequent archetype, but in a manner which does not subvert or bring into question the identity of the archetype.

The question of what such encoded, marked oppositions or prototypical deviations denote becomes the interpretative challenge of musical semantics. This act of interpretation—the 'generative' force of *level two* in *Example 1-1*—moves from the 'subversive' realm of *level two* to the *meta-semiotic* realm of *level three*. It is this shift which will begin to reveal the mechanism by which we can interpret meaning for *level two* subversion: the principal domain of Stravinsky's subversive, syntactic discourse.

Superordinate Level *Deadlock*: Diachronic and Synchronic Syntactic Subversion

The *matrix* region of syntactic subversion occurs on both diachronic and synchronic axes. The diachronic model of subversion in *Excentrique* (*Example 1-6i*) was that of a theme exhibiting a cadential identity. The diachronic axis is concerned with the development of phenomena through historical time; phenomena viewed from the perspective of their historical antecedents. Historically, theme and cadence have opposing functions grounded in their diachronic antecedents. The notion of 'themeness' signifies paradigms which are prepositional and open-ended. They carry with them a cultural expectation of annunciational characteristics, which demarcates them from transitional or closural passages. Thematic paradigms are pregnant with expectations: locational, registeral, narrative, orchestrational, textural, etc. 'Cadentiality', on the other hand, signifies paradigms which are conclusive and closural. Cadences manifest terminal characteristics and demarcate themselves from transitional or thematic passages. The encultured listener expects

a cadential paradigm to have a punctuative, rather than an annunciational or transitional function. In short, themes and cadences are weighted with cultural expectations which exist by virtue of the diachronic axis along which all phenomena are perceived and retroactively modified with every new instantiation.

All phenomena are simultaneously perceived in absence of any historical antecedents, as if what it signifies seems to have an always existing meaning. It is upon this synchronic axis that one can identify *Excentrique*'s 'unthemed accompaniment' (*Example 1-6ii*), as an interpretation made without reference to historical antecedents. Unlike the diachronic perspective, the interpretative focus here is not based on how the instantiation of accompaniment relates to all other historical instantiations of accompaniment; there are no diachronic comparisons of how the accompaniment epitomises or deviates from its antecedents. The interpretation does not make value judgements about the historical 'validity' of the accompanimental instantiation, and thus the 'accompaniment' of *Example 1-6ii* is not subversive because it fails to meet cultural antecedents of valid accompaniment, but because it occurs in the wrong place, devoid of any theme for it to accompany. The absence of theme generates synchronic subversion. Its paradigmatic units are 'out of sync.' with one another, and are thereby synchronically defective.

Stravinsky employs these two mechanisms of diachronic and synchronic subversion to generate *superordinate* level negation on *level two* of our cultural negation model. The resulting aesthetic impact of diachronic and synchronic subversion is deadlock. Deadlock literally translates as 'a state of affairs in which further action between two opposing forces is impossible'.[39] For Stravinsky, however, one must be careful to distinguish actual impossibility from what I will suggest is a deliberate strategy to create the illusion of impossibility—a mask or facade behind which a resolution of the opposition is attained. (This will become apparent in the ensuing semantic interpretation of cubist deadlock.) One such illusory, supposedly deadlocked opposition occurs in *Example 1-6* of *Excentrique*. A theme assuming the identity of a cadence presents a surface level gesture of deadlock. It encodes an schematic opposition which appears to be irresolute, at least within the given paradigmatic instantiation. The salient impact of diametrically opposed,

[39] *Collins Concise Dictionary Plus* (1989), s.v. "deadlock".

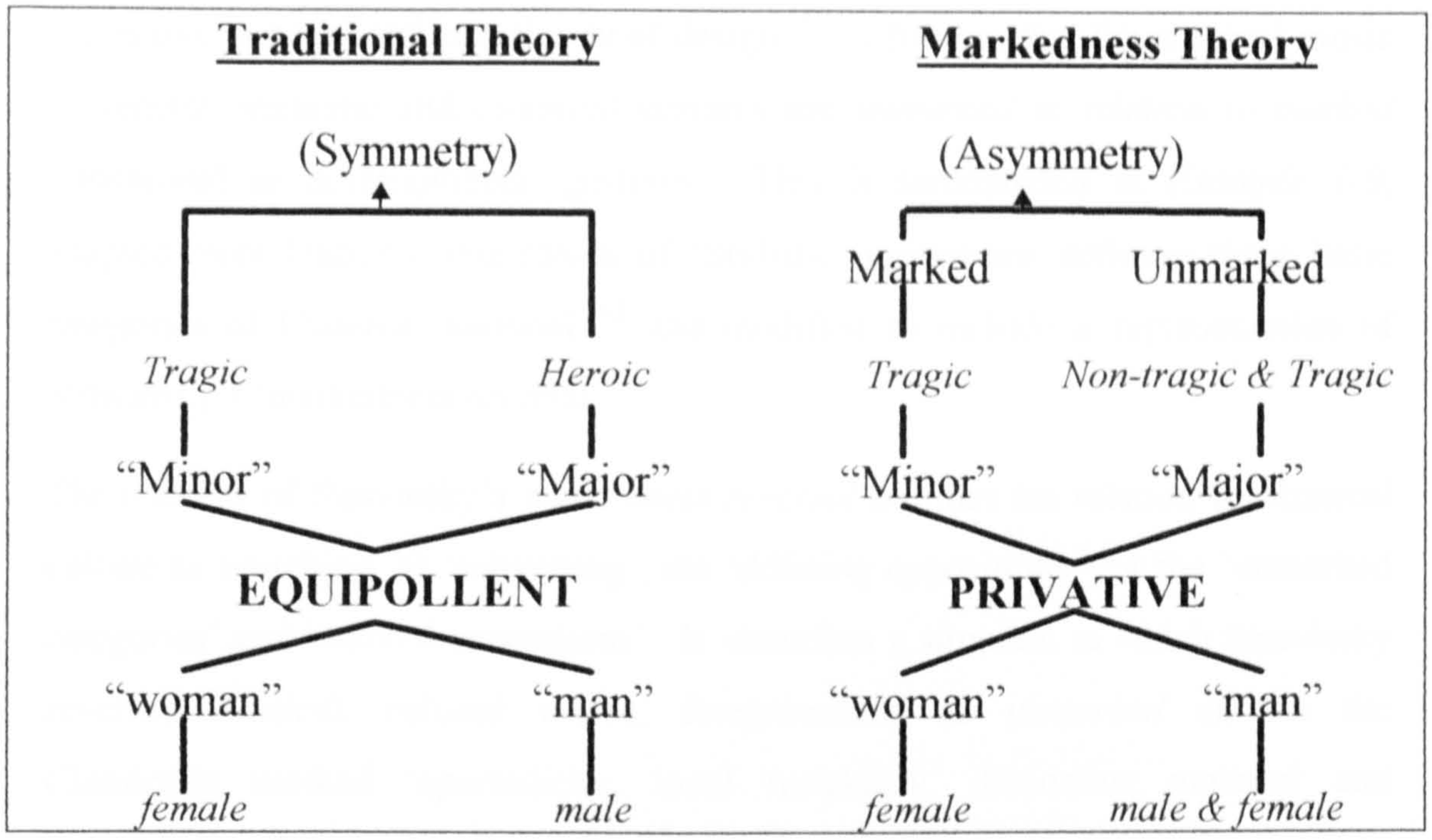
superordinate level deadlock comprises the dramatic premise of Stravinsky's cubist aesthetic. It is an illusory gambit which very precisely exploits the encultured implications of theme and cadence, suggesting the impossibility of any further action between the opponents. What is required is an analytical handle capable of uncovering this illusion and revealing the mechanism by which further—'narrative'—action is possible. Such a handle can be found in the theory of markedness.

Interpreting Deadlock with Markedness

To accept Stravinsky's gambit of deadlock, and see beyond the salient impossibility of the opposition, one is required to shift from the traditional view of opposites as 'equipollent' (equal or equivalent in significance, power or effect). Equipollent oppositions are characteristically symmetrical. The concept of 'man', for example, is deemed equally opposite to 'woman', as woman is to man. Markedness theory, however, actively seeks asymmetrical interpretations of oppositions, known as 'privative' oppositions. A markedness interpretation of the concept of 'woman' does not see it in its equipollent context as 'denoting' the female species, but in its pragmatic context of 'connoting' the absence of man. The opposition is perceived as asymmetrical because the term 'woman' is 'marked' by virtue of its narrower range of meaning; 'woman' is *marked* because it signifies the absence of man, whereas 'man' is *unmarked* because its wider range of meaning (i.e. when 'man' means 'mankind') refers to both men and women.

Hatten proposes two examples of how classical period music might be interpreted through marked oppositions.[40] i) Major-minor oppositions display asymmetricality on the grounds that the *marked* minor tonality is reserved exclusively for expressing the 'tragic' or 'poignant' genre, whereas the *unmarked* major tonality expresses the whole spectrum of genre from the 'comic', 'heroic' and 'pastorale' to many others, including the 'tragic' and 'poignant' themselves. This and the above linguistic example are summarised in *Example 1-8.*

[40] Hatten, *Musical meaning in Beethoven*, 36 and 115-117.



Example 1-8: Equipollent and Privative Oppositions

Stravinsky's *Markedness Reversal*

		Defining Oppositions		
	Unmarked Categories:	Periodic	Tonally Stable	Conventional Material
	Marked Oppositions:	Aperiodic	Tonally Unstable	Distinctive Material
MATERIAL	Thematic/Presentational	Periodic (longer)	Stable (relatively)	Stable (relatively)
	Transitional/Development	Aperiodic	Unstable	Distinctive (complex)
	Cadential/Closural	Periodic (shorter)	Stable (extremely)	Conventional

Example 1-9: Stylistic Oppositions in Classical Material

ii) 'Stylistic markedness' proposes that classical music is stylistically *unmarked* when it exhibits 'periodicity, tonal stability, conventional material and clarity of design'. In contrast it is *marked* when it exhibits 'aperiodicity, tonal instability,

distinctive material and complexity of design'.[41] It follows that for classical music in general, thematic and cadential gestures are *unmarked* in relation to *marked* transitional or developmental gestures. This is summarised in *Example 1-9*, adapted from Hatten's illustration of 'Stylistic oppositions defining three basic categories of Classical material',[42] and modified to include a representation of Stravinsky's 'markedness reversal'.

The concept of Stravinsky's *markedness reversal* outlines his relation to classical culture as switching, or 'subverting', the 'defining oppositions' for the 'unmarked categories' and 'marked oppositions'. It describes a situation in which Stravinsky reverses classical, cultural norms, foregrounding as *unmarked* entities the Classically marked 'aperiodicity, tonal instability, distinctive material and complexity of design'. From the listener's classically encultured perspective, Stravinsky's *markedness reversal* encodes surface level 'distortion' as the syntactic premise of the composition. Of course, the assimilation-accommodation cycle soon accepts Stravinsky's classically deviant syntax as cubist normality (i.e. the *level one* contextual negation becomes a *level two* conceptual expectation on the concept-context spiral of cultural negation). Despite the audacity of the cubist aesthetic, the reversed cultural norms established by *markedness reversal* assume the role of stylistic norms, precisely because Stravinsky contextualizes them within the wider range of meaning. In the cubist aesthetic, 'periodicity, tonal stability, conventional material and clarity of design' assume the narrower range of meaning, and thus in the cubist climate of aperiodicity, tonal instability and distinctive material, it is periodicity, tonal stability and conventional material which become marked and demand interpretation. This reversal of marked and unmarked entities enables Stravinsky to create his illusion of deadlock. Where deadlocked surface gestures assume the status of unmarked syntactic norm, 'freedom of resolution'—which shatters the illusion of impossibility—becomes the marked, deeper 'reality' in need of semantic interpretation. It is this interchange between the unmarked illusion of deadlock and the marked interpretation of that illusion which makes it possible for some form of 'meaning' to be interpreted for Stravinsky's cubist aesthetic of

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[41] See Hatten, *Musical meaning in Beethoven*, 117.

[42] Ibid., 116.

superordinate subversion. This interpretation is the key to removing the mask of deadlock, reached by the acceptance of Stravinsky's subversive gambit.

The deadlock aesthetic, then, is one which is hallmarked as music which deconstructs itself through the interplay of marked oppositions. Ultimately any inferred meaning will be interpreted through drama conceived as an act of mediation between the play of 'marked' oppositions.

'Multivalency': Natural/Cultural Archetypes and Style Based Noncongruence

The neoclassic aesthetic of *basic* level deviation can also be understood as music which deconstructs itself, this time through the interplay of multivalent prototypical structures. The mechanism for interpreting multivalency resulting from *basic* level deviation is prototypicality theory. *Example 1-7* outlined Stravinsky's deviation on both the diachronic and synchronic axis of Oedipus' aria. Diachronically, Oedipus and the clarinets embodied simultaneous, conflicting models: the former a consequent, the latter an antecedent phrase structure. This simultaneity negates the encultured expectation of both antecedents and consequents as defined by their historical archetypes. Following the 'cadential theme' strategy employed for *Excentrique*, one might argue that *Figure 16–16*^{4} of *Example 1-7* represents a 'consequential antecedent'; this might suggest a deadlocked aesthetic with its inherent need for mediation through markedness theory. There is a strong case for this argument, indicative of the overlap of cubist and neoclassic aesthetics; the fundamental distinction, however, is that *Excentrique*'s deadlocked oppositions of paradigmatic 'matrices' occurs on the *superordinate* level, whereas the less extreme oppositions of Oedipus' schematic 'models', occur on the *basic* level. Oedipus comes under the aesthetic of prototypical play because the negation is merely of the 'prototypical', historical archetype (perceived through the diachronic axis) of an antecedent phrase, and not of the concept of 'antecedentiality' itself (to coin a somewhat awkward neologism!). At *Figure 16-16*^{4}, Oedipus exhibits an almost prototypical consequent phrase (but for the additive duration of onset, it is an exact replica of his actual consequent phrase of *Figure 16*^{5}*-17*^{2}); he does so, however, in an environment in which he is divorced from his surroundings. Although Oedipus' phrase is diachronically out of sync., (i.e. the wrong model for its location), it does

not form a diametric opposition with the otherwise diachronically acceptable antecedent which makes up *Figure 16-16*[4]. Unlike a cadential theme, we do not perceive a dialogical impossibility, but simply a deviation from the prototypical norm of an antecedent phrase, perceived through the diachronic axis. Oedipus' consequent phrase, in an otherwise antecedent environment, therefore, exhibits a qualitative difference from the effect generated by *Excentrique*'s cadential-theme. The former occurs on the *basic* level of *model* interaction, the latter, on the *superordinate* level of *matrix* interaction. With the former, one perceives the interaction of opposing *models* occurring within a single *matrix* (theme) whereas the latter is perceived through the assimilation of two opposed matrices (theme and cadence). *Matrix* assimilation generates a crisis of identity, constituting the cubist aesthetic of deadlock. *Model* interaction generates prototypical deviation within those models, constituting the neoclassic aesthetic of multivalency. This plays with and questions the identity of those models, without ever throwing them into the same identity crisis which occurs on the *superordinate* level. It is an instance of precisely what we have already defined as the negation of a prototypical model by the multivalent interplay of conflicting models, i.e. 'multivalent *model* negation'.

As well as the diachronic opposition between antecedent and consequent, Oedipus' aria also embodies the synchronic opposition between Oedipus' and the clarinets' *Urlinie-Ursatz*. In *Excentrique*'s paradigm of synchronic subversion (*Example 1-6ii*), the function of accompaniment—as a supporting role to theme—is negated by the absence of theme. This raises the question of function in the *Urlinie-Ursatz* relationship. Without digressing into the critique of Schenkerian music theory which a full answer to this question demands, it is safe to define this function in the loosest possible sense as vertical harmonic support defining a horizontal melodic line. This function is outlined by the relationship of the clarinets' *Urlinie* to the bassoons and cellos' *Ursatz*. Admittedly, there is a degree of dislocation between their respective structural notes (represented by the diagonal lines of *Example 1-7*), but that dislocation assumes such a fixed identity[43] that it becomes an unmarked mechanical formula requiring little interpretative decoding. This regularly

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[43] Fixed identities of dislocated events are a *locus classicus* of Stravinsky's technique. Examples of the 'regularly irregular', or of 'synchronised dislocation', belong to a long established tradition of Stravinskian literature, epitomised by van den Toorn's discussion of 'fixed metric identity', van den Toorn, "Stravinsky re-barred," 165-95.

recurring, fixed identity is maintained throughout the section with the exception of its last instantiation (*Figure 17*[2]). This deviates (represented by the reversed diagonal line) to mesh with the cadential synchronisation of the consequent phrase.

Fixed dislocated identity of structural notes aside, the clarinets' *Urlinie* is in sync. with the *Ursatz*. The synchronic deficiency of this aria, however, manifests itself through Oedipus' *Urlinie-Ursatz* lack of synchronisation, for there is little or no conformant meshing of Oedipus' *Urlinie* with the *Ursatz* to which the clarinet has so neatly tied itself. Just as *Excentrique*'s 'unthemed accompaniment' negates the supporting function of accompaniment, so too the clarinets' *Urlinie-Ursatz* relationship negates the supporting function of *Ursatz*, which Oedipus' *Urlinie* so desperately needs. (The semantic implications of this synchronic lack in the aria are self-evident. Oedipus' name means literally 'swollen foot', and a metaphoric representation of his deficient feet is encoded in this lack of bass harmonic support.)

Again the question must be asked: why invoke the interpretative mechanism of prototypicality over markedness theory? What is 'less extreme' about this form of *basic* level opposition? Firstly, the nonconformance of Oedipus' *Urlinie* does not establish a 'conceptual' opposition to the clarinets' *Urlinie* model, but rather a conflicting interference within a single *matrix*; it is a prototypical negation by multivalent instantiations of conflicting models. Secondly, the interplay of conflicting models gives the appearance of models which have deviated from their prototypical instantiations without negating the 'concept' of those models. The conceptual identities of the 5–4–3–2–1 *Urlinie* and antecedent-consequent models are not bought into question; there is no crisis of conceptual identity indicative of *superordinate* subversion. Two parallels help to elucidate this distinction between the *superordinate* and *basic* levels of play. The first entails deconstructing a 'criticism' waged against Stravinsky in Lambert's famous analogy of 'time travelling' 'pastichers'.

Constant Lambert draws an almost proto-semiotic analogy in his criticism of Stravinsky as a 'post-war pasticheur', a charge specifically made against *Pulcinella*. His metaphor of 'time-travelling' aptly reflects the concept of 'markedness reversal' whilst providing a material analogy which distinguishes the aesthetic

regions of play. It is well worth citing in full, although the final sentence is the focus of the analogy.

> *Pulcinella* combines the chic of to-day with the chic of the eighteenth century-always a safe period to consider 'good taste'. Yet there is something touchingly naïve about Stravinsky's attitude towards Pergolesi. His thematic material is all there for him, he does not even have to vamp up a pseudo-Russian folk song, and yet by giving the works a slight jolt, so to speak, he can make the whole thing sound up to date and so enjoy the best of both worlds. The jolt he gives the machine consists, on the whole, in a complete confusion between the expressive and formal content of the eighteenth-century style. In Stravinsky's adaptation the expressive element is treated in a mechanical way, and purely conventional formulae of construction are given pride of place. Like a savage standing in delighted awe before those two symbols of an alien civilization, the *top hat* and the *pot de chambre*, he is apt to confuse their functions.[44]

Although aimed at the neoclassic aesthetic, Lambert seems to have put his finger directly on the notion of cubist markedness reversal. This is evident when one realigns the criticism to the subversion of *Excentrique*. 'The expressive element [theme] is treated in a mechanical way [assumes the repeated gesture of cadentiality], and purely conventional formulae of construction [cadential and accompanimental gestures] are given pride of place [thematized to the perceptual foreground]'. Stravinsky adopts this stance of a 'savage' in 'delighted awe' when confronting 'symbols' of an 'alien civilisation' to create genuinely progressive compositions, working within the framework of culturally acceptable limitations. (The use of the word 'symbols' does little to hinder any proto-semiotic reading of Lambert's critique.) It is exactly this (albeit deliberate in his case) 'confusion of functions' of 'civilised [read 'cultural'] symbols' which underlines Stravinsky's markedness reversal. To help locate this analogy within Stravinsky's *aesthetic regions of play*, Lambert's analogy is summarised in *Example 1-10*. The column headed 'Levels of Play' refers to Rosch's examples of category organisation, from which the terms are taken.

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[44] Constant Lambert, *Music Ho! A study of music in decline*, Revised ed. (London: Faber and Faber, 1937), 50.

Semiotic Confusion	**Musical Salience**	**Levels of Play** (Rosch's terms)	**Paradigmatic Unit** (*Regions of Play*)
Paradigmatic Associations *Retainment (water) Repellent* *(Container vs. Clothing)* ∩ ∪ vs. Function Switch	**Foreground** In the same manner that *theme* appropriates *cadence*, so too retaining *(container)* appropriates repelling (*clothing*).	**Superordinate** (e.g. Furniture)	***Matrix*** (Built from models)
Cultural Associations *(Pot vs. Hat)* Down/Below vs. Up/Above Utensil vs. Attire	**Middleground** Wearing a chamber pot on one's head and keeping a top hat under one's bed deviates from the prototypical hat or chamber pot.	**Basic** (e.g. Chair)	***Model*** (Built from minutia)
Natural Associations *(Chamber Pot vs. Top Hat)* Private vs. Public Indoor vs. Outdoor Introversion vs. Extroversion Primitive vs. Sophisticated Asexual vs. Masculine Acultural vs. High Culture	**Background** Confusing these two symbols of civilisation negates certain natural implications. A chamber pot is used in private, whereas a top hat is worn in public. One is kept indoors, the other used only outdoors, etc.	**Subordinate** (e.g. Kitchen Chair)	***Minutia*** (Building blocks for paradigmatic units)

Example 1-10: Lambert's Analogy and the Levels of Perceptual Obviousness

The second parallel distinguishing *basic* level from *superordinate* level negation relates to the twentieth century visual art world and can help to explain the perceptual challenge to conceptual identity which exerts itself through the 'shock tactics' of *superordinate* negation. In defining cubism, Rosenblum states:

> For the traditional distinction between solid form and the space around it, Cubism substituted a radically new fusion of mass and void....Cubism offered an unstable structure of dismembered planes in indeterminate spatial positions...no single interpretation of the fluctuating shapes, textures, spaces, and objects could be complete in itself[45]

This definition goes some way to explain why I categorise *Excentrique*'s aesthetic as cubist. The notion of 'dismembered planes in indeterminate spatial positions' perfectly describes *Excentrique*'s play with the 'plane' of thematic identity. The opening cadential-theme is spatially indeterminate because it paradoxically confuses one's expectation of an opening paradigm. It establishes a nihilistic (death of the theme) attitude from the outset, rendering the listener unsure of the

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[45] Robert Rosenblum, *Cubism and twentieth-century art* (New York: Prentice-Hall, 1976), 9, cited Watkins, *Pyramids at the Louvre*, 229.

spatial relations of the work. Nowhere is this clearer than the synchronic subversion of the unthemed accompaniment; another paradoxical confusion of spatial relations generated by 'dismembered planes'. The contrasting neoclassic aesthetic (as found in *Oedipus Rex*) does not so much dismember planes with paradoxical spatial relations, as deviate from prototype planes in a manner rendering spatial relations ambiguous but not paradoxical. (The cubist metaphor is discussed at length in chapter two; this brief mention of it is sufficient to suggest that deadlocked negation is not exclusive to Stravinsky's aesthetic but is a common preoccupation in twentieth century art.)

The aesthetics of neoclassic *multivalency* and cubist *deadlock*, therefore, distinguish themselves in terms of their aesthetic regions of play, as outlined in *Example 1-4*. What is not yet apparent is how to interpret beyond the illusion of multivalency. Just as deadlock embodies the illusion of impossibility—an illusion exposed through the interpretative mechanism of markedness theory—so too multivalency embodies the illusion of 'irreconcilable conflation'. The mechanism by which we can understand this illusion of *multivalency* is 'prototypicality theory', and the interpretative means of decoding the illusion can be found in 'dialogical models'.

Interpreting Multivalency with Prototypicality

Whereas markedness theory dispelled the illusion of 'impossible opposition' presented in the aesthetic of deadlock, prototypicality theory debunks the inherent illusion of 'irreconcilable conflation' manifest in the aesthetic of multivalency. The seeming conflation of Oedipus' aria (*Example 1-7*), can be reinterpreted as a problem of categorisation. One must examine the grounds by which certain paradigmatic or syntagmatic musical features are allocated to the particular *basic* level models with which Stravinsky appears to be playing. For *Example 1-7*, these models were identified as the 'antecedent-consequent' and '*Urlinie-Ursatz*'. The question arises as to what the principles are which govern membership of those *basic* level models/categories of musical discourse; this can be answered using the perspective of Lakoff's discussion of 'radial categories'.[46]

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[46] Lakoff, *Women, fire, and dangerous things*, 91-114.

Radial categories exhibit prototype effects because their conception of category membership is based on varying degrees of centrality. Such a principle clearly flies in the face of the 'classical' understanding of category membership, which is based on *absolute* membership: something either is or is not a member of a particular group. Lakoff defines the occurrence of prototype effects in radial categories as a situation in which: 'less central subcategories are understood as variants of more central categories....they are comprehended via their relationship to the central model.'[47] The 'central model' is an explicit reference to the 'prototype': a specific instantiation which epitomises the highest 'goodness-of-example' rating for that particular category. In *Example 1-7*, the prototype will be a specific instantiation of 'antecedent-consequent' and '*Urlinie*' structures which best substantiates these structural categories. These are not ideal conceptions of a hypothetical 'best example' but concrete instantiations. In making this distinction, care must be taken not to confuse 'prototypes' with Weber's notion of 'ideal types'.[48] The fundamental difference is simple: the former exists as a concrete reality, the latter as an ideal concept. Weber makes this distinction clear in formulating his concept which outlines a caveat against the semiotic interpretation of cultural significance based on anything other than ideal types.

> the practical idea which should be valid or is believed to be valid and the heuristically intended, theoretically ideal type approach each other very closely and constantly tend to merge with each other. [However]...the historian as soon as he attempts to go beyond the bare establishment of concrete relationships and to determine the cultural significance of even the simplest individual event in order to 'characterize' it, must use concepts which are precisely and unambiguously definable only in the form of ideal types.[49]

Weber's caveat need not deter one from making judgements concerning cultural significance based on prototypes. Semiotic discipline is not concerned with interpreting sign-scapes according to 'Utopian' concepts which have become divorced from their concrete domains of experience. Similarly it is not concerned with a 'one-sided emphasis of several aspects of concrete occurrences' (see

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[47] Lakoff, *Women, fire, and dangerous things*, 91.

[48] Rolf E. Rogers, ed., *Max Weber's ideal type theory* (New York: Philosophical Library, inc., 1969).

[49] Max Weber, "Max Weber," in ibid., (chapter taken from *Aufsätze zur soziologie und sozialpolitik* (1924)), 27, 19.

footnote 50, below), but rather aims to reveal, or to decode, the whole network of concrete occurrences which govern our interpretative interaction with concrete (musical) phenomena. Both of these 'un-semiotic' attributes of the ideal type are described respectively by Theodore Abel and Talcott Parsons in their own deconstruction of Weber's theoretical construct. 'An Idealtypus (*ideal type*) is built by means of a one-sided emphasis and intensification (*Steigerung*) of one of several aspects of a concrete occurrence, and represents a uniform mental structure (*Einheitliches Gedankengebilde*).'[50]

> it is a construction of elements abstracted from the concrete, and put together to form a unified conceptual pattern. This involves a one-sided exaggeration (*Steigerung*) of certain aspects of the concrete reality, but is not to be found in it, that is, concretely existing except in a few very special cases, such as purely rational action. It is a Utopia.[51]

The key point is that one assesses *basic* level subversion according to deviation from models perceived as concretely existing instantiations. Prototypes are the basis of an interpretation of Stravinsky's neoclassic play, not the Utopian, one-sided exaggerations of 'ideal types'.

How, then, do the prototype effects of radial categories debunk the facade of irreconcilable conflation in an aesthetic of multivalency? The illusion can be shattered with an interpretation of multivalency as a *dialogue* between prototypes. Dialogical interpretative strategies uncover a narrative between conflicting models; these models can be perceived as 'categories' whose membership criteria are assessed according to prototype evaluations. In other words, *basic* level models are interpreted as perceptual reference points, or cues, which encode themselves into the musical script as members of 'radial categories' with prototypical centres.

To see how this works, one needs to follow Lakoff's principles for constructing a model of motivation; that is, one needs to explore the relationship between 'less central' and 'prototypical' members of a given category—our *basic* level musical

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[50] Theodore Abel, "Theodore Abel," in *Max Weber's ideal type theory*, Rogers, ed., (chapter taken from *Systematic sociology in Germany* (1929)), 41, paraphrasing Max Weber, *Wirtschaft und Gesellschaft*, Second ed., 2 vols. (Tübingen: J. C. B. Mohr (P. Siebeck), 1925), 190.

[51] Talcott Parsons, "Talcott Parsons," in ibid., (chapter taken from Book review of Alexander von Shelting's "Max Webers Wissenschaftslehre," (1936)), 57.

model—to see what motivates the inclusion of less central members in their salient categories. In the case of *Example 1-7*, one must question the motivation behind the referential antecedent-consequent and *Urlinie-Ursatz* models because the level of syntactic dislocation encoded in the music places Oedipus' aria in a radial relationship to its prototypical counterpart. What motivates this connection of less central to prototypical model? Lakoff suggests that the key point concerning motivation is to 'learn which domains of experience are relevant' when it comes to 'chaining' a less central member to its most typical instantiation. Establishing the relevancy of experiential domains is perhaps the key task of semiotic analysis. Crucially (semiotic) motivation is not about predicting exactly what belongs to which category[52] but identifying general principles (the 'signifiers') which make sense of the classifications we interpret (the 'signified').

Lakoff's ideas on prototypicality come from the perspective of ethnological linguistics. Specifically, he attempts to 'decode' the system of classification upon which the Aboriginal language of Dyirbal is structured through a basic schema proposed by Dixon.[53] Dixon divided the linguistic organisation of Dyirbal into four categories: *Bayi* (men & animals); *Balan* (women, fire and dangerous things); *Balam* (non-flesh food); and *Bala* (parts of the body and everything excluded from the other classes). (The descriptions in brackets refer to the most central members of each category.) Lakoff's observations concerning the function of radial categories are summarized in *Example 1-11*.

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[52] If motivation was concerned with predicting rather than making sense of classifications, then reasoning based on 'ideal types' might well be of more use than prototype reasoning, since a one-sided emphasis of a concrete instantiation is always easier to match against another instantiation than when the central model is based on a multifaceted apprehension of the instantiation. This is precisely the reason why so much economic theory is based on reasoning which proceeds from 'ideal types'. The one-sided emphasis generates stereotypical models which do not exist in any concrete reality, but sufficiently simplify the otherwise complex, multivalent network of interactions so that the task of predicting motivations becomes manageable.

[53] R. M. W. Dixon, *Where have all the adjectives gone?* (Berlin: Walter de Gruyter, 1982), cited Lakoff, *Women, fire, and dangerous things*, 92.

Principle Feature	Explanation	Dyirbal Example
Centrality	Classifications comprise central, and less central, members	Fire = Central Hairy Mary Grub = Less central
Chaining	Central members are linked to other members which link to further members	Fire → Heat → Sun → Sunburn → Pain/Sting → Hairy Mary Grub
Experiential Domains	Domains (often culture specific) characterise links in category chains	Experience of Hairy Mary Grub sting evokes sunburn
Idealised Models	Myths and beliefs characterise links in category chains	Myth that old ladies' souls become crickets
Specific Knowledge	Knowledge of mythology overrides general knowledge	Myth of crickets overrides knowledge of species
The Other	Conceptual systems often embody an 'everything else' category	These are obviously devoid of central members and chaining principles
No Common Properties	Categories are not defined by common properties, although they play a role in characterising basic schemata within a given category	'Women' are not 'fiery', 'dangerous' things. [54]
Motivation	General principles make sense of classifications but do not predict what the categories will be	Fish live in water, but water and fish do not belong to the same category

Example 1-11: Lakoff's Principles of 'Radial Categories'

Three of Lakoff's examples illustrate the principle that motivation makes sense of, rather than predicts, types of classifications:

i. Fish live in water, but water (*balan*) and fish (*bayi*) are in separate classes. In this instance, species, rather than habitat, is the relevant domain of experience which motivates the categorisation of fish. (This could not have been predicted in advance.)

ii. One might predict that the 'Hairy Mary Grub' (a type of invertebrate) would be classified with other animals (*bayi*), but it has a sting which feels like sunburn and is classified accordingly with fire (*balan).* In this instance, species is an irrelevant domain of experience. Instead the motivation comes from 'chaining' the sensation of pain, induced by the sting, with the sensation of sunburn. In turn this is chained to an understanding of sun as a source of heat which is ultimately 'chained' to its origins of fire. Again, this makes sense of the categorisation but

[54] Interestingly the positive curiosity which Lakoff's title—*Women, Fire, and Dangerous Things*—engendered among the feminist movement (and for that matter is engendered in the majority of (Western) people confronted by the title) confirms the Westernised cultural preoccupation with a belief in categorisation defined by common properties. The implication the title evoked for the feminist movement was that a single category encompassed all three elements of the title i.e. 'women' shared common properties with 'fire' and 'dangerous things': a notion of undoubted utility for the feminist movement. Its utility is weakened, however, by the realisation that their mutual categorisation is not to do with any common properties but their function as prototypical, referential centres in a system of radial categorisation. My own empirical observations support this notion of curiosity stemming from a belief in common properties; visitors to my study instinctively remove *Women, Fire, and Dangerous Things* from the bookshelf with interest. Upon hearing the explanation of prototypicality, however, interest invariably wanes, as it is met with the response: "I thought it meant....".

it could not have been predicted in advance, especially given that species has already been seen to function as a valid domain of experience for the classification of words.

iii. Another example of the irrelevance of species occurs in the classification of 'crickets' which, for Dyirbal tribes, have mythological associations with the souls of old ladies. Their relevant domain of experience for classification, therefore, is with women (*balan*). Once again the unpredictability of motivation reveals itself. This time it is not motivation based on the crickets' species, or the sensation of pain it induces, but motivation based on its mythological status.

What bearing does this have on categorising the musical features of *Example 1-7* into their *basic* level *model* structures? How can one reveal a mechanism, or conceptual model, by which Oedipus' aria can be understood as being based on radial structures? To answer this, one must attempt to interpret the aria in a similar manner to that by which Lakoff interprets Dyirbal classifications. This requires a description of the conceptual systems according to five essential principles:

i. A *base model* is defined, outlining the categories on which the conceptual system is forged.

ii. A specification is given as to which *subcategories* comprise *prototypes* for the base categories.

iii. A basic *opposition model* must be established, structuring these prototypes with respect to one another

iv. A *specification of chaining principles* is constructed (the most overtly semiotic procedure), comprising a 'domain of experience principle' and a 'list of domains relevant for categorisation'.

v. A *list of exceptions* to the normal principles of categorisation must be addressed and distributed according to the basic opposition model (i.e. would otherwise go in category 'x').

Example 1-12 identifies these five interpretative tools for conceptual systems, and compares Lakoff's Dyirbal organisation with my proposed framework for Oedipus' aria.

Tools of Interpretation	Dyirbal System Interpreted	Oedipus' Aria Interpreted
Base Model	4 distinct, mutually exclusive categories. The 4th contains anything not included in the other three: *Bayi, balan, balam, bala*	2 distinct categories:[55] *Fate (Extra-Oedipus)* & *Hubris (Intra-Oedipus)*
Specification of Prototypes	*Bayi*: Human males, animals *Balan:* Women, fire, dangerous things *Balam*: Non-flesh foods *Bala*: no prototype	*Fate*: Antecedent-Consequent, *Urlinie-Ursatz* synchronisation *Hubris:* Consequent-consequent, *Urlinie-Ursatz* dislocation
Opposition Model	e.g.) Male contrasts with female; non-flesh foods with animals, etc.	i) Antecedent contrasts with consequent (Diachronic Axis) ii) Synchronisation contrasts with dislocation (Synchronic Axis)
Specification of Chaining Principles	e.g.) Myths, fishing, danger	e.g.) Control, mechanisation, associational (clarinet = portent of doom) mythical (*Oedipus* = play thing of Gods) physiological (*Oedipus* = swollen foot, lameness)
List of Exceptions	would otherwise go in category x	n/a (see *footnote 55*)

Example 1-12: Oedipus - Dyirbal Interpretation Comparison

The 'specification of chaining principles' provides the target for, and indeed evokes the greatest need for, semiotic interpretation. The justification for making associative judgements connecting narrative implications to *basic* level, musical *model* prototypes is found in the semiosis of the chaining principles. Syntagmatic and paradigmatic chains of associations generate the grounds of connectivity between the less central, seemingly abstract, musical events and the prototypical centres to which they refer. It is this referentiality which Stravinsky exploits when he plays with prototypes in the neoclassic aesthetic of multivalency.

Underlying Lakoff's argument is the hypothesis that classical theory—claiming that all categorisation is either 'predictable' or 'arbitrary'—is inadequate because it ignores the possibility of the third choice: that it is 'motivated'. Motivations govern the extension of a category's 'central cases' (concrete *basic* level objects such as those identified in Oedipus' aria) to 'less central cases'. Lakoff proposes two main tools of extension: *image-schema transformations* and *metonymy*. If *image schema transformations* can be found to motivate the extension of *intra-* and *extra-Oedipus* categories 'from' our prototype models of antecedent-consequent and *Urlinie-*

[55] A third, 'other than', category is not required since—as this would lack prototypical and motivational concepts—it would play no part in the narrative dialogue.

Ursatz 'to' other elements of musical discourse, then it would be possible semiotically to justify encoded signs through which the music connoted some form of meaning. The category of *intra-Oedipus* is understood by its subtitle: 'hubris'. Oedipus believes himself to be a powerful King based on his successful defeat of the sphinx. He is in no doubt of his own ability to respond to the imploring people ('serva nos'). I have already demonstrated how Oedipus' musical line deviates from the antecedent-consequent (diachronically) and *Urlinie-Ursatz* (synchronically) to become a non-prototypical member of these two categories. Desynchronisation itself exhibits a degree of 'self-assurance' in breaking free from the constraints of synchronised model conformance. It seems reasonable to interpret Oedipus' dislocated line as an *image-schema transformation* of excessive pride or ambition; a portent of Oedipus' ultimate ruin. The analytical tools justifying this interpretation are best understood as the interaction of various mechanisms:

i. Concrete musical elements emit perceptual signals which evoke the *basic* level models of antecedent-consequent and *Urlinie-Ursatz* to the perceiver's decoding interpretation.

ii. These signals function in two different dimensions: the diachronic and synchronic axes.

iii. A simultaneous affirmation and subversion of both axes is encrypted in the musical syntax in the inter-relation of Oedipus and the clarinets.

iv. An *image-schema transformation* occurs in which the musical 'images' are transformed to metaphorical 'schema' associations. This chains less central members (features of the musical discourse) to the *basic* level prototype models, thus assuming a motivation for their classification in the narrative discourse.

v. A narrative discourse gradually emerges from this process, based not on identifying common properties of the musical discourse, but on a system of motivations which justify these classifications.

From this interpretative standpoint, it is possible to infer meaning from the deviant musical instantiations confronting us. *Example 1-13* lists some of the *images*—

easily perceivable basic shapes or features—which can be understood as *transformations* of the *schemata* of synchronisation and desynchronisation.

Extra-Oedipus		**Intra -Oedipus**
'Fate'	**Schema**	**'Hubris'**
Controlled	(<= Constitution =>)	Loss of control
Synchronisation	↓ ↑	Desynchronisation
Antecedent-Consequent	(congruence ← Diachronic → subversion)	Consequent-Consequent
Urlinie married to Ursatz	(congruence ← Synchronic → subversion)	Urlinie divorced from Ursatz
(Clarinet)	**(Transformation)**	**(Oedipus)**
Mechanical		Lyrical
dotted rhythm		melismatic aria style
Angular contour	↓ ↑	Appoggiatura contour
'leaped-to' intervals		excessive neighbour note
Regularity		Irregularity
ostinato like repetition		diverse note durations
On-the-beat	↓ ↑	Off-the-beat
strict rhythm, structural		asymmetrical phrasing,
notes accented		structural notes displaced
Precision	**Image**	Imprecision
metronomic		affected

Example 1-13: Image-Schema Transformations in Oedipus' Aria

The 'image' oppositions residing between the clarinets' and Oedipus' lines are easily perceived. Clarinets embody mechanical gestures, seemingly objectivized angular contours, regularity of design, on-the-beat metric identity and a general feel of precision, while Oedipus' line prominently displays lyrical gestures, affected appoggiatura contours, irregularity of design, off-the-beat metric identity and a general feel of imprecision. Image-schema transformations motivate the extension of synchronised models to the 'mechanical' gestures of the clarinet and desynchronised models to the lyrical gestures of Oedipus' line. The *schema* of Oedipus' musical constitution as controlled 'fate' and out of control 'hubris' is semantically encoded in *images* of precision and imprecision.

Admittedly, there may appear to be a certain degree of circularity to this strategy of motivation as it is presented in this chapter. A critic might, for example, argue that I am simultaneously defining both axioms and results in what appears to be an arbitrary identification of *schema* to suit the *image* presented in the music. To contest this, however, I would argue that the 'motivation' behind this extension is culturally defined, supported by hermeneutic windows such as Stravinsky's preoccupation with classical Greek subjects; objective aesthetics overtly depicting 'control'; and mechanisation as a means of achieving 'control' (consider his

determined efforts to make 'definitive' recordings and transcribe his works for the Pianola[56]). Similar arguments for motivated extensions justified by the hermeneutic windows of Cubism, alienation, discontinuity and clowns will also be made (in chapter two) for *Excentrique.* To support these points here, however, would cause both a digression from the consideration of linguistic theory and pre-empt much of the work of chapters two and three.

Lakoff's second principle of motivation, *metonymy*, is outlined in his example of Japanese 'Hon'.

> The Japanese classifier *hon*, in its most common use, classifies long, thin objects: sticks, canes, pencils, candles, trees, ropes hair, etc. Of these, the rigid long, thin objects are the best examples [the most central members]. Not surprisingly, hon can be used to classify dead snakes and dried fish, both of which are long and thin. But *hon* can be extended to what are presumably less representative cases:
>
> –martial arts contests, with staffs or swords (which are long, thin and rigid)
>
> –hits (and sometimes pitches) in baseball (straight trajectories, formed by the forceful motion of a solid object, associated with baseball bat, which is long, thin, and rigid)...
>
> –rolls of tape (which unrolled are long and thin)
>
> –telephone calls (which come over wires and which are instances of the CONDUIT metaphor...)[57]

Clearly the principle of *image-schema* operates in the unifying long, thin dimensions of the objects of classification, which allow the extension of 'sticks' to 'unrolled tapes' or 'telephone wires'. Consider more closely, however, the extension of 'unrolled tape', i.e. functional tape. What happens here is that the functional dimension of tape is allowed to stand in for the object as a whole; this demonstrates what is known as *metonymic* reasoning, which here underlies the principle of classification. Examples of metonymic reasoning are prevalent in today's society. Lakoff cites the example of the 'unsafe' reputation which was attributed to the DC10 passenger aeroplane following a devastating and highly publicised crash, despite the fact that the long standing track record of the plane proved it to be one of the safest in the air. Clearly the public perception of the

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[56] For an enlightening discussion of these transcriptions the reader is referred to Rex Lawson, "Stravinsky and the pianola," chap. 17 in *Confronting Stravinsky: man, musician and modernist*, ed. Jann Pasler (Berkeley and Los Angeles, California: University of California Press, 1986), 284-301.

[57] Lakoff, *Women, fire, and dangerous things*, 104.

plane was based on metonymic reasoning in which they allowed one dimension of the plane—the highly publicised crash—to stand in for the plane as a whole. Metonymic reasoning has strong resonances with the ideal type as it was defined by Theodore Abel in the citation of *footnote 50*; 'a one-sided emphasis and intensification (Steigerung) of one of several aspects of a concrete occurrence' representing 'a uniform mental structure (Einheitliches Gedankengebilde)'. The question, then, is how metonymic reasoning can function in musical interpretation, specifically as a principle of motivation for the extension of prototypes in radial categories.

The answer, as suggested by *Example 1-7*, is that the structural 'constitution' of the *basic* level models stands in for the models as a whole for the sake of our classifications. In Oedipus' aria, models are simultaneously presented in their diachronic and synchronic, affirmed and subverted contexts of synchronisation and desynchronisation. The predominate part of the models—which appears to be standing in for the other aspects—is their function of constrained structural guidance. In other words, the models are valued solely by the influence they exert over the music as predetermined structural landmarks, against which the music is judged to be either in or out of sync. The application of *image-schema transformation* interprets this *metonymic* preoccupation with synchronisation of structural constraints through the notion of 'control'; thus the interaction of *image-schema transformations* and *metonymy* renders more than plausible an analytical interpretation of Oedipus' aria according to the metaphorical aspect of 'control', implied by synchronisation, and its opposite—loss of control—implied by desynchronisation. The image of the 'mechanical' clarinet comes to symbolise all that represents the 'control' from which Oedipus is divorced: he is powerless to help his people and is manipulated by the gods and governed by fate. Conversely, the *image* of the desynchronised, 'lyrical', Oedipal line comes to symbolise all that represents the 'loss of control' associated with Oedipus' predicament: the boastful but lame king. The musical instantiation therefore becomes interpretable as a dialogue between concrete musical evocations of conflicting models—chained to less central members of the same category—which, like marked oppositions, demands some form of interpretation.

Section 4 – Mediating the Narrative 'Play': Implications of the Model

Before turning to issues of semantic interpretation, a summary of the previously described theoretical mechanisms for identifying Stravinsky's syntactic play might be helpful. A number of interrelated models have been formulated in this chapter. Three *levels of cultural negation* were illustrated from two perspectives (*Example 1-1* and *Example 1-4*); the foundations of this tripartite model are built upon implication-realisation models, demonstrating how semiotic landscapes are based on cultural expectations. *Level one* relates to the 'negation' of data-driven expectations (conceptual parametric simplexes) by concept-driven interpretations (contextual parametric complexes). On *level two*, these 'negations' are reinterpreted as culture-specific, semiotic norms resulting from the countervailing process of 'generation'. It is on *level two* that Stravinsky instigates an entirely different form of cultural negation through his syntactic play; this occurs in two analytically distinct regions, which are identified in *Example 1-4* as generating so-called deadlock and multivalency. The linguistic theory of markedness suggests a viable mechanism for interpreting deadlock, and a cursory demonstration of this was given in two 'deadlocked' paradigms of *Excentrique* (*Example 1-6*): a 'cadential theme' and an 'unthemed accompaniment'. This I refer to as the cubist aesthetic. The related linguistic theory of prototypicality provides a mechanism for interpreting multivalency, as shown in a cursory demonstration of multivalent model conflation, found in Oedipus' aria (*Example 1-7*): a confusion of antecedent-consequent and linear-descent models. This is referred to as the neoclassic aesthetic.

The cubist aesthetic employs syntactic 'subversion' in the *matrix* region of schematic interplay (i.e. *superordinate* level musical schemata such as theme or cadence), emphatically leaving the listener with the illusion that mediation of the resulting opposition is impossible. The multivalent aesthetic, on the other hand, deals with syntactic 'negation' in the *model* region of schematic interplay (i.e. *basic* level musical schemata such as antecedent-consequent phrase structures). Its less salient, but still perceptible, impact creates the illusion that resolution of the conflated, opposed models is again impossible.

The task remaining in this theory establishing chapter is to identify the semantic mechanisms which are capable of dismantling these 'illusions'. This requires a shift to *level three* of the cultural negation model. Recalling the two perspectives of the tripartite model, these shifts represent the reinterpretative act of 'generation'. On the syntagmatic chain of events, as outlined in *Example 1-5*, this represents the second paradigmatic shift: the countervailing force to cultural 'negation' as it was represented in *Example 1-1*. The shifts are not merely positive ascriptions to negative values; rather, they symbolise the enculturation of negated norms into accepted syntax. In other words, within the climate of twentieth century culture markedness reversal and prototypical play have become accepted norms of musical discourse in their own right. They are no longer perceived as negations of cultural norms but have become newly established norms themselves, retrospectively interpreted as additions to a constantly modifying semiotic sign- or land-scape. Whereas the first shift represents the incorporation of 'style structures' into the semiotic landscape, the second shift represents the incorporation of syntactic play into a meta-semiotic landscape—'meta' because the signs defining this shift always occur in advance of the theory. At the point of defining this newly expanded sign-scape, it is mistakenly perceived as a new sign-scape, when it is in fact the encultured modification. of a vast and ever-expanding semiotic landscape. 'Negations' cease to be apprehended as such and instead become encultured norms in a newly salient sign-scape on the next *level*. Just as the shift from *level one* to *level two* embodied a Gestalt based sign-scape expanding to a cultural sign-scape, so the shift from *level two* to *level three* embodies a cultural sign-scape developing into a *supra-cultural*[58] sign-scape. The aesthetics of deadlock and multivalency become perceived as 'conceptual' norms on a supra-cultural level, and will themselves ultimately be interpreted through contextual negation, so generating meaning in a *meta-semiotic* realm.

Example 1-14 clarifies this by revisiting and revising *Example 1-1*, highlighting the coexistence of 'perception' and 'interpretation'. This represents the 'perceptual'

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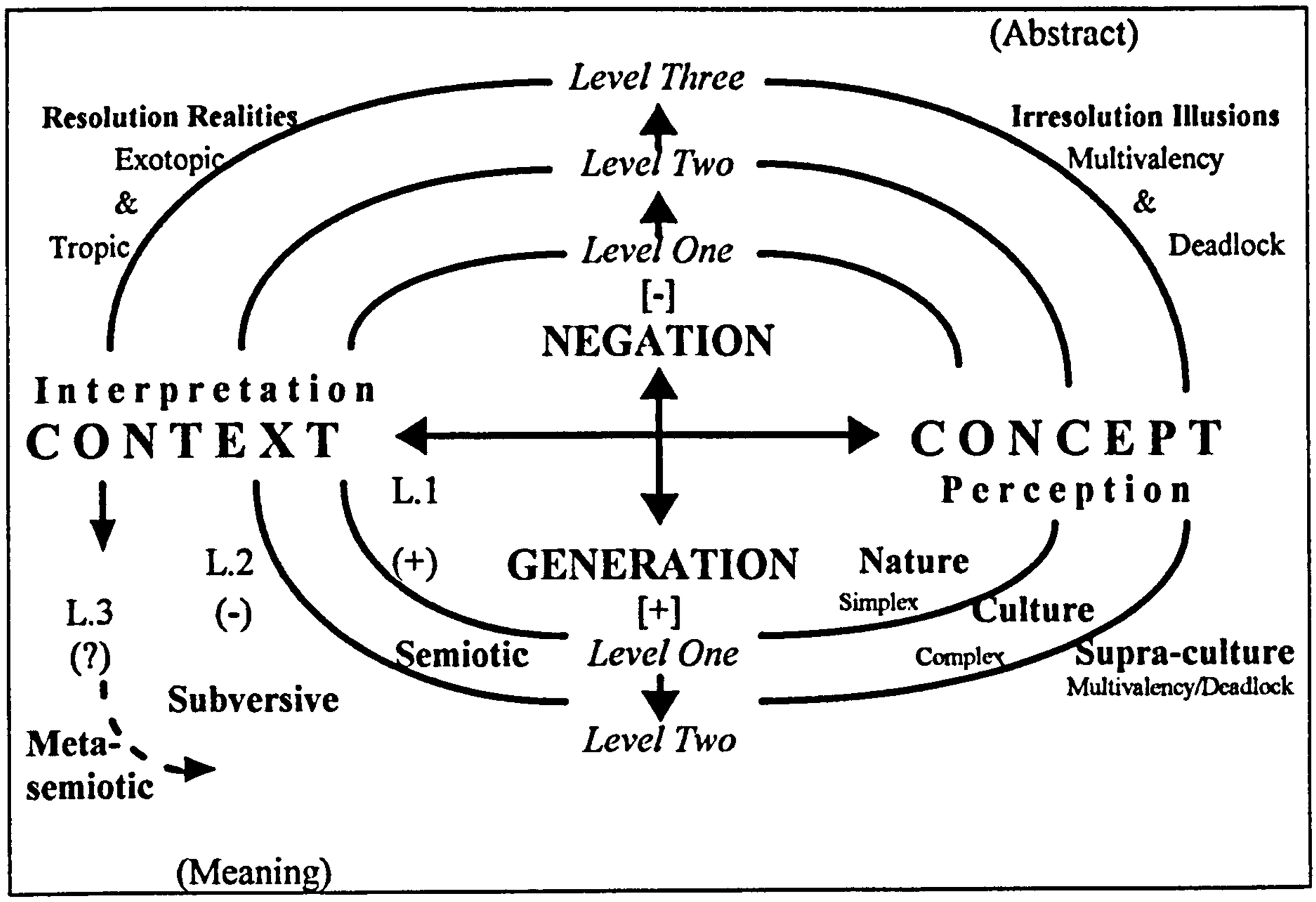
[58] The term supra-cultural is an artificial descriptive which should be treated with care on the basis of the semiotician's caveat that nothing can be 'beyond culture': all phenomena arise and are encountered within culture. The term is used to denote the delay between phenomena being perceived as negating cultural norms, and then becoming cultural norms themselves as a result of semiotic enculturation: i.e. the delay between negating and expanding a cultural sign-scape. Once the phenomena are perceived as expanding the cultural sign-scape, they cease to be supra-cultural and become a further part of this sign-scape.

syntagmatic process: the transformation from natural simplexes (*level one*) to cultural complexes (*level two*) to supra-cultural multivalent or deadlocked syntax (*level three*). It also represents the 'interpretative' syntagmatic process: the transformation from the *semiotic* to the *subversive* to the *meta-semiotic* realm. Multivalency and deadlock are situated on their *level three* 'conceptual' locations (outer north-east region), where their embodied oppositions give the perceptual illusion of irresolution. The countervailing mechanisms of interpretation—'tropic' and 'exotopic' (discussed below)—which demolish this illusion are situated on their *level three* 'contextual' location (outer north-west region)



Example 1-14: Context-Concept Spiral of Cultural Negation Revised

The remainder of this chapter focuses on how Stravinsky's *level three* conceptual norms of deadlock and multivalency are themselves negated by contextual interpretation; in other words, it evaluates how the inferences of musical meaning may remove the illusion of irresolute deadlock and multivalency. The negation of deadlock's 'illusion of impossibility', and of multivalency's 'illusion of irreconcilable conflation' is the task of *level three* of the cultural negation model. Here, these Stravinskian aesthetic norms must be so contextually interpreted as to deconstruct their established perceptual illusions of irresolute oppositions. To

achieve this interpretation entails considering some theoretical models for interpreting conflict. As has been the trend throughout this chapter, the separate aesthetics tend to draw on different models, although there is an inevitable degree of overlap. To deconstruct deadlock's illusion of impossibility, I employ Hatten's model of *troping* for interpreting marked oppositions. The suitability of the model for interpreting deadlock is evident from his definition of the concept: 'Troping akin to metaphor occurs when two different, formally unrelated types are brought together in the same functional location so as to spark an interpretation based on their interaction.'[59] Ultimately this form of interpretation will be linked to Bakhtin's notion of *heteroglossia* (lit. 'other voicedness'), his dynamic of dialogical structures in the literary novel.[60] This connects with another Bakhtinian concept, *exotopy*,[61] which I use for mediating, through dialogical models, multivalency's illusion of irreconcilable conflation. The detailed unpacking of these interpretative mechanisms is the task of later chapters, (chapter two, troping and chapter three, dialogism), but a cursory evaluation of their applicability to the theoretical models constructed in this chapter will serve to reinforce their location in the semiotic framework, prior to tying them to specific analyses.

Interpreting *Deadlock*: A *Tropological* Model

The discussion of Stravinsky's deadlocked aesthetic (see above) was concluded by the observation that deadlock had become the unmarked perceptual foreground, the surface appearance of Stravinsky's music, to such an extent that the 'freedom of resolution'—which would shatter its inherent 'illusion of impossibility'—resides only as an 'inferred deeper reality', which cannot be defined unless by a creative act of interpretation which marks it out for the listener's attention. This interchange between the unmarked illusion of deadlock and the marked deconstruction of that illusion necessitates an act of mediation, through which some form of 'meaning'

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[59] Hatten, *Musical meaning in Beethoven*, 295.

[60] See Michael Holquist, ed., *The dialogic imagination: four essays by M. M. Bakhtin* (Austin, TX: University of Texas Press, 1981), trans. Caryl Emerson and Michael Holquist.

[61] Nancy Glazener locates Bakhtin's discussion of exotopy in his as yet untranslated 'Author and hero in aesthetic activity'. Nancy Glazener, "Dialogic subversion: Bakhtin, the novel and Gertrude Stein," in *Bakhtin and cultural theory*, Ken Hirschkop and David Shepherd, eds. (Manchester: Manchester University Press, 1989), 109-29. It is also referred to in Tzvetan Todorov, *Mikhail Bakhtin: the dialogical principle* (Minneapolis: University of Minnesota Press, 1984), trans. Wlad Godzich, 99, and Gary Tomlinson, *Music in renaissance magic: toward a historiography of others* (Chicago and London: The University of Chicago Press, 1993), 31.

can be interpreted for Stravinsky's *superordinate* level syntactic subversion. Hatten suggests that this type of mediation could take the form of metaphor, or its musical equivalent: troping.

> Troping yields a synthetic specificity of meaning that is at the same time more complex and more peculiarly distinctive—a radical reinterpretation of the "narrower" range of meaning that markedness entails....When there are contradictions between juxtaposed correlations or their divergent realms of meaning, then conditions are ripe for a truly metaphorical interpretation.[62]

Correlative and *Metaphoric* Meaning

In *Excentrique*, syntactic subversion manifests itself through what chapter two will refer to as a *death of the theme* strategy. Diachronically this is exhibited by a cadential gesture in a thematic location, and synchronically by an accompanimental gesture in a thematic location devoid of thematic material. To attempt to infer meaning from these oppositions, it would appear logical to follow Hatten's suggestion that one must first consider how meaning is conveyed in literature, in order to draw parallels with music.

Literature essentially manifests meaning on two levels: the *literal* and the *figurative*. Hatten parallels these mechanisms of conveying meaning with the musical notions of *correlation* and *metaphor* (*trope*). Literal, or correlative, meaning is inferred by a mere act of recognition on behalf of the reader or listener; in other words, the object of representation—an emotion or mental image—is encoded into the musical style in such a way that it is transparently recognisable by the listener. To put this in Peircean semiotic vocabulary, a *token* (specific literal/musical instantiation) is recognised as a *type* (represented ideal), whose meaning is, therefore, said to be stylistically encoded as its *correlation*. (One should note that Hatten takes this neutral term from Eco's semiotics as a substitution for the 'more problematic terms' of *reference* or *denotation*.[63]) Competency to infer meaning in a given style resides in the ability freely to recognise, through interpretation, the relatively stable *type* from the diverse *tokens*. The resulting *correlation* fuels further interpretations as the listener attempts to

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[62] Hatten, *Musical meaning in Beethoven*, 162, 167.

[63] Ibid., 165.

incorporate the differences within individual *tokens*, often generated by the influence of contextual variety. As Hatten identifies, however, correlative meaning alone cannot account for the figurative meaning which can be generated by the play of musical *types* and their *correlations*.

Figurative meaning is experienced in the syntactic subversion of *Excentrique*. Diachronically, the *token*, or instantiation, shown in *Example 1-6i* plays with its 'correlative' *type* (i.e. its culturally iconic reference): 'opening paradigm thematicism'. Synchronically, the *token* of *Example 1-6ii* also plays with its 'correlative' *type*: 'accompanied thematicism'. Under these circumstances, to infer a purely correlative meaning is not only inadequate, but inappropriate. Indeed, the perceptual illusion created by this deadlocked aesthetic might suggest that Stravinsky is blatantly flaunting the cultural codes which motivate these correlations.[64] In so doing, he simultaneously mocks the notion of correlative meaning and supports his (albeit future) infamously misinterpreted objectivist propaganda that 'music is...essentially powerless to *express* anything at all'.[65] For this reason some form of *metaphoric* meaning should be brought into the equation.

> If correlations are encoded in a given musical style and transparently recognized by a listener,...then metaphors require a more creative or interpretative act on the part of the listener, one that leads to an *emergent* meaning—and probably a more complex meaning....
>
> [Thus] along with...relatively stable correlations and their contextual interpretations in given works, one needs to provide a level for more unstable meanings created by the figural play among musical types and their correlations. Something akin to creative metaphor in language may be achieved in a musical work when two different correlations are brought together to produce a third meaning. I will refer to such figuration of musical meaning more generally as *troping*.[66]

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[64] An interesting analogy can be drawn with Taruskin's critique of Stravinsky's 'Turanian aesthetic' (see *footnote 143*), as he refers to the works surrounding *L'histoire* and the Swiss years, of which *Excentrique* is an exemplar. Clearly Taruskin's standpoint would accommodate such a view that Stravinsky was blatantly remaking the codes, not in any 'progressive' sense but as a deliberate reaction against anything European, in an attempt to regain his lost Russia from which he was exiled during the war years. As much of chapter two deals with this musicological hypothesis supporting this semiotic interpretation, I shall defer further elaboration at present.

[65] Igor Stravinsky, *An autobiography (1903-1934)* (London: Marion Boyars Publishers Ltd, 1990), 53.

[66] Hatten, *Musical meaning in Beethoven*, 165-66.

Tropological Interpretation

This naturally raises the problematic question of how music, which lacks verbal predication, can bring disparate meanings together in a coherent way; Hatten tackles this by making reference to the analytical examples of Karbusicky and Grabócz, in which Hatten perceives music as generating metaphor by its own internal processes.[67] In Karbusicky's example this is found in the interaction of 'nostalgia' (Schumann's *Träumerei*) with 'cheerfulness' (Dvorák's *Humoresque*), artificially generated by the intercutting of respective musical fragments; Grabócz's example demonstrates the technique of *bi-isotopy*, in which cultural units (*semes*) cluster into larger, significant isotopies (*classemes*), such as the 'pastoral' or 'religious', which could exhibit conflicting interjections when an isotopy such as the 'religious' appears in an otherwise primarily 'heroic' isotopy. The possible interpretations Hatten draws from such metaphoric analyses seems to pinpoint, with remarkable precision, the situation in *Excentrique*. This is reinforced by his caveat of 'functional process' which, as chapter two will demonstrate, compounds itself in *Excentrique's* narrative sequence as it unfolds to its climax.

> In order for tropological interpretation to be warranted, there must be a musical event that contradicts stylistic expectation. Starting a movement with a closural theme might contradict a given stylistic expectation. But there must also be a functional location or process within which that contradiction can occur. In the Karbusicky example, the process of alternation serves this purpose. The beginning of a piece is also a functional location....If a closural theme occurs, it exerts a figural twist between location function and theme function...and it is this interaction that demands interpretation. If successfully reconciled (whether by integration or higher synthesis), a new meaning has been troped from the contradiction of the two older ones. That meaning might involve either a simple synthesis of two separate meanings ("my end is my beginning" or "in my beginning is my end") or a third meaning that emerges from their interaction ("nothing is ever finished," or the play of incongruity that yields humor).[68]

This tropological model of musical meaning is represented in *Example 1-15*, with an appended hypothesis for deconstructing the illusion of impossibility which Stravinsky presents to us in the deadlocked aesthetic of *Excentrique*. The basis of

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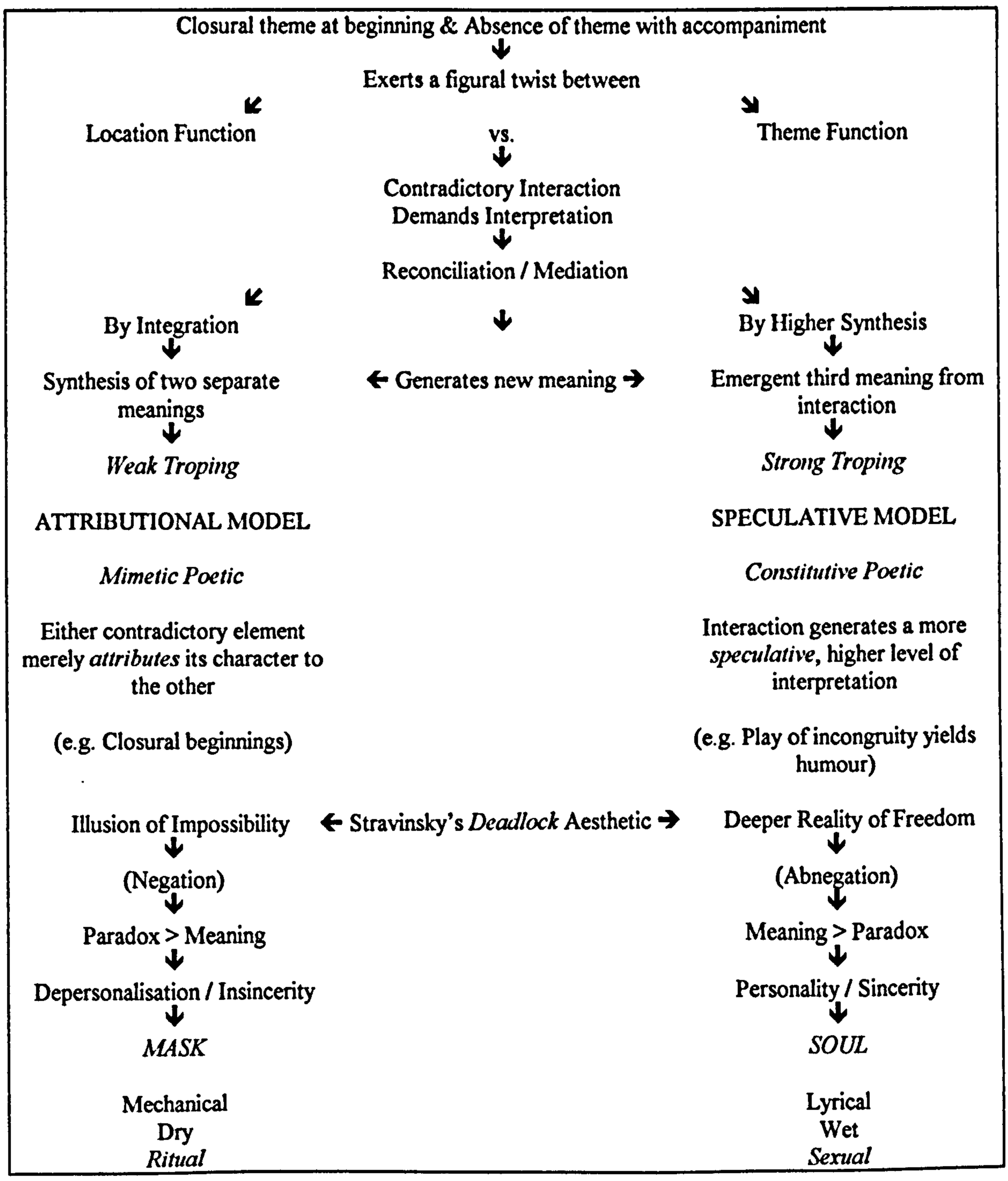
[67] Hatten, *Musical meaning in Beethoven*, 168

[68] Ibid., 169

this hypothesis is that it is impossible to move beyond the perceptual illusion of deadlock—the *mask* behind which Stravinsky's personal sincerity hides—within the confines of interpretation based on an *attributional* model of 'weak troping'. Here the perceptual paradox of incongruity would reign over interpretative, emotive meaning. It is only by making the interpretative shift to the *speculative* model of 'strong troping' that one discovers a *soul* (personal identity) behind the *mask* (objective facade). The illusion of deadlock is removed to reveal a metaphorically interpretable, emotive meaning residing within the perceptual paradox.



Example 1-15: Tropological Strategies of Musical Meaning for Excentrique

In spite of the risk of leaving the reader adrift in a speculative framework, further exploration of this hypothesis must be deferred to chapter two, as much of the justification for these metaphoric allusions will draw heavily on the analytical support of the narrative drama as it is embodied in *Excentrique*. It will also draw on certain hermeneutic windows which offer insights into Stravinsky's life and works, reinforcing this tropological interpretation. (For example, his own acknowledgement that '*Excentrique* was inspired by the manifold eccentric appearances of the unforgettable English clown, Little Tich',[69] is something which, as I will show below, supports this *soul-mask* duality inherent in the deadlock aesthetic.) I hope to have left the reader, however, not so much adrift, as with appetite whetted for engagement in the analytical interpretation of *Excentrique*.

Interpreting *Multivalency*: A *Dialogical* Model

The neoclassic aesthetic of multivalency assesses *basic* level negation, according to deviation from 'models' perceived as concrete instantiations ('prototypes' as distinct from 'ideal types'). Stravinsky's method for encoding these deviations has already been shown (in the discussion of *Oedipus Rex*, above) to comprise the simultaneous conflict of two or more such 'models', the resulting interaction preventing either from being interpreted as truly prototypical or devoid of any negation. It therefore embodies an illusion of irreconcilable conflation. I have suggested that this illusion could be shattered with an interpretation of multivalency as a dialogue between these conflicting models and the prototypes to which they refer. The purpose of the ensuing section is to outline some theoretical mechanisms of dialogue by which we can interpret the resulting narrative.

Wagnerian Dialogical Models

My proposition of a Wagnerian model of dialogue as the key to unlocking meaning in Stravinsky's music will undoubtedly surprise most Stravinsky scholars. Scarcely could two composers be found at such opposite ends of the ideological spectrum.[70] The suitability of such a model may, understandably, seem unlikely to some

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[69] Igor Stravinsky and Robert Craft, *Memories and commentaries* (Berkeley and Los Angeles: University of California Press, 1981), 95.

[70] Rarely in the course of musical history does one encounter two such antithetical compositional ideologies as those found in Stravinsky and Wagner; indeed, a cynic might interject that the former (suppressionist) deliberately obscured any ideology, whilst the latter (expressionist) actively promoted a complex ideology.

readers, particularly those, like Keller, for whom culturally enshrined prejudices threaten to obscure the semantic horizon:

> the polarity between Stravinsky and Schoenberg (some of which we have seen crumble, anyway) is as nothing compared to the polarity between Stravinsky and Wagner: Stravinsky's music is experienced as the precise negative of Wagner's: it suppresses what Wagner's expresses, without leaving any doubt about the concrete, musically palpable and tangible nature of what it suppresses. Clinically, it is of the greatest significance to observe that the most passionate Stravinsky-lovers one knows are, at the same time, the most conscientious—invariably moralizing—objectors to Wagner's music.[71]

Some of Newcomb's observations concerning Wagner's formal process may help to persuade such 'moralising objectors' by contextualizing the ideological common ground of these two composers. These observations are summarised below in such a way that, by substituting the name Stravinsky for Wagner and aligning Newcomb's language with my, now familiar, descriptives outlined in the bracketed insertions, we begin to uncover a closer proximity between the composers' semantic mechanisms than we might otherwise have thought possible.

> Music for Wagner was born out of dramatic image or idea [*image-schema transformation*?]....
> Variety and internal flexibility are the hallmark of Wagner's style, and an explicit aesthetic goal; dramatic variety and flexibility require it. He is constantly moving from the loosely structured...to the more highly structured...and back.
> When he uses the more structured style, Wagner must, of course, appeal to the traditional formal schemata and procedures that he and his audiences had inherited [*basic*-level *models*]. But even in this more structured style, the formal schemes and procedures are usually left incomplete and are often constantly shifting in their implications [*basic*-level *syntactic deviation*]....
> Wagner developed his anticonventionality of form [*level two cultural negation*] precisely for its ability to embody...metaphorical [*image-schema* and *metonymic*], musico-dramatic meaning....
> Wagner is continually making shifting allusions to the treasure of formal schemata and procedures that he had inherited from his predecessors [the neoclassic ethic?]....But he rarely lets any one of them work itself out to completion, and he alludes flexibly to one, then another, then yet another set of formal habits and implications as he moves along. Even his relatively closed, complete forms tend to be hybrids.

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[71] Keller et al., *Stravinsky seen and heard*, 55.

> A wide variety of formal types within a single unit [*compound prototype negation*], formal types left incomplete or transformed into something else as they unfold [*simple prototype negation*]—these are characteristics of Wagner's novel methods of presenting traditional musical forms and procedures to his listener. Not only do his implied forms and procedures shift constantly, so too do the musical elements that define and determine formal contrasts and connections.[72]

Newcomb identifies two types of alteration (what my model would refer to as *level two cultural negation*) in Wagner's musical syntax, similar in principle to those already identified for Stravinsky (*Example 1-1* and *Example 1-14*). These he identifies as alterations created by *formal incompletion* and *formal implication*, citing 'Wotan's first speech' (*Siegfried* Act 3, scene 1) as exemplifying these techniques on both the *small-* (unit) and *large-* (structural) *scale* of Wagner's syntax. These alterations are manifest on the small scale in the negation of formal clarity and definition when an initial, closed ABA unit returns with the lack of its implied beginning. The unit is also interrupted at its halfway point, leaving it harmonically and melodically incomplete. Large-scale negation, on the other hand, is inferred from the scene's arch shape, when at the reprise—the focus of articulation—not even the first phrase is allowed to complete itself. (Wagner not only breaks the original periodic structure by delaying upon each chord under a fermata, but also takes advantage of the enharmonic implications of chords to open the previously closed harmonic circle, initiating transitions to other regions.) Thus in both these cases Wagner's process of *formal incompletion* generates a shift in *formal implication*, whether it be a reprise deflected into a transition or a closed unit deflected into one which is harmonically and melodically open. The central role which dialogue must play in interpreting these Wagnerian techniques is self-evident. Something can be deemed 'incomplete', only if there is a countervailing model of 'completion' to which it refers, or converses. Similarly, changes in 'implication' can be grasped only when the changed implication is in conversation with its unchanged model. Opposites, then, require dialogical mediation, whether they are generated in Newcomb's, Wagnerian, vocabulary of *formal incompletion* and *implication*, or in my, Stravinskian, vocabulary of *prototypical negation.*

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[72] Anthony Newcomb, "The birth of music out of the spirit of drama: an essay in Wagnerian formal analysis," *Nineteenth century music*, V (1981), 38, 43-44.

The fundamental difference between these two aesthetics of opposition is found in their attitude towards the mechanism for combining opposites. I have suggested that Stravinsky's attitude is one of *conflation*, whereas Wagner's is one of *contradiction*. This is evident in Oedipus' aria (*Example 1-7*); although *basic* level diachronic and synchronic deviation exist between the contradiction of antecedent-consequent and *Urlinie-Ursatz* models—essentially composed out as an opposition between the clarinet and Oedipus—these formal and textural oppositions are not heard as being as overtly 'contradictory' as they are in Wagner's music. This is because the different lines for the clarinets and Oedipus conflate together in a very convincing manner, despite their embodied contradictions. This is the essence of Stravinsky's strategy of *basic* level subversion: he combines his simultaneous contradictions in a manner which merely conflates, rather than outlining, the opposites with which he is playing. For Wagner, this is counter intuitive. His tactical deployment of contradiction is specifically to affirm the opposition which it embodies. This can be seen if we consider one further analogy of Newcomb's, concerning the opposition of *tonal styles*, as he identifies them, in 'a typical structure for a dialogue scene in Wagnerian music drama' (*Siegfried* Act 3, scene i):

> First, there is an opening definition of position on the part of both characters—in this case Wotan, vigorous, active, and wanting information; and Erda, sleepy, passive, and not inclined to tell. There follows a quickening dialogue in which positions are modified. Here Wotan loses some of his clarity of direction and Erda approaches Wotan's level of activity; both get angry and enter into quick interaction. Finally comes a re-solidification of position. In some dialogue scenes, this re-solidification brings ecstatic agreement, as in *Walküre* I, 3 or *Siegfried* III, 3; in others, it brings continuing modified opposition, as in the present scene, or *Walküre* II, 1 and III, 3....
> the principal tonal contrast...is the contrast between functionally centered, stable tonality on the one hand, and non functional, unstable tonality on the other. Wotan speaks the first language; it contributes much to his forceful, clearly directed musico-dramatic personality. Erda speaks the second, and derives from it something of her inactive, undirected personality. The tonal contrast shaping the altercation between these antagonists is not the contrast between any specific two (or three) keys; it is between Erda's tonal style, wherever it may occur, and Wotan's....
> The articulating forces of thematic material, cadential preparation, and contrast of stable and unstable tonal styles make clear to us a

> tonal shape that we might not have been able to follow without them.[73]

Newcomb's key point is that opposed *tonal styles* are exploited specifically to bring the musico-dramatic personalities into conflict, either to a point of resolution or to 'continued modified opposition'. They do not exist in 'conflated' acceptance of one another, but rather play out their contradictory natures until some act of transformation occurs. This is clearly not the case for Stravinsky's technique of opposition as witnessed in Oedipus' aria. To move beyond the 'illusion of irreconcilable conflation', however, some form of dialogical framework, similar to Newcomb's, is required as a means of interpreting these oppositions. A *dialogical model* is an ideal mechanism for interpreting the aesthetic of multivalency, in much the same way that Hatten's *tropological model* was for deadlock. The difference between Wagner's and Stravinsky's dialogues, however, necessitates consideration of two separate mechanisms of 'resolution' (the mediating principle of any dialogue). I identify these respectively as 'traditional' resolution, in which one side of the opposition 'colonises' the other, and 'exotopic' resolution, in which one side understands itself through an understanding of the 'other', without attempting to colonise it, preserving instead a position of outsideness. Morson and Emerson define Bakhtin's concept of exotopy in relation to cultures. If one imagines Oedipus' aria as a dialogue between two 'cultures' (of *basic* level schemata), one can see how the non-colonising, 'conversing' mediation of oppositions can be invoked for interpreting Stravinsky's encoded oppositions.

> In literary studies, Bakhtin insists, outsideness is equally valuable. To understand an author in the richest way, one must neither reduce him to an image of oneself, nor make oneself a version of him. Both methods exemplify "the false tendency toward reducing everything to a single consciousness, dissolving in it the other's consciousness"....Each participant must retain outsideness. "One cannot understand understanding as emotional empathy, as the placement of the self in the other's position (loss of one's own position). This is required only for peripheral aspects of understanding. One [also] cannot understand understanding as a translation from the other's language into one's own"[74]

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[73] Newcomb, "The birth of music out of the spirit of drama," 58, 59-60.

[74] Gary Saul Morson and Caryl Emerson, *Mikhail Bakhtin Creation of a Prosaics* (Stanford, California: Stanford University Press, 1990), 56.

The hermeneutic position of dialogue, and the complex notions of *otherness* and *outsideness* [exotopy] in the contemplation of oppositions, will be considered in chapter three. A prospective dialogical model for Oedipus' aria, however, is mapped-out in *Example 1-16*, in order to uncover some of the salient mechanisms by which we can interpret the illusion of multivalency as it presents itself through the conflation of opposites.

Example 1-16ii introduces some analytical evidence (which will be identified in chapter three) to support the hypothesis that Oedipus' aria is essentially a dialogue, motivated by the conflated oppositions of *fate* (control) and *hubris* (loss of control), as they can be metaphorically interpreted from the music via *metonymy* and *image-schema transformations*. The key point which *Example 1-16* endorses is the distinction between *Siegfried*'s 'contradictory' dialogue of tonal styles, symbolically represented by the circle and square, and Oedipus' 'conflationary' dialogue, represented by the superimposition of a square within a circle and a circle within a square. The distinction is made not merely because Oedipus' aria simultaneously presents the contradictions which a Wagnerian strategy might linearly reveal through numerous syntagms, but because Stravinsky's presentation of the paradigm is as if there were no embodied contradiction and, indeed, no traditional resolution.[75] The oppositions have already been blended into a convincing whole. The problem with such an aesthetic demand, however,—if indeed that is what the music makes—is that to interpret the paradigm as an already existing whole, without first challenging our perceptual awareness (by being clearly comprised of seemingly irreconcilable opposites), is to miss the point of the game Stravinsky is playing. Just as Wotan and Erda play out their musico-dramatic conflict, or Wotan's speech (both *Siegfried* Act 3, scene i) plays out its conflicts of *formal incompletion* and *implication*, so too Oedipus plays out his own conflicts of *fate* versus *hubris* and *formal synchronisation* versus *desynchronisation*, (with its own implicative consequences). To deny the existence of this playing out of

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[75] Admittedly, the conflict of structural notes 1 - Oedipus' *Bb* - and 2 - the clarinets' C - at the conclusion of the overriding antecedent phrase (*Figure 16*[4]) resolves to conformance on Bb at the conclusion of the consequent phrase (*Figure 17*[2]), but this is a tonal coincidence. Undoubtedly it is of structural significance (as can be seen in *Example 1-7*), but it does not represent any resolution—in the traditional sense—of the opposed language styles, whose conflation is identified in *Example 1-16*. In fact, one experiences the opposite effect to which Newcomb refers when he states that 'tonal styles make clear to us a tonal shape that we might not have been able to follow without them'; for we experience a resolved tonal shape, made clear to us independently of any 'resolution' in the conflated oppositions of language styles.

dialogical opposites, followed by some sense of resolution, is to deny the dramatic element of Stravinsky's musical discourse in general. To do this in an 'opera-oratorio' so histrionic as *Oedipus Rex*, and still further in its single-most melodramatic aria (enter the (anti)hero with exposed, vulnerable pathos) would be absurd.

i) Newcomb's Tonal Styles in Wagner
Dialogical *Contradiction* ➔ *Colonising* Resolution

(*Siegfried* 3, i)

Wotan □		***Erda*** ○
	Stylistic Language	
Vigorous Active Wants information		Sleepy Passive Reluctant to tell
	Harmonic Language	
Functional [Less Centred] Unstable		Non-functional Centred Stable

ii) Language Styles in *Oedipus Rex*
Dialogical *Conflation* ➔ *Exotopic* Resolution

(Oedipus' aria)
◘ & ◘

Hubris □ ***Loss of Control*** **Lameness**	***Fate*** ○ ***Control*** **Striding Forth/Confidence**
Aria invokes need for bass No bass = no feet (*Oedipus*)	Obligato carries (inverted bass) harmony Clarinet = striding forth
Tonal style Voice - ***(Non Congruent)*** - Clarinet	***Tonal style*** Voice - ***(Handelian)*** - Clarinet
Bb Melismatic Imprecision C Angular Precision	Appoggiatura vocal style Dotted semiquaver Overture style
Voice - ***Period structure*** - Clarinet	Voice - ***Period structure*** - Clarinet
Additive appog. note duration Additive phrasing '7-5-4'	4 + 4 bar phrasing stable rhythmic patterns within bar
Voice - ***Tonal structure*** - Clarinet	Voice - ***Tonal structure*** - Clarinet
⑤④③②① implications non congruent Axis 0235 neighbour notes BbCDbEb - CDEbF - BC#DE	Antecedent - Consequent V - I
Deficient Desynchronisation (Russian Stylistic Associations)	***Efficient*** Synchronisation (European Stylistic Associations)

Example 1-16: Contradiction and Conflation; Interpreting Siegfried and Oedipus

Otherness: Bakhtin's *Exotopic* Model

Just as *tropological interpretation* revealed in *Excentrique* a narrative based on *abnegation* (an implicit 'positive' surrender to the power of negation: i.e. the *death of the theme* strategy), so too *dialogical interpretation* will reveal in *Oedipus Rex* a narrative based on *exotopy* (an implicit 'affirmation' of the insurmountable 'otherness' inherent in the conflated oppositions: i.e. the multivalent language styles). In referring to this notion of 'otherness' embodied in Stravinsky's oppositions, I allude to a complex concept, whose origins belong to a deep rooted tradition of hermeneutics in dialogue. At the risk of giving the reader an over-simplistic view of this tradition, I shall briefly outline the hermeneutic framework from which I glean the concept of otherness, intrinsic to my notion of *exotopic resolution*. An ideal starting point for such an outline is Tomlinson's discussion of the literary hermeneutics of dialogue as found in the writings of La Capra, Ricoeur, Gadamer and Bakhtin.[76] He begins by distinguishing monological and dialogical interpretations of meaning, which arise from a reader's interaction with a text. (For the purpose of this discussion, references to the reader's engagement with the literary text may be roughly aligned to the listener's perception of the musical composition. Naturally, the inevitable ontological problem of precisely defining 'the composition' is greater than with the literary text; however, if we understand 'the composition' as any version of the score, idealised and actual interpretative performances, recordings, etc., then the alignment becomes less problematic.) One of the most conservative interpretations of a text is the monological identification of meaning with authorial intent. La Capra, however, advocates the need for more dialogical interpretations by identifying the 'mistake' which such a 'contextual historical' approach makes, in reducing the context of a work to a monolithic structure and saturating it with meaning. To La Capra, this overlooks the fact that meaning is comprised of a fluctuating set of more or less pertinent contexts drawn into interaction with a text, of which 'authorial intent' is only one. Such an antimonological attitude is by no means entirely alien to Stravinsky, who was notorious for contradicting himself when referring to matters of compositional

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[76] Tomlinson, *Music in renaissance magic*, 1-43.

reason or motivation. These are often dismissed as memory lapses,[77] but it is by no means inconceivable that Stravinsky may have been consciously trying to 'down play' monolithical authorial intent as the defining limits of meaning for his work.[78]

The role of dialogue, then, becomes essential to meaning because the object of that meaning (be it text, score or other media) can be thought of as an arena where 'contestatory' tendencies are at play—tendencies which must be mediated by dialogue. It is this role which Bakhtin clarifies in his opposition of *monological dominating discourse* and *dialogical discourse*. Todorov suggests that the former can be characterised as understanding which 'makes do without *the other*', 'objectivises all reality' and 'pretends to be the last word'.[79] The latter finds itself in Bakhtin's notion of *heteroglossia*, or multiple languages/other voicedness. This describes how any utterance situates itself in relation to, and derives its significance from the constant interaction between meanings, all of which have the potential to condition the others. The very moment of utterance decides which meanings it will affect, how it will do so, and to what degree. From this position, Bakhtin views dialogue both conservatively, as the opposition of monologue, and more radically, as the notion of *exotopy*: finding oneself outside. In other words, just as the 'individual' is constituted by the social, so too consciousness must be apprehended as a dialogue with a social 'other'. It is essentially a two phase process; we identify with the other and simultaneously find ourselves outside in relation to that other. Crucially, though, Bakhtin's notion of *exotopy* does not advocate the fusion of ourselves with the other; rather, it demands that the exotopic position be preserved: in short, 'converse with' rather than 'colonise' the other. I would suggest that it is this conversation with otherness which resonates with the interpretative strategy required for Stravinsky's music when it presents a multivalent aesthetic of conflated oppositions. The music appears not to demand a resolution of the opposites in a traditional sense, (they are, after all, conflated rather than contradicted), but to

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[77] For a discussion of Stravinsky's infamous memory lapses see Richard Taruskin, "Stravinsky and the traditions: why the memory hole?," *Opus* III/4 (1987): 10-17.

[78] Perhaps there is even an interesting comparison between this hypothesised dismissal of 'analytic' monolithic authorial intent and Stravinsky's preoccupation with 'definitive recordings', suggesting that in the explicit world of musical sound Stravinsky fiercely advocated monolithic intent, but that in the implicit world of musical meaning he might have advocated dialogue with the other. To support such a contention is, of course, beyond the bounds of the present enquiry.

[79] Todorov, *Mikhail Bakhtin*, 107, cited Tomlinson, *Music in renaissance magic*, 31.

interpret meaning it must be acknowledged that each side of the opposition identifies (through conflation) with the other, whilst remaining outside in relation to that other. In short, multivalency is an aesthetic based on opposing models, interpretable through metaphors whose conflation can be understood by their exotopic relationship to one another.

To understand the difference between the *exotopic* position of Stravinskian dialogue and the colonising assimilation of opposites experienced in Wagnerian dialogue, let us consider Tomlinson's discussion of *distanciation* which underlies this distinction. He suggests that Bakhtin's notion of *exotopy* interweaves two halves of Gadamer and Ricoeur's hermeneutics, so that Bakhtin's concept of understanding/meaning incorporates both the positive role of *dialogue* advocated by Gadamer (at the expense of dismissing the alienating *distance* of the other) and the creative role of *distance* advocated by Ricoeur (at the expense of dismissing *dialogue* through a text which asserts its own autonomy). Bakhtin's notion of *exotopy*, therefore, dismisses Gadamer's 'fusion of horizons' (the assimilation of otherness), the basis of Wagnerian dialogue, but instead reinforces Ricoeur's advocacy of 'distanciation' (the preservation of the distance of otherness).

> *[Exotopy]* posits otherness not as a preliminary stimulus to knowledge but as a presence signaling its achievement. It gives a name to the mysterious relinquishment in which we comprehend ourselves by the detour of comprehending the other. And it situates this comprehension in a world of discourse created and sustained by dialogue.[80]

The exotopic position, therefore, reinforces the notion of 'conversing with' rather than 'colonising' the other, and this holds the key to uncovering an interpretative framework for Stravinsky's aesthetic of multivalency, such as that in Oedipus' aria. A summary map of the overall theoretical framework outlined in this chapter has been sketched in *Example 1-17*, to give the reader a visual representation of how these interpretative models mesh with the syntactic characteristics of the two Stravinskian aesthetics which are under consideration. The circular brackets distinguish the traditional—but in this case, alternative—mechanisms of

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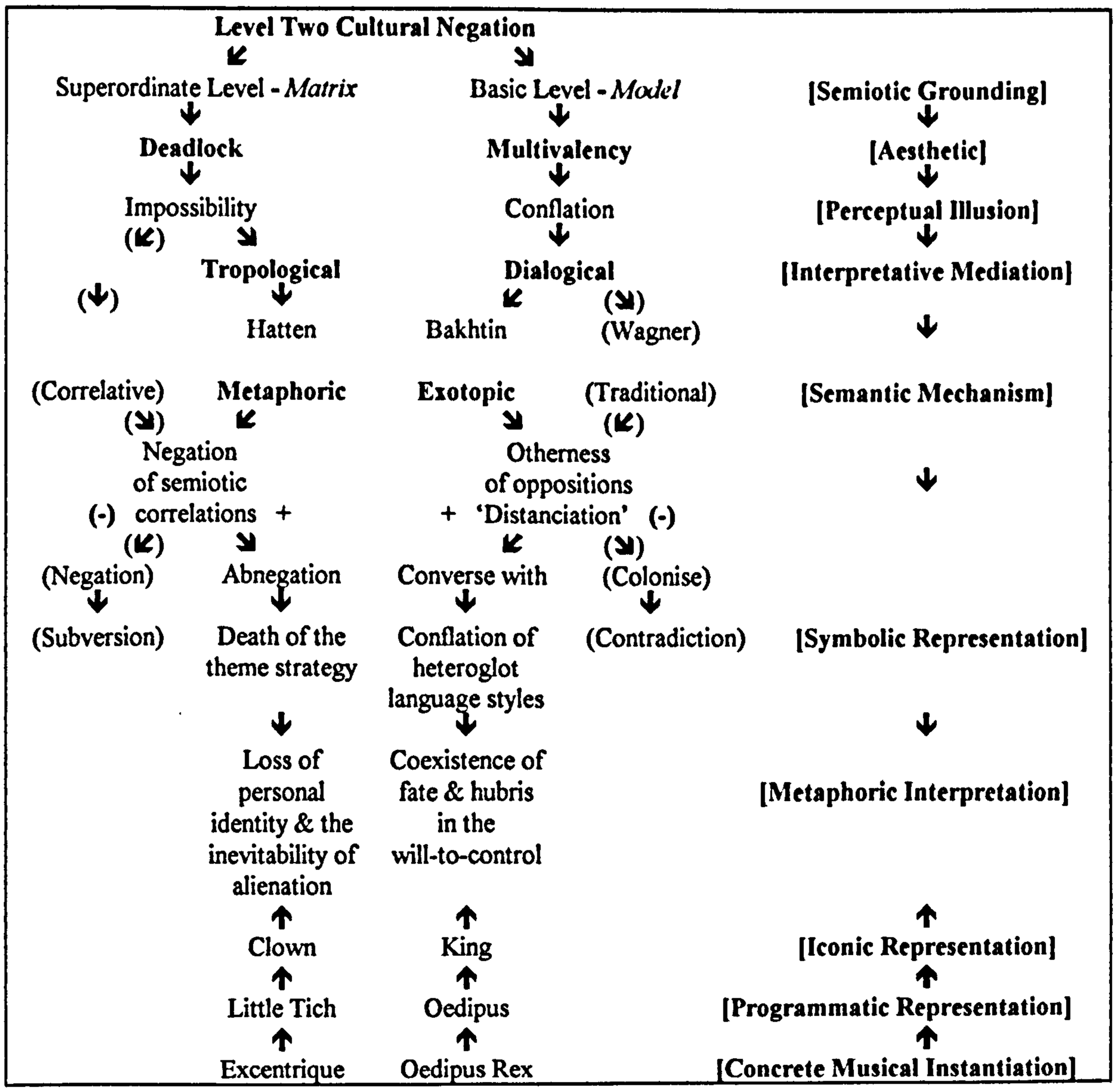
[80] Tomlinson, *Music in renaissance magic*, 32.

interpretation, which appear redundant for Stravinskian aesthetics. The square brackets contain headings for the adjacent rows.



Example 1-17: Aesthetic Perceptions and Interpretative Mechanisms - A Summary Mapping

The task of the ensuing chapters, then, will be to identify, analytically, examples from the Stravinsky repertoire which present themselves through the aesthetics of deadlock and multivalency, and to attempt to interpret them through tropological and dialogical strategies in order to evaluate some form of credible musical meaning founded on semiotic principles. In so doing, I aim never to lose sight of the spontaneity of these aesthetics, which continues to emanate from the overriding sense of novelty embodied in their discourse of oppositions. Pechey beautifully captures this aesthetic spirit of Stravinsky's music in his description of Bakhtin's notion of *heteroglossia* in the literary novel. It could almost serve as the hypothesis for the following chapters.

> In the simultaneous echoing and embedding of oppositions—their speaking to and through each other—we glimpse (long before deconstruction) the novelty of a theoretical discourse articulated by dialogical relations.[81]

[81] Graham Pechey, "On the borders of Bakhtin: dialogization, decolonization," in *Bakhtin and cultural theory*, Hirschkop and Shepherd, eds., 39-67.

CHAPTER 2

MARKEDNESS REVERSAL IN CUBIST DEADLOCK

I am a topiarist at heart, and my love for clipping things sometimes amounts to a mania....but I should think less the shape of it than the gesticulation of the phrasing.

Stravinsky, *Dialogues*[82]

Section 1 – Excentrique Analytically Unpacked

Chapter one's discussion of *Excentrique* was based on the premise that its nihilistic tendencies throw down a gauntlet to any would-be semantic interpreter. The main mechanism responsible for this alienating stance, was identified as a 'death of the theme' strategy generated by a cadential (*Example 1-6i*) and accompanimental (*Example 1-6ii*) usurpation of thematic identity. This perceived negation of theme by thwarted expectations, is based on one's awareness of historically defined cultural units. In semiotic parlance, the combination of these units form a culturally defined sign-scape (a network of expectations) which is situated on *level two* of the cultural negation spiral (*Example 1-1*). It was suggested that *Excentrique* epitomised subversive 'deadlock', a mechanism by which Stravinsky's Cubist works embody oppositions which negate this cultural sign-scape. It was further suggested that such a compositional strategy could be interpreted through the linguistic theory of *markedness*, a theory dedicated to understanding oppositions as asymmetrical in contrast to the classical view that oppositions are equipollent. It was proposed that where such asymmetrical relations could be identified in a work like *Excentrique*, the aesthetic effect might be comprehensible through 'tropological' interpretation. This involves the verbal mediation of metaphoric associations to decode the alienating appearance of *Excentrique* as some form of facade belying a personal identity. *Example 1-15* proposed that this 'identity' was expressed through a sense of abnegation.

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[82] Said in wry mitigation of his demands on Cocteau for two rewrites and a final shearing of the *Oedipus Rex* libretto. 'Topiarist' inclinations may cast an enlightening perspective on the 'manic' discontinuities of *Excentrique*. The latter sentence could make an insightful programme note for a potentially bemused *Excentrique* audience. In fact it is a more mundane reference to what remains 'purely Cocteau's in the libretto'.

The analytical grounding of the speculative first chapter is lacking without a detailed consideration of *Excentrique's* linear narrative and the cultural basis on which those expectations rest. The importance of identifying this is self-evident. Deadlock is by its very nature a device in which discontinuity prevails over the continuity of a linear narrative. The object of this chapter, therefore, is to attempt to decode some of the semiotic sign-scape through which *Excentrique* operates as it unfolds an identifiable linear narrative underlying the alienating sense of deadlock.

Alienating Quartet Convention

Stylistically, *Excentrique* appears to have little in common with the classical period conventions. It is, however, one of Stravinsky's earliest excursions into an authentic classical genre. Devoid of the highly unusual instrumental combinations which characterise his post-*Rite* works, *Excentrique* is itself a *marked* opus; his first post-tutelage engagement with the generic archetype of classical convention. The string quartet was a genre to which he would not return until his Double Canon for string quartet in 1959, (the only—and another *marked*—exception being the 1947 Prelude to Act 2, scene ii of *The Rake's Progress*, discussed in chapter four). This truly eccentric work, however, embodies a deadlocked opposition between the generic and stylistic convention of the classical quartet. Whereas the former is affirmed, the latter is uncompromisingly negated; to such an extent that critics like Griffiths mistakenly suggest that the work reveals Stravinsky's own ineptitude for the medium.

> The middle movement has its distorted repetitions...but within a much more diverse context of clownish jumping from one bizarre posture to another. Altogether the oddity of the music (the second violin and viola in this piece are instructed to 'quickly turn the instrument upside-down' in order to execute an arpeggiando) is that of an outsider behaving as if unaware that the string quartet had a distinguished history. The tone is not so much irreverent or insolent as simply ignorant, a signal that Stravinsky still had hold of his naivety...[83]

Griffiths is correct in identifying Stravinsky's *exotopic* relation to the quartet's distinguished history but to suggest this is indicative of immature ignorance is

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[83] Paul Griffiths, *Stravinsky*, The master musician, ed. Stanley Sadie, First ed. (London: J.M.Dent & Sons Ltd, 1992), 47.

absurd. Griffiths fails to see beyond the mask of Stravinsky's Wittgensteinian gambit. ('The assertion of the negative proposition contains the proposition which is negated, but not the assertion of it'—see *footnote 38.*) *Excentrique* is written against, not in naivety of, quartet convention. Yes, Stravinsky is an 'outsider'; but the pupil of Rimsky-Kosakov and composer of the *Rite of Spring* is not so naive as to be 'unaware' of the quartet's distinguished history. Instead, the convention-breaking composer deliberately denies the quartet its distinguished history in much the same way he had already denied the symphonic orchestral conventions in *The Rite of Spring.* Gordon offers a fascinating, countervailing suggestion—more aligned to Griffiths' convention ignorance—that the use of this genre may have been quite deliberately manufactured, not so much to evoke its long history, as to escape the ethnic primitivism with which his name had become inextricably associated in the immediate post-*Rite* years.

> Wildly embraced now, *The Rite of Spring* came to be perceived as a monument of ethnic primitivism. The composer himself was touted as a sort of avant-garde Rimsky-Korsakov. For the next fifteen years, each new work by Stravinsky would be publicly regretted when measured against *The Rite of Spring.* Thus even before the war made him an exile, while he was working on such abstract sketches as the *Three Pieces for String Quartet*, Stravinsky may have been planning escape from an imposed ethnic ghetto.[84]

Regardless of whether Stravinsky's breach was deliberate or ignorant, the fact remains that conventions are negated and this necessarily colours a culturally sensitive interpretation. The work is a quartet alienated from convention, a stylistic anomaly. Having invoked the genre, Stravinsky sets out to compose against the tide of stylistic expectation flowing from Mozart, Haydn and Beethoven. A cursory glance over *Excentrique* should reinforce this hypothesis. *Example 2-1* is a 'paradigmatic' analysis of *Excentrique* which itself negates the conventions of paradigmatic analysis. For those unfamiliar with this analytic procedure, Nicholas Cook gives an erudite summary.

> semiotic analysis proceeds through a number of stages...the initial stage is segmentation...aligning recurrent rhythmic and melodic motives [amongst other possible motives i.e. textural] underneath each other—recurrences...may be literal...or modified...recurrence

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[84] Tom Gordon, "The cubist metaphor, Picasso in Stravinsky criticism," *Current Musicology* 40 (1985): 30.

> is...the principal criterion on which the process of segmentation is based. Reading down the columns...gives the various appearances of a motivic type; whereas reading across the columns, from left to right, gives the number of different motivic types (or *paradigmatic headings* as semiotic analysts call them)...reading from left to right and from top to bottom—as in an ordinary score—reconstitutes the original ordering of the music...all that has happened is that the original score his been reconfigured...in their clumsy jargon, semiotic analysts use the term 'explication' for this process of bringing hidden or implied aspects of musical structure out into the open[85]

Example 2-1 labels each paradigmatic unit with a descriptive.[86] For the convenience of space, the axes of conventional paradigmatic analysis have been reversed. Hence reading the vertical column ('Paradigmatic unit/name') shows the 'number of different motivic types'; whereas reading horizontally from left to right ('syntagmatic chain of instantiations') 'gives the various appearances of a motivic type'. These 'appearances' are merely signposted with their bar numbers, so that the reader can trace them to the score. (The full score of *Excentrique* is printed in *Example 2-2*.) Printing all occurrences would be unnecessarily cumbersome for the level of 'explication' it would yield. (A full citation of all syntagmatic occurrences of the 'limp' paradigm is demonstrated in the ensuing discussion of *intraparadigmatic markedness* in *Example 2-6*.) The methodology of reversing these axes and giving only the first instantiation of particular paradigms would be negligent in conventional paradigmatic analyses, such as Nattiez's two famous examples:[87] Debussy's Syrinx,[88] and Varèse's Density 21.5.[89] His process of

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[85] Cook, *A guide to musical analysis*, 152.

[86] The paradigmatic labels are intended to aid the analytical discussion and most are explained in the text. The remaining ones can be understood as follows. The 'weeping' gesture is essentially an appoggiatura figure, with octave displacement; the 'negation' gesture lacks any thematic, cadential or even transitory identity; the 'bridge', 'unthemed accompaniment', 'thematic' and 'retransition' gestures are self explanatory; and the arpeggio floridity of the 'Petrushka' gesture is a parallel to the puppetesque portrayal of the Shrove Tide antihero.

[87] Interestingly, Nattiez's classic examples of paradigmatic analysis are explicated through two French works, both for unaccompanied flute. This is perhaps indicative of the instrument's timbral flexibility which is highly suited to syntagmatic reinterpretations of recurrent musical paradigms. Of course, the cynic might also add that a monophonic line naturally lends itself to the graphing conventions of paradigmatic analysis which threatens to cover vast areas of paper when applied to larger orchestral works. Short-score reductions are a poor attempt at alleviating this problem, since the orchestrational, timbral and textural altered recurrence this notation loses, constitutes a key factor in explicating paradigmatic interplay. Such factors will be shown to be of crucial significance in *Excentrique*.

[88] Jean-Jacques Nattiez, *Fondements d'une sémiologie de la Musique* (Paris: Union Générale d'Editions, 1975), 330-54.

segmentation and explication is far more subtle than the abrupt paradigmatic blocks which *Excentrique* exhibits in its salient segments and unaltered recurrence of paradigms. One might say of Stravinsky's cubist works that they house an in-built tendency for self-paradigmatic analysis. To support this, one might cite J. D. Kramer's analysis of Stravinsky's *Symphonies of Wind Instruments* (1920).[90] Although more structural than semiotic, his segmentation based on cell-structures is little removed from that of paradigmatic analysis, even if his subsequent explications are more structural than gestural. (Also marked on *Example 2-1* are pitch priority and markedness associations which will be discussed in due course.)

Scanning the paradigmatic units, reveals a striking generic imbalance of solo and tutti textures. Solo lines are generally in abeyance with cello, viola and second violin lacking any soloistic input whatsoever. What few solo opportunities present themselves, appear to downplay their soloistic status. They are either transformed into duet or four part doubling ('timpanistic' and 'weeping' gestures); fragmented into a non-thematic identity—intrinsically and by location ('retransition' gesture); or asked to play *sur la touche* as if to deny the strings their true sonority, manufacturing them to imitate a flute-like wind sonority ('weeping' and 'thematic' gestures).

The predominant tutti textures appear incongruous with one's expectations of a string quartet. They emphasise the percussive at the expense of the sustained lyrical qualities more readily associated with strings. The opening gesture is essentially punctuative; a rhythmic repetition which appears 'stilted' in its string environment (perhaps an iconic resemblance of a 'limping' gesture, as its paradigmatic name suggests; an association uncovered in due course). It is followed by a pizzicato fragment. This is an archetypal timpani gesture, in terms of both pitch and rhythm. It connotes something of a generic identity crisis between quartet and classical symphony.

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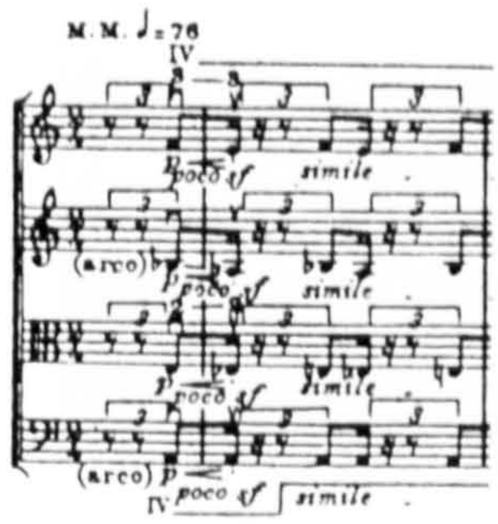
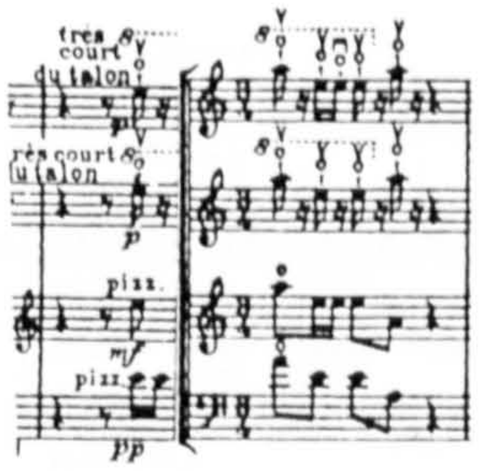
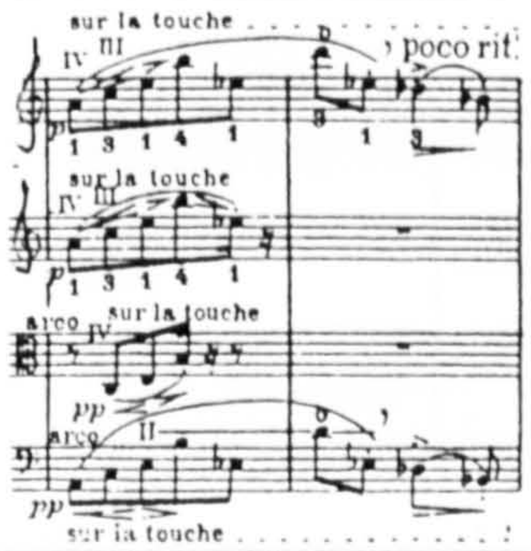
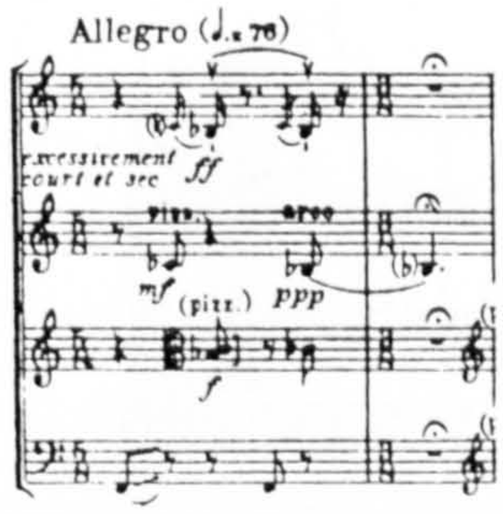
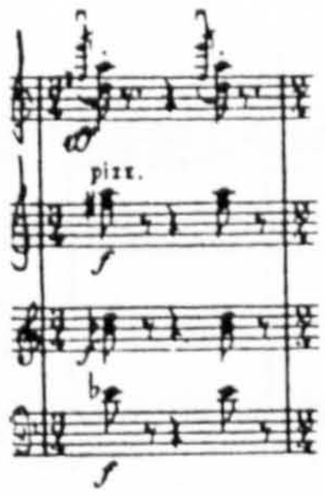
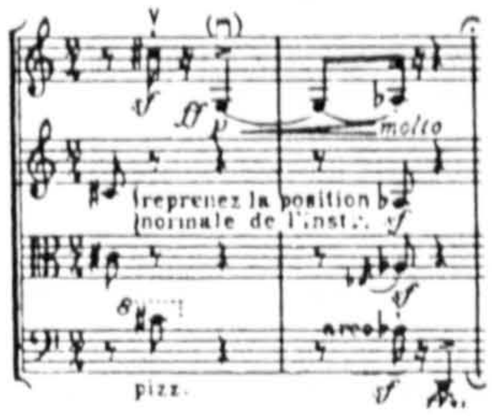
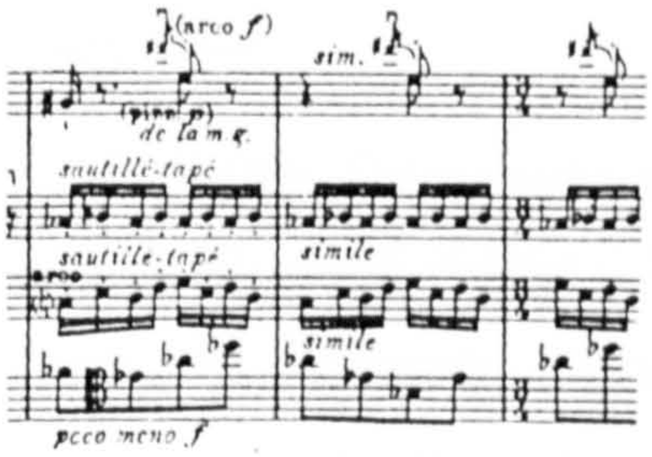
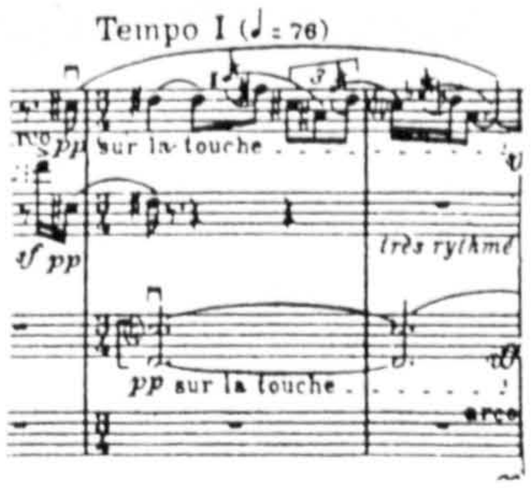
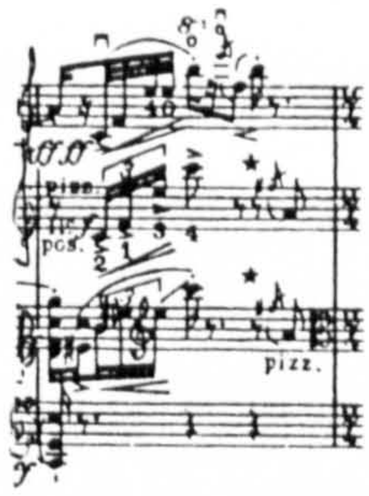
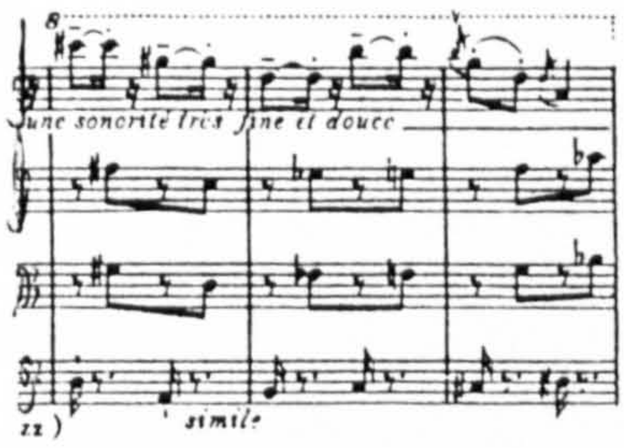
[89] Jean-Jacques Nattiez, "Varesé 'Density 21.5': a study in semiological analysis," *Music analysis* 1, no. 3 (1982): 243-340.

[90] Jonathan D. Kramer, *The time of music* (New York: Schirmer Books, 1988), 286-321.

Paradigmatic Unit	Name	Syntagmatic Chain of Instantiations 1	2	3	4
	'Limp' Gesture	mm.1-3	i) mm.6-9 ii) mm.9-12	mm.48-51	mm.56-58
	(Pitch Priority)	A (F)	A (F)	(A) F	(A) F
	(Markedness)	IPU+EPM	(IPM+EPU)	IPM+EPM	IPM+EPU
	'Timpanistic' Gesture	mm.4-5	mm.9-10	m.17	mm.45-46
	(Pitch Priority)	A	A	A	C
	(Markedness)				
	'Weeping' Gesture	mm.13-14	mm.17-19	m.57	mm.59-60
	(Pitch Priority)	Bb	A (Eb) Bb	A Bb	(Eb) Bb
	(Markedness)				
	'Negation' Gesture	mm.15-16	mm.20-21	m.23	mm.60-61
	(Pitch Priority)	F (Bb C)	F (Bb C)	F (Bb C)	F (Bb C)
	(Markedness)				
	'*The Rite*' Gesture	m.22	mm.24-25	m.58	
	(Pitch Priority)	Eb & D	Eb & D	Eb & D	
	(Markedness)				

Example 2-1: Paradigmatic Analysis of Excentrique

Paradigmatic Unit	Name	Syntagmatic Chain of Instantiations 1	2	3	4
	'Bridge' Passages	m.25	mm. 29-30	mm.34-35	
	(Pitch Priority)		Bb(V)-Eb(i)	C#-G-D-Ab	
	(Markedness)				
	'Unthemed Accomp.'	mm.26-28			
	(Pitch Priority)	Bb A Eb			
	(Markedness)				
	'Thematic' Gesture	mm.30-32			
	(Pitch Priority)	Eb			
	(Markedness)				
	'Petrushka' Gesture	m.33	mm.43-45		
	(Pitch Priority)	C (I - V^7)	C (V^7-I-V^7)		
	(Markedness)				
	'Retransition' Gesture	mm.36-43			
	(Pitch Priority)	C & F#			
	(Markedness)				

Example 2-1: Paradigmatic Analysis of Excentrique (cont.)

Another conflict of identity occurs with '*The Rite*' gesture. The acciaccatura embellishments and bichordal, semitonal combinations appear to have been borrowed straight from the percussive nature of *The Rite of Spring*. The primitivism this evokes is again out of sew with the sophistication of the quartet

genre. Even where the quartet shows its most independent part writing (the 'unthemed accompaniment'), it exemplifies percussive tendencies with more acciaccatura emphasis. Its pronounced broken figuration is also misplaced in the quartet. String instruments are perfectly capable of sustaining harmonies without recourse to this quasi-Alberti pianistic convention. Cumulatively, therefore, *Excentrique's* corporate, percussive textures and suppression of individual lines, appear to negate quartet conventions of intimate, interdependent, lyrical discourse between parts.

One convention *Excentrique* does appear to uphold is the archetypal 'abstract' quality of the string quartet. Prior to the Three Pieces, Stravinsky's portfolio is dominated by decidedly non-abstract works. Of his post-apprenticeship scores, nothing before the Three Pieces lacks either a textual or balletic narrative: *The Nightingale*, *The Firebird*, *Two Poems of Verlaine*, *Petrushka*, *Two Poems of Balmont*, *Zvyezdoleeki* (words by Balmont), *The Rite of Spring*, *Three Japanese Lyrics* and *Three Little Songs*. Even within the Three Pieces, *Excentrique* further demarcates itself as pointedly abstract in relation to its neighbours, *Danse* and *Cantique* (to adopt their subtitles from the Four Studies version). Their associations with dance or vocal mediums is self-evident: an almost trivial perpetual mobile folk dance and a rigidly homophonic chorale.

Counteracting *Excentrique's* abstraction, however, is an extra-musical narrative. The evidence is found in Stravinsky's acknowledgement that the piece was intended to portray the famous English clown, Little Tich (a.k.a. Harry Relph, 1867-1928), who he had seen in June 1914 whilst in London for the Ballets Russes performances of *The Nightingale*.[91] The acknowledgement is a little belated given that *Memories and Commentaries* was not published until 1960. A more chronologically viable hermeneutic window is offered by Ansermet's notes, inserted into the program for the performances in London by the London Philharmonic Quartet in 1919. 'The second [piece] represents an unhappy juggler, who must hide his grief while he performs his feats before the crowd.'[92] Despite the intriguing shades of Petrushka this offers, none of these programmatic

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[91] Taruskin, *Stravinsky and the Russian traditions*, 1468.

[92] Robert Craft, ed., *Stravinsky: selected correspondence*, 3 vols. (London: Faber and Faber, 1982), Vol. I., 407.

associations can be inferred from the music alone without the aid of these hermeneutic windows. From a purely musical perspective, devoid of its subtitle and extra musical associations, 'piece number two' appears decidedly abstract. In fact *Excentrique* positively affirms the notion of abstraction in many of its definitional contexts. Hermeneutic windows aside, it 'appears to have no reference to material objects', it is 'difficult to understand', it is certainly art which appears to be 'characterised by geometric, formalised or otherwise non-representational qualities' and it could even be argued to represent a 'condensed version' of a composition (not so much a work in its own right as the summary of a work, or better still a paradigmatic analysis of a work played with randomly selected syntagms). These abstract qualities all contribute to the semantic enigma of *Excentrique* around which a culture of equally abstract analytical interpretations has flourished. Most of these commentaries on the work tend either to abstract both the pitch content or the individual 'moment' from any consideration of a linear narrative defined by gestural intention. *Excentrique* has become analytically abstracted into a work of discontinuity. Through these writings it has become canonised as having no sense of linear narrative. This analytical culture has suppressed *Excentrique* into a work of syntactic and semantic fragmentation. And rather than seek an interpretative framework out of this deadlock, the work is left stranded in a semantic void. Devoid of a linear narrative, it has nothing to say.

Excentrique: Rejection of Linear Narrative

Can one legitimately talk of linear narratives in Stravinsky's music? The climate of twentieth century music in general might suggest that such an approach would be redundantly anachronistic. Griffiths summarises the denial of linear narrative, exhibited in works contemporaneous with *Excentrique*.

> By withholding harmonic affirmation of his melodic cadence, Stravinsky...cuts himself off from the forward drive of tonal harmony. These are static moments—snapshots of a musical idea—which may be linked to others by repetition or continuation of some element (ostinato, drone, instrumentation), but never by smooth flow....Nothing is settled here, nothing fixed. It could be all different; it could all immediately become different....Alongside the

> rigidities—the frames, the ostinatos, the mechanical rhythms—there is, then, a sense of the haphazard.[93]

The biggest threat to linear forms and directed motion came with the breakdown of tonality at the turn of the century. It prompted a growth in composition based on moment form and juxtaposition generating a parallel growth in proportional[94] and pitch class[95] analysis to supersede more traditional prolongation and voice leading strategies. The fashionable task of the post-Wagnerian music world was not only to compose works which appeared to defy linear continuity but also to analytically demonstrate the 'discontinuous' nature of that music. The predicament of the analyst was no better, if not worse, than his Schenkerian predecessors. Just as the circularity of voice leading strategies was criticised[96] (a merely reductive recodification, explicating its premise of linear continuity), so too the identification of moment form and pitch structures became a circular preoccupation (another reductive recodification, this time explicating the antipodal premise of linear discontinuity). The cultural climate surrounding *Excentrique*, then, was one of discontinuity.

This throws light on the 'illusion of impossibility' referred to in chapter one. What is interesting about such critiques is their omission of a satisfactory explanation of how discontinuous musical discourse is motivated, once stripped of its linearity. Kramer, for example, reduces *Excentrique* to a mere étude in discontinuity. 'Three Pieces for String Quartet is a frankly experimental work....The third and especially the second movements are experiments in extreme discontinuity.'[97] In so doing he sides with a position not too far removed from Kielian-Gilbert's interpretation forged from her unashamedly purist, pitch class analysis. She does, however,

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[93] Griffiths, *Stravinsky*, 49-50.

[94] For examples of proportional analysis of moment form in the Stravinsky repertoire, the reader is referred to Jonathan D. Kramer, "Moment form in twentieth -century music," *Musical quarterly*, LXIV (1978), 177-95; "Discontinuity and proportion in the music of Stravinsky," Chap. 10 in *Confronting Stravinsky*, Pasler, ed., 174-94; *The time of music*.

[95] For examples of pitch class analysis of juxtaposed structures in the Stravinskian repertoire, the reader is referred to Allen Forte, *The harmonic organization of The rite of spring* (New Haven and London: Yale University, 1978); "Making Stravinsky soup and other epistemusicological pursuits: a hymenopteran response," *Music analysis*, V:2-3 (1986), 321-7; "Harmonic syntax and voice leading in Stravinsky's early music," in *Confronting Stravinsky*, Pasler, ed., 95-129.

[96] Narmour, *Beyond Schenkerism*.

[97] Kramer, "Discontinuity and proportion in the music of Stravinsky," 178.

attempt to append some form of identifiable linearity to her enumerative procedures by invoking Stravinsky's remarks on polar attraction: 'All music being nothing but a succession of impulses and repose, it is easy to see that the drawing together and separation of poles of attraction in a way determine the respiration of music.'[98] Unfortunately, as a metaphor for linking otherwise discontinuous musical moments, her strategy presents itself as an apology for *Excentrique*'s apparent lack of linearity.

> All three pieces feature the pairing of IC5s [interval class] at particular transposition levels and these T-levels are associated with events of distinct function in each piece. The functional treatment of four-note symmetrical sets containing paired IC5s suggests that an increase and decrease in transposition distance within and between paired structures is an analogue to Stravinsky's metaphor of "the drawing together and separation of poles of attraction." Each piece features a developmental "expansion" and "contraction" of interval-class distance between IC5s within four-note pc sets.[99]

Her use of the word 'developmental', in particular, appears somewhat culturally insensitive and incongruous with her methodology. To proclaim the work as discontinuous, 'events of distinct function in each piece'; recodify the distinct moments into numerical values; identify quantitative, rather than qualitative, patterns akin to 'expansion' and 'contraction'; and conclude that the work is linearly 'developmental' after all, represents a misuse of vocabulary based on a confusion of analytical traditions. Such a conclusion cannot be legitimately founded on abstract numerical patterns divorced from any consideration of their musical significance, associations, and functions (considered from both paradigmatic and syntagmatic perspectives). It represent a failure to engage with Stravinsky at the gestural level. There is, of course, a great precedent for the gesturally naive strategy established by Forte's seminal text on *The Rite of Spring*.[100] Although highly informative and influential to two decades of Stravinsky scholars, it is as much an exploration of the intricacies of pitch class theory as it is a viable interpretation of the music itself. Put simply, there is more to Stravinsky

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[98] Igor Stravinsky, *Poetics of music in the form of six lessons*, 11th ed. (Harvard: Harvard University Press, 1994), Translated by Arthur Knodel and Ingolf Dahl, 36.

[99] Marianne Kielian-Gilbert, "Relationships of symmetrical pitch-class sets and Stravinsky's metaphor of polarity," *Perspectives of new music*, 21 (1983), 211.

[100] Forte, *The harmonic organization of The rite of spring*.

than set theory. It is at the gestural level, not the note-counting level, that the listener apprehends salient 'developmental' narratives. Kielian-Gilbert's strategy may very well reinforce such a narrative once it has been identified but it would make too many cognitive and perceptual demands on the listener to constitute the mechanism for communicating that narrative.

The problem with both Kielian-Gilbert and Kramer's approaches, then, is that they lack semiotic and semantic dimensions. Both attempt to subsume their perspectives into culturally accepted forms of narrative but their methodologies remain essentially alien to the cultural contexts from which *Excentrique* was composed and in which it is interpreted today. They may produce empirical, structural data as evidence of rational narrative control and authorial intent (be it conscious or subconscious) but this is nothing more than a recodification of the music itself, adrift from any consideration of the music's inherent meaning. This is by no means a criticism of structuralist over semiotic methodology. The overwhelming problem with Nattiez's paradigmatic analyses is that they merely recodify the music into syntagmatic and paradigmatic units. Although this may 'explicate' previously hidden relations, that is precisely what Forte's elaborate system of set theory[101] achieves by recodifying the 'limp' paradigm as 6-Z6; a pitch class set of 0,1,2,5,6,7 with an interval vector of [421242]. What matters is the semantic implications which can be inferred from such recodified explications.

Taruskin, manages to give his discontinuous interpretation of *Excentrique*, the historically informed, culturally sensitive, spin absent in Kielian-Gilbert and Kramer. He first takes issue with their 'anachronistic' and culturally insensitive borrowing of the term, 'moment', which he argues belongs to the 1960s lexicon surrounding Stockhausen's music. He cites G. W. Hopkins' summary of the term in *The New Grove Dictionary*.

> Each individually characterized passage in a work is regarded as an experiential unit, a 'moment,' which can potentially engage the listener's full attention and can do so in exactly the same measure as its neighbour. No single 'moment' claims priority, even as a

[101] Allen Forte, *The structure of atonal music* (New Haven and London: Yale University Press, 1973).

> beginning or ending; hence the nature of such a work is essentially 'unending' (and, indeed, 'unbeginning').[102]

Clearly *Excentrique* is lacking some of these rigid criteria but Taruskin has no intention of denying its discontinuity; he has an alternative lexicon he wishes to promote. So obscure will this lexicon be to most western musicologists that I have inserted his glossary definitions after the two Russian descriptives.

> We have already associated the quality of "unending" and "unbeginning" with *nepodvizhnost'* ['Immobility, stasis; as applied to form, the quality of being nonteleological, nondevelopmental'], a quality intrinsic to unisectional, ostinato-driven pieces. When such sections are multiplied, one result is *drobnost'* ['Lit., "splinteredness"; the quality of being formally disunified, a sum-of-parts']...
>
> Besides the [Three pieces for string] quartet and wind pieces ['Lied ohne Name'; *Trois pièces*; *Ragtime pour onze instruments*; and *Symphonies d'instruments à vent*], we might take the Étude for Pianola [read also *Excentrique*] as a paradigm of *drobnost'*....It represents a kind of vertical slice through time, calculated to give the impression of a cacophony of simultaneous musics, the whole unfolding in a sort of instantaneous "specious present." Thus, though inevitably sequential, the piece is not temporally "linear." The many little sections, most of them characterized by a distinctive ostinato, conspire to produce a seemingly random pattern of intercuttings in which, just as in Hopkins's description of Stockhausen's idea, the individual sections form no perceptual hierarchy and no progression. One unlearns one's habits of drawing motivic connections from section to section when listening to music like this. When sections return, they do so without significant change. If the first of the string quartet pieces is a musical "mobile," the Étude is a musical "collage."[103]

(Taruskin will be held to his contention that 'sections return without significant change' when I return to it in the hindsight of *Excentrique's* analysis, accepting that his comments refer specifically to the Étude but justifiably applying them to a work of equally 'extreme discontinuity'.)

What Taruskin describes here is itself nothing short of a testimony to discontinuity, ennobled by the emic descriptives of *nepodvizhnost'* and *drobnost'*. It leaves Kramer's etic invocation of moment form looking decidedly crude. These three

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[102] *New Grove Dictionary*, s.v. "Stockhausen, Karlheinz" (18:152), cited Taruskin, *Stravinsky and the Russian traditions*, 1451-2.

[103] Ibid., 1452.

contemporary analysts are united, therefore, in rejecting *Excentrique*'s linear narrative. Kielian-Gilbert and Kramer represent something of an etic approach in the structuralist traditions of Forte's pitch class analysis and Stockhausen's moment form respectively. Taruskin translates these same qualities into the historicist tradition with his emic coining of Russian terminology. They all ignore the fundamental gestural dimension of Stravinsky's discourse. By so doing, they restrict themselves to interpretations based on discontinuity, often, particularly in Kielian-Gilbert's case, with recourse to metaphor as a means of reinstating some form of temporal linear flow to the works. I do not wish to take issue with verbal mediation through metaphor as a means of viable semantic interpretation. Both Hatten's and my own strategy are based on such a mediating principle. I do, however, challenge the narrow perspectives on which their methodologies are founded. Moment structures, whether in the etic tradition of *moment form* or the emic tradition of *drobnost'*, generate the tendency among analysts to consider the work as a conglomeration of isomorphic units. (Taruskin is very precise about this point: 'When sections return, they do so without significant change'.) It is all too easy, then, to assign a global pitch class value which governs 'all' instances of a 'unit', or to regard proportional duration as the only identifiable parameter of change within a unit. To base a metaphoric interpolation on such a narrow, isomorphic reading, however, is to consider only one dimension of a multi-dimensional work. The approach is too restrictive to carry any semantic weight.

I state again that the purpose of my research is to continue the restoration of semantics, initiated by such semioticians as Tarasti, Agawu and Hatten. Monelle neatly summarises the distinction, and common ground, of semantic and structural approaches in the conclusion of his chapter on 'semantics and narrative grammar'. By juxtaposing Hatten's semiotic advocacy with Agawu's circumspect structuralist validity, Monelle concludes that 'there is no signifying without structure':

> a new kind of analysis may be envisaged, based on *markers* (correlations with content) rather than *labels* (technical descriptions). Indeed, expressive analysis and technical analysis are complementary, for the moments of high significance (the most marked events) often do not coincide with points of structural importance (themes, reprises); 'the hierarchy of dramatic relevance or salience may not be congruent with the hierarchy of a purely syntactic analysis of a work' (Hatten 1987, 209)...

> We need to acknowledge the inadequacy of topics as ontological signs, and replace that formulation with structuralist notions of arbitrary signs, for it seems clear that even those listeners for whom the referential elements are real and substantive would agree that the individual gestures derive their importance less from their paradigmatic or associative properties than from their syntagmatic or temporal ones (Agawu 1991, 117)...

> let us admit that there is room for a 'dirty' view of musical semantics, as well as the intellectual purity of the structuralist approach. Indeed, reference and narrative may be demanded by historical conscience; this was how the composers meant it, and how contemporaries heard it. But there is no signifying without structure, which is where semiotics has its true home.[104]

I propose, therefore, a methodology for interpreting Stravinsky's seemingly discontinuous works which can combine the semantic weight, missing in structuralist or historicist analysis, with the syntactic support of syntagmatic properties articulated in structuralist approaches. In short, to combine significance and structure in a semiotic framework of gesturally informed musical syntax and semantics. I shall begin by considering a methodology for *Excentrique* which reaffirms its linear narrative.

Excentrique: Affirmation of Linear Narrative

The semiotic and analytical pedigree for defining a linear narrative in *Excentrique*, in the face of a culture of discontinuity, can be found in Agawu's semiosis, based on Ratner's theory of musical *topoi*.[105] In defining his notion of musical 'plot', Agawu states two premises to which my ensuing analysis of *Excentrique* holds true. The *topoi* invoked may differ from Agawu's 'universe of topics' but, as this thesis argues, these *topoi* become culturally defined *Ur-codes* of Stravinsky's cubist and neoclassic aesthetics.

> First, competence is assumed on the part of the listener, enabling the composer to enter into a contract with his audience. If something is commonplace, then it is meant to be understood by all competent listeners. There is nothing natural about this ability; it is acquired by learning. Second, the "natural" and "historical" associations of topic

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[104] Raymond Monelle, *Linguistics and semiotics in music*, Contemporary music studies, ed. Nigel Osborne, Volume 5 (Chur, Switzerland: Harwood Academic Publishers, 1992), 270, 273.

[105] Leonard G. Ratner, *Classic music: expression, form and style* (New York: Schirmer books, 1980).

point to an irreducible conventional specificity. In some cases, the combination of topical sequences and essences enables the analyst to construct a plot for the work or movement. By "plot", I mean a coherent verbal narrative that is offered as an analogy or metaphor for the piece at hand. It may be based on specific historical events, it may yield interesting and persuasive analogies with social situations, or it may be suggestive of a more generalized discourse. These are not programs in the sense in which the *Symphonie Fantastique*, for example, has a program; nor are they necessarily literal representations of extramusical events. Plots arise as a result of sheer indulgence: they are the historically minded analyst's engagement with one aspect of a work's possible meaning.[106]

Opening Gambit Convention

The classical convention of encoding a macro tonal discourse in a microcosmic opening gesture, is often the motivating force of a linear discourse. *Example 2-2* displays the score of *Excentrique*. Stravinsky's opening paradigm establishes the deadlocked nature of the work by the unresolved opposition of cadential material in a thematic location. The semiotician's 'clumsy jargon' might refer to this as 'diachronic syntactic subversion'. In Hatten's vocabulary it is an example of 'strategic markedness'. The pitch content of this paradigm appears equally deadlocked. Objectively, it is nothing more than an 012567 hexachordal combination of the notes, Eb–E–F–Ab–A–Bb; a tonally ambiguous configuration, generally regarded as pitch-centric about A. Specifically, it is centric about the perfect fifth dyad of A-E, surrounded by the acciaccatura embellishments of upper and lower neighbours, Bb–F and Ab–Eb respectively. Factors motivating this centricity are the demarcation of the centric dyad with down beat soprano and bass articulation and the salient exposure of the 'home' dyad in the timpanistic gesture (mm. 4-5). Other factors are the prominent A minor arpeggio (m. 18); the frequently sustained tendency tones of Bb, appearing to seek resolutions to A (mm. 14, 16, 19, 21, 23, 52, 55 and 61); the conclusion of the retransition on an A minor dyad (m. 44); and the near-conclusive reassertion of the dyad with the return of the opening paradigm (mm. 56-58).

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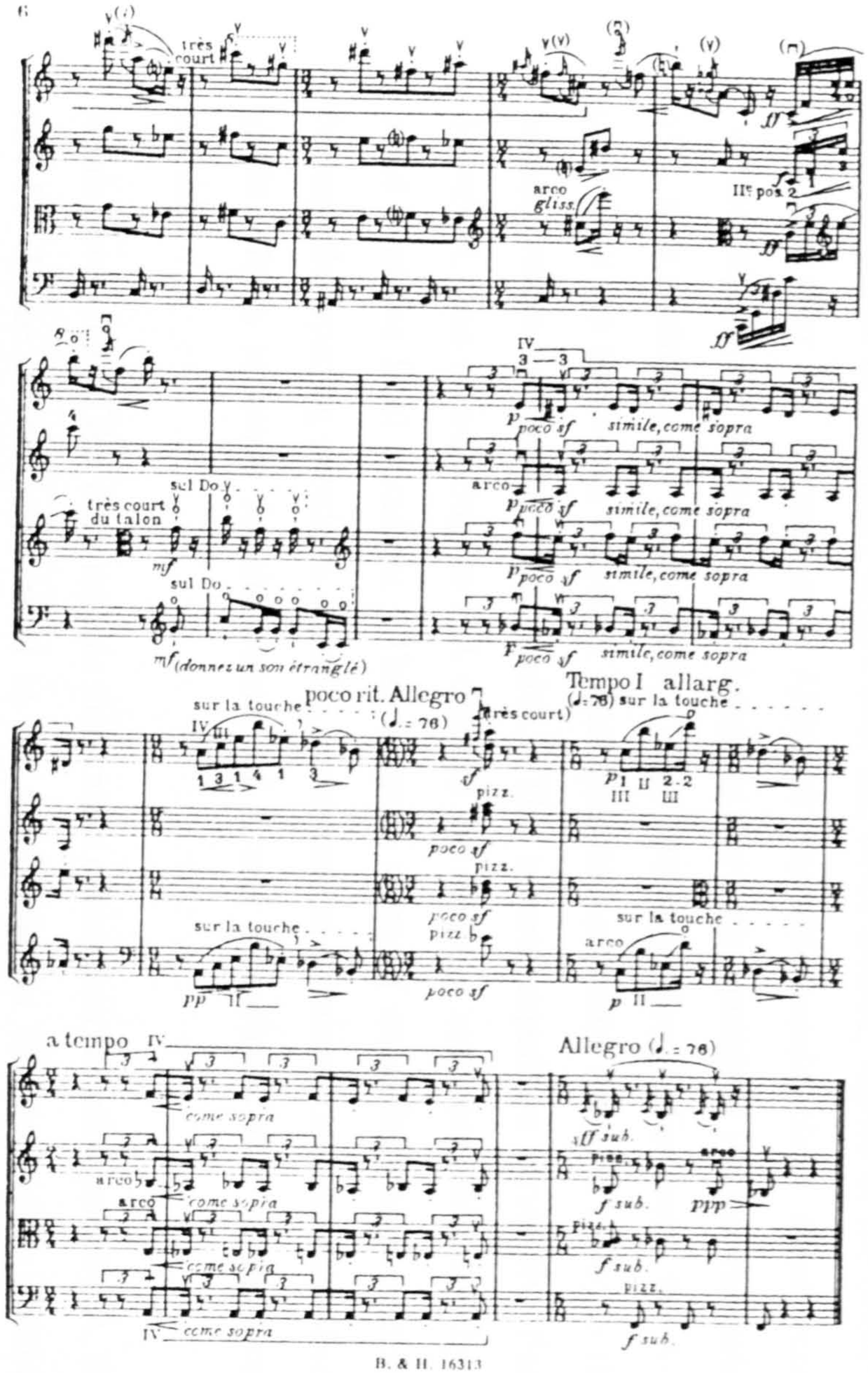
[106] V. Kofi Agawu, *Playing with signs: a semiotic interpretation of classical music* (Princeton, New Jersey: Princeton University Press, 1991), 33-34.

Example 2-2: Stravinsky's Three Pieces for String Quartet: Piece No. 2 - Excentrique

Example 2-2: Stravinsky's Three Pieces for String Quartet: Piece No. 2 - Excentrique (cont.)

Far from being conclusive, the centric status of pitch A is ambiguous. After the retransition, the timpanistic gesture returns, transposed to a C-G dyad (mm. 45-46). This could be a modulation to the 'relative major' tonal sphere, but it is somewhat out of place as the resolution of a retransition in a work lacking precise tonal definition. Intriguingly, it is the most explicit tonal articulation in the entire work. It is defined by the upbeat (incomplete) dominant seventh (G-B-F) resolution to a downbeat (incomplete) tonic (C-G). C, therefore, is accorded more precise tonal definition in this single instance than any of the ambiguous configurations which are centric about A.

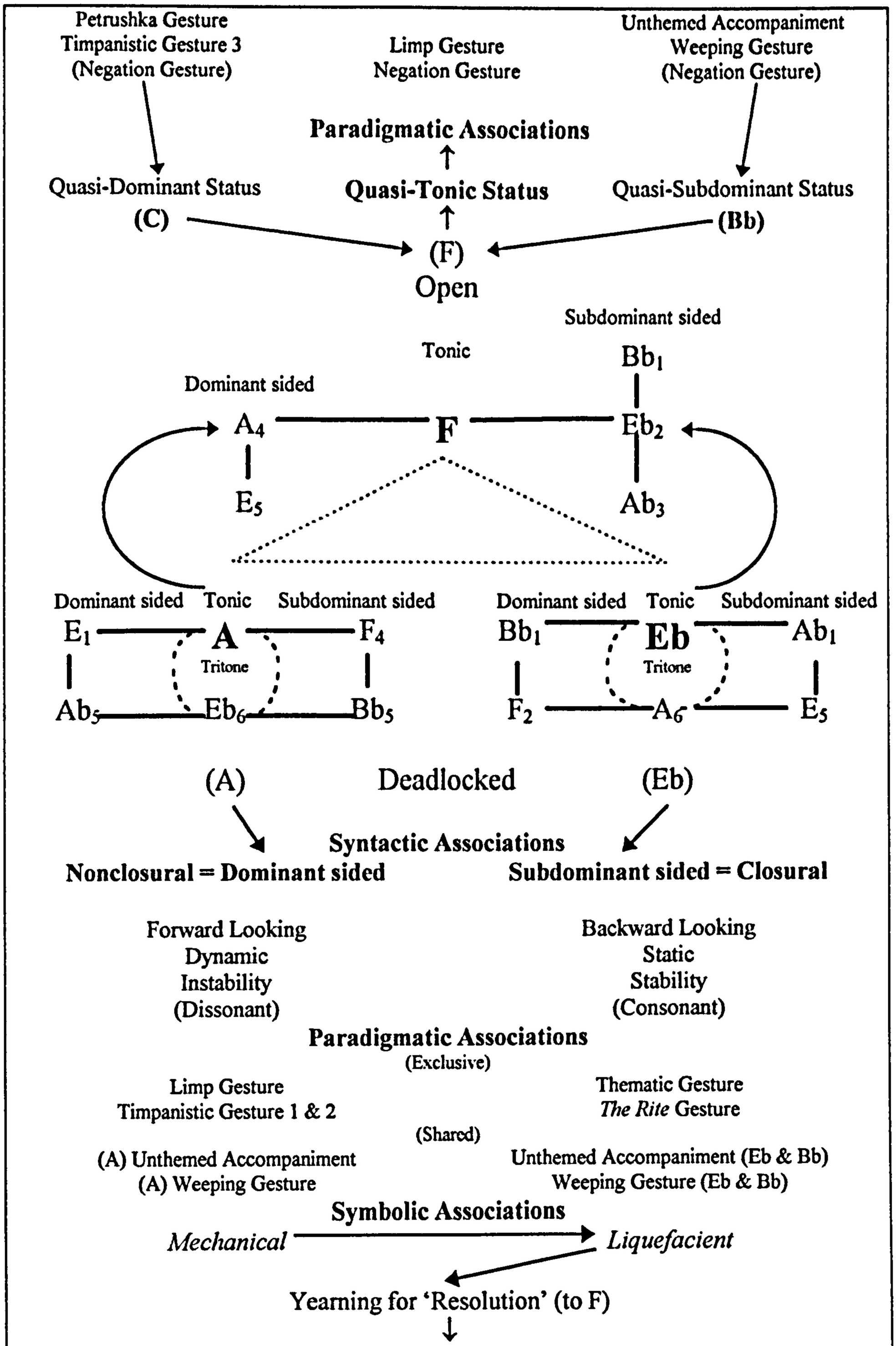
Another source of ambiguity occurs with the, twice altered, reprise of the opening paradigm after the retransition. Although Taruskin would claim these occur 'without significant change', I would suggest that both repetitions weaken the status of A as a contender for pitch priority. The first repetition, redistributes the A-E dyad from the traditional voices of tonal articulation (violin one and cello) to the middle voices (violin two and viola). The second repetition omits the final downbeat, thus articulating an F-A dyad at the registral extremes, followed by a pedal F in the final paradigm. This suggests more of an affinity to F priority. Perhaps the opening paradigm encodes a mechanism of micro tonal priority which might offer a rationale for the demise of A and ascendancy of F as the work unfolds?

A brief overview of the work reveals three main contenders for pitch priority: A, Eb and F. These pitches are central to the reconstruction of *Excentrique's* linear narrative based on the syntactic and semantic associations of its paradigmatic units. The reconstructive process can be followed on the score (*Example 2-2*) and is summarised in *Example 2-3*. This represents the fundamental opposition between *deadlocked* (A and Eb) and *open* (F) pitch centres as they are implicitly defined in the opening, 'limp' paradigm. This inference is made by first considering the pitch prominence of *Excentrique's* individual paradigms. This was summarised in *Example 2-1* on the line labelled 'pitch priority'. The pertinent paradigmatic-pitch associations are represented in *Example 2-3* by three configuration patterns (two rectangles, corresponding to A and Eb, and a rotated 'T' formation, corresponding to F). These are arranged in triangulation. Pitch F is fundamentally associated with

the 'negation' and 'limp' gestures, pitch A with the 'limp' and first 'timpanistic' gestures and pitch Eb with the 'thematic' and '*The Rite*' gestures. Both A and Eb also share ambiguous associations with the 'unthemed accompaniment' and 'weeping' gestures. In total these three pitches form the salient tonal argument of the work owing to their strategic dominance amongst the majority of paradigmatic units. The two other contenders for pitch priority at various stages are C and Bb, but as *Example 2-3* demonstrates these are tied to pitch F by virtue of their respective dominant and subdominant relations, therefore assuming something of an ancillary status. It is no coincidence, then, that the three prominent pitches are ear-marked in the opening paradigm in a manner reflecting the tonal outcome of *Excentrique's* ambiguity.

Examining the 'limp' gesture's configuration reveals that two of these pitches, A and Eb, form an encapsulated tritone relationship with one another (represented by the dashed circles in *Example 2-3*). The remaining notes of the configuration are equally distributed about these centric pitches' dominant and subdominant sides, represented by the enclosed rectangles. The subscript numerical values in *Example 2-3* represent the number of transpositions it takes to reach the ancillary pitch from the centric pitch, about a perfect fifth, on either dominant or subdominant sides. In the case of A, for example, the ancillary pitches of E and Ab are respectively one and five modulations away from A on the dominant side, whilst F and Bb are four and five modulations away from A on the subdominant side. The lower the number, therefore, the nearer the proximity of ancillary to centric notes. The maximally distant note on either side, five transpositions, (resulting in a semitone from the centric note) comes prior to the tritone whose six transpositions place it equally between dominant and subdominant sides.

The key observation about these rectangular arrangements of the configuration is that they are completely enclosed; balanced by two pitches on both dominant and subdominant sides, combined with the extreme opposition of the tritone. It is precisely for this reason that I refer to the A and Eb configurations as 'deadlocked' (i.e. they lack any determinate dominant or subdominant identity). In contrast to the F centred configuration, they contain no intrinsic tonal imbalance which might motivate a subsequent tonal narrative.



Example 2-3: Macro Linear Narrative in the Micro Tonal Premise of Excentrique's Limp Gesture

The other key observation, in relation to the F centred configuration, is to note the relatively high subscript numbers, particularly on the A centric configuration. This reflects the transpositional extremes of ancillary notes in the deadlocked configurations. The F centred, configuration is, by contrast, a more 'open' (i.e. antithesis of 'deadlock') arrangement of pitch associations, exhibiting an imbalance towards its subdominant side. It demarcates itself from the A and Eb configurations by its complete absence of tritonal entrapment and relative nearness of transposition relations, particularly on its weighted subdominant side. Its most distinguishing feature is its internal balance between the rival prominent pitches. Taking F as a quasi-tonic, or centric note, pitch A is dominant sided whilst pitch Eb is subdominant sided. The significance of this is found in the semiotic implications of dominant and subdominant sided transpositions. Empirical observation, of what are ultimately cultural associations, reveals that material based on dominant sided pitch content tends to be 'forward-looking, dynamic, unstable and non closural'. The reverse holds true for subdominant sided material which tends to be 'backward looking, static, stable and closural'. Hatten makes explicit reference to these structural tendencies with regard to the significance of modulations in Beethoven's repertoire.

> This [marked] opposition [between "moves to the dominant and moves to the subdominant"] appears to be equipollent, in that a move to the dominant (whether by applied dominant or full modulation) is forward-looking, dynamic, dissonant, and non closural. The move to the subdominant, on the other hand, is backward-directed, static, stable, and closural. Rosen (1972: 23-27) generalizes the opposition to include any modulations to the sharp (dominant) side vs. the flat (subdominant) side as mapped by the circle of fifths for any given tonic key. This opposition dates back to Rameau, and it "eventually became the dominant factor in the conception of key qualities" (Steblin, 1983: 103).[107]

Of course the language of *Excentrique* is a long way removed from Beethoven's, yet these same cultural tendencies can be found in the work. They manifest themselves in a similarly marked opposition not, this time, between explicit modulations, but between dominant and subdominant sided *gestural* associations of pitch priority. This can form the basis of a narrative strategy for *Excentrique* based

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[107]Hatten, *Musical meaning in Beethoven*, 43.

on the premise that pitch F—preordained by its uniquely 'open' gambit—'symbolises', rather than 'functions', as a quasi-tonic about which A and Eb prominent material symbolise the dominant and subdominant sided cultural conventions. A basic contour of the work reflecting these symbolic pitch functions can be formulated.

Beginning Narrative

The quintessential A paradigms are the 'limp' and first two 'timpanistic' gestures. Although these are both gestural paradigms of cadential material, their locational situation—and, in the former case, tonal ambiguity—guarantees that the material exhibits the nonclosural tendencies we expect from the 'symbolic' cultural conventions. What is significant about the cadential nature of these paradigms is not their lack of closural function but their gestural appearance as essentially 'mechanical' devices. This has significant symbolic associations for the narrative because its opposed Eb material is fundamentally 'liquefacient' in character. This propensity to become liquid can be seen in the fundamental Eb paradigm; the 'thematic' gesture (mm. 30-32). It stands in stark opposition to the A prioritised material of the opening three stanzas, not least because of the 'black-note–white-note' opposition these stanzas exhibit (most obliquely between the 'timpanistic' and 'thematic' gestures). Fundamentally the Eb material upholds the expectations of subdominant sided material. Its lyrical legato outlines a stable Eb minor arpeggio over the only sustained pedal in the work. It sounds serenely humanistic with its almost unique solo texture contrasting vividly against the homogenous, artificial machinations which have characterised the preceding A material. As a closural feature, the Eb material finally establishes an identifiable 'theme', albeit in a somewhat negated context. This is its fundamental opposition to the A centred cadential material. It is the only legitimate individual voice with a thematic identity in an otherwise homogenous assortment of cadential, 'thematicidal' material. It is a crucial narrative moment which Taruskin's, otherwise pertinent, observation overlooks in a purely rational account of the paradigm's pitch content.

> What is especially noteworthy is that the solo is confined for most of its duration to the tones that complement the two "root motives" [A-E and C-G, respectively at mm. 4-5 and mm. 45-46] within Collection III...; to put it in more familiar Stravinskian terms, it is

> the collection-exhausting tritonal transposition of the original anhemitonic set to the black keys.[108]

The point Taruskin's observation overlooks, is that this 'collection-exhausting tritonal transposition' is actually the first, and only, recognisable theme one finds in *Excentrique.* To put it in more narrative terms, (however 'unfamiliarly' Stravinskian they may be) it is a closural liquefacient theme, complementing the nonclosural mechanical gestures with which Stravinsky deliberately obscured any sense of linear narrative. This opposition is fundamentally one of 'gesture', complemented by pitch association. Taruskin's observation is indisputable as a structuralist fact. He may even argue, as he does, that it is equally valid as a fact of historicism, since Stravinsky's basic syntax at this time was the anhemitonic set, so to treat such a set with a tritone transposition demarcated by black-white note regions was as fundamental a tool to Stravinsky as the perfect cadence was to Mozart. The problem is that observations of this nature are semantically redundant. Add to it the immense 'gestural' significance of this moment, however, and one enters the realm of semantic signification. The mechanical, cadential gestures of material associated with pitch A finally relinquish to the liquefacient thematic gesture of material associated with Eb and a linear narrative is afoot.

Middle Narrative

The liquefacient theme, therefore, represents the crux of *Excentrique's* structure both gesturally and tonally. The two bar melodic contour unfolds a diminished seventh arpeggio which, spelt out enharmonically (F#-Eb-C-A), uncovers the fundamental structure and motivation behind the Eb-A opposition dominating the work prior to the theme. The opposition which follows the theme (essentially the retransition up to the recapitulation) now exploits the remaining tritone dyad of the fundamental structure, F#-C. The abrupt conclusion of the theme on a down beat, bass heavy, seven part, C major triad in root position is as explicit a tonal definition as anything else offered by *Excentrique.* It is immediately picked up by the 'Petrushka' gesture, a textural sweep up to the extreme soprano register where a B-F tritone acts as an incomplete dominant seventh, screaming for resolution to a C-E dyad. This resolution, actually to a C-G dyad, is deferred to the timpanistic gesture

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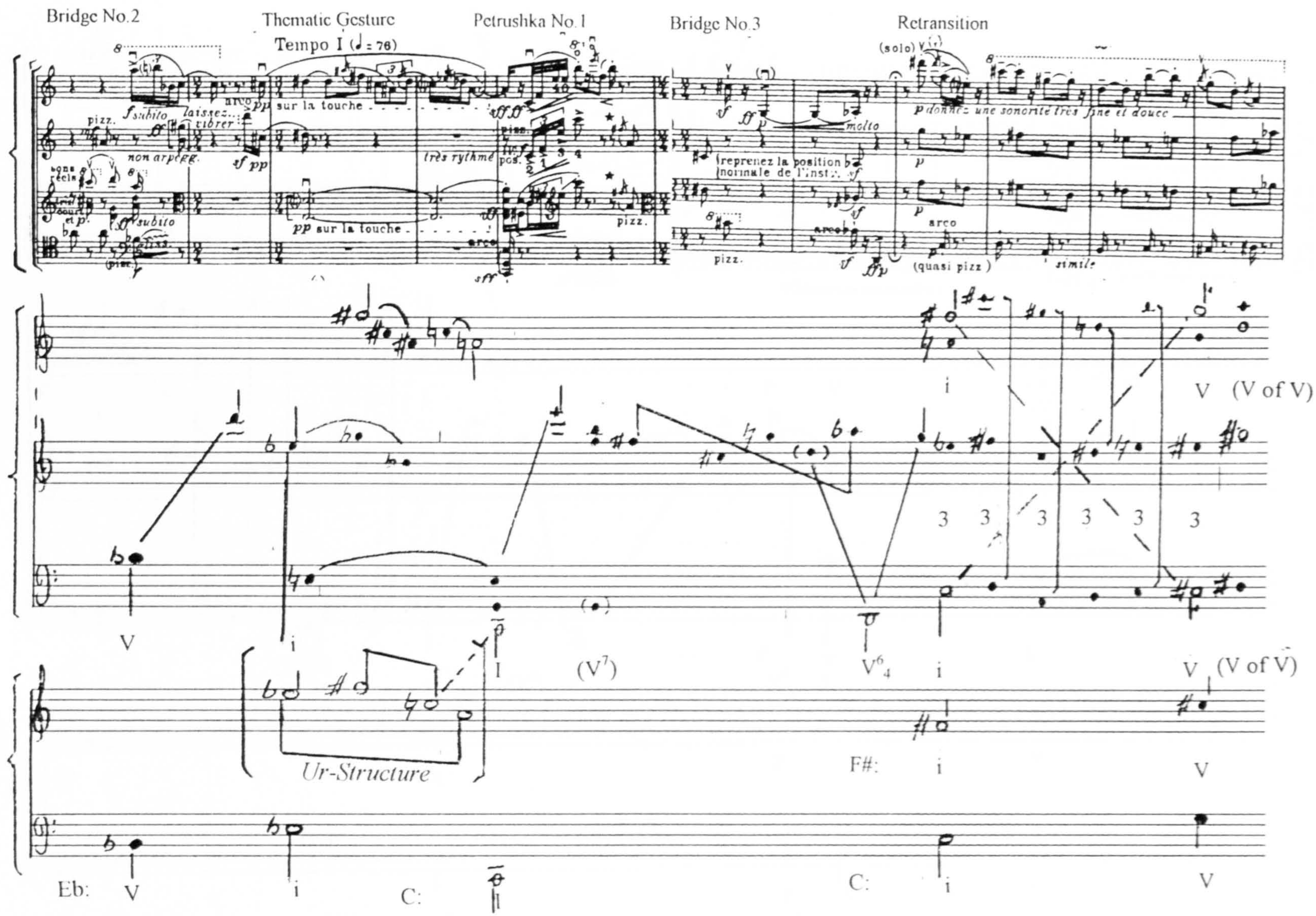
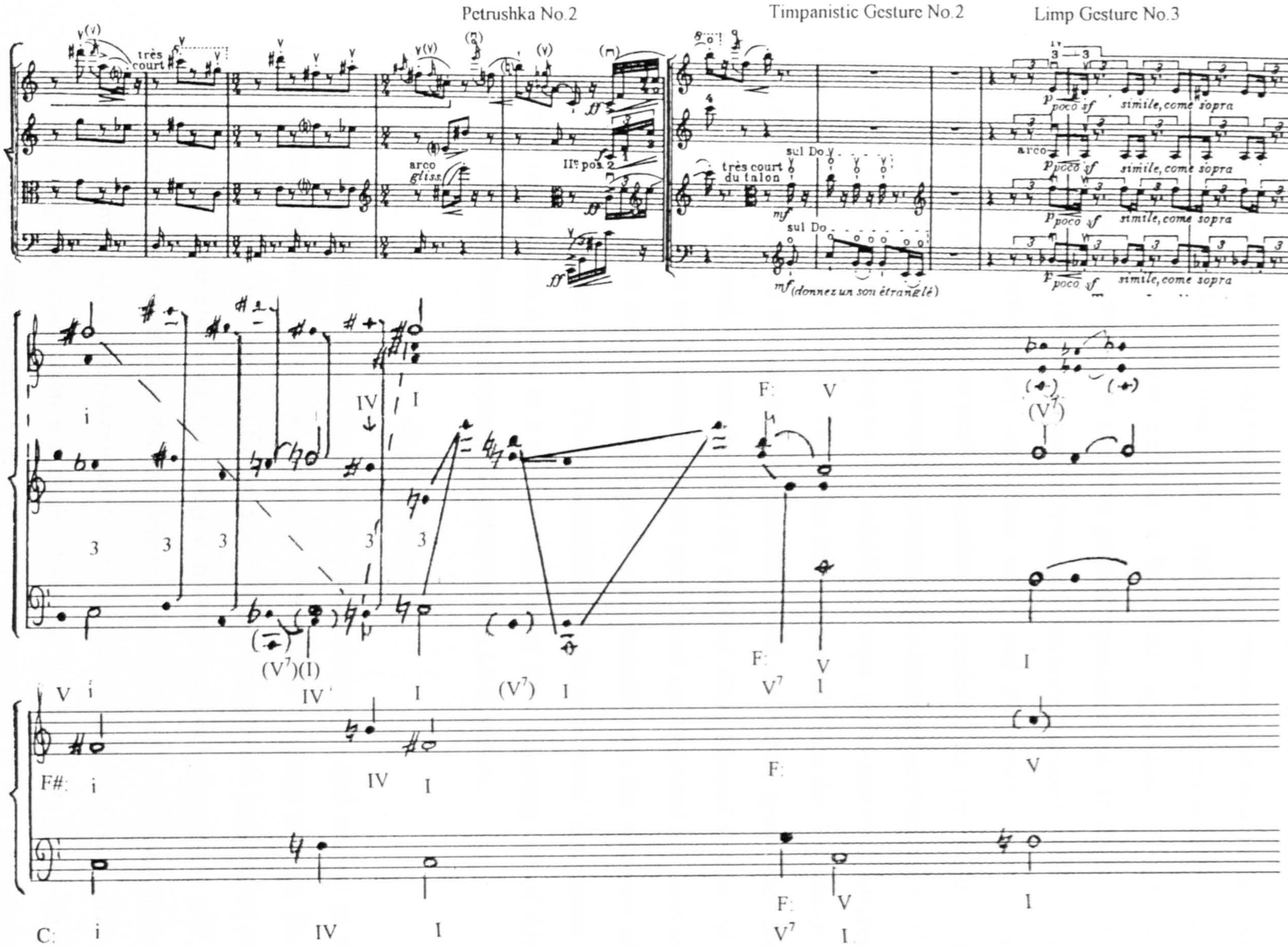
[108] Taruskin, *Stravinsky and the Russian traditions*, 1472.

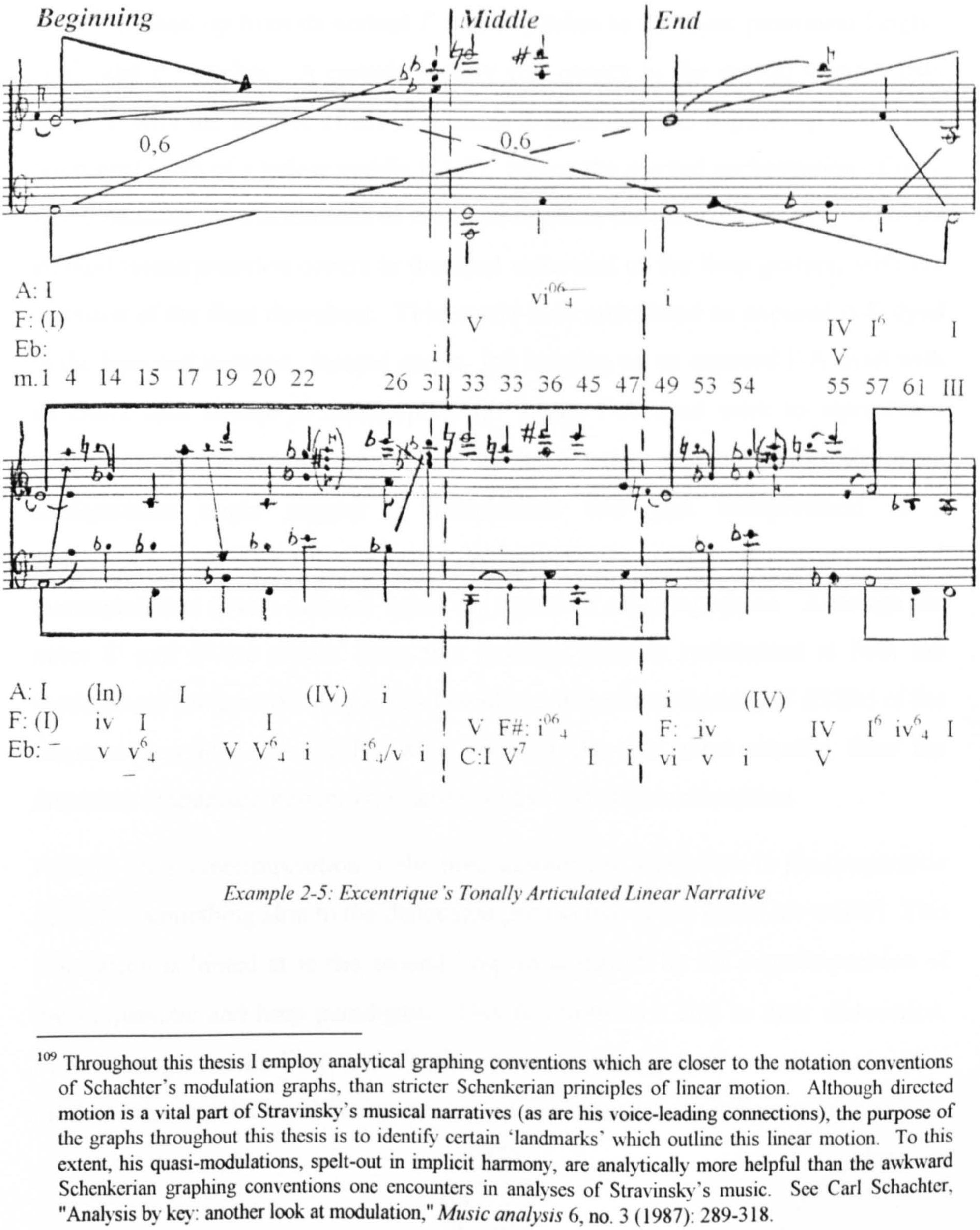
at m. 46 which signals the beginning of the recapitulation. What occurs in between is nothing short of a transition passage. This is, of course, the archetype linearly unfolding functional passage of the Germanic tradition, a complete anathema to musical discontinuity and a remarkable occurrence in Stravinsky's music. (Remarkable that is, not because they don't exist, but because their transitional functions are so heavily disguised.) Yet the transition at m. 35 is a rather hackneyed denial of the confirmation of C. It is shown in *Example 2-4*. What could be more clichéd than to slip up a semitone to C# in a series of perfect fifths, F#-C#-G-(D)-Ab-D? Stravinsky displaces the final D to exploit the tritone ambiguity of the series and this in turn curtails the expected Eb, re-establishing the pull towards C, with the bass note D forming an incomplete, second inversion dominant to the C minor dyad in m. 36. What follows is another deferral of resolution to C, in the most eccentric passage, *Excentrique* has to offer. It immediately affirms the opposition of C and F# with a C minor dyad in the bass superimposed with an F# minor dyad in the soprano. This is a literal citing of the diminished seventh *Ur-structure* so arranged to affirm the new dyadic opposition of C and F# which, by liquification, has superseded the A-Eb contest. The ensuing 'retransition' is then understood as a dual layered texture in which the first violin is ostracised from the remaining quartet. The quartet's lower layer dogmatically articulates major or minor dyads, whilst the first violin either acts bichordally (supplying F# and G superimpositions to C and C#, demarcated by down bow articulation, prior to m. 41), or functions as appoggiatura semitone embellishments to the bass layer's dyads. The voice leading extrapolation of this eccentric passage shown in *Example 2-4* should elucidate these relationships.

Example 2-4: Voice leading in Excentrique's Eccentric Transition

Example 2-4: Voice leading in Excentrique's Eccentric Transition (cont.)

The conclusion of the retransition lands on the bichordal compound of a C major dyad and F# major triad (m. 43), a quasi-*tierce de picardie* of its point of departure. It is followed by the return of the B-F, dominant functioning, 'Petrushka' gesture, this time resolving to its expected region of C—the transposed 'timpanistic' gesture (m. 46)—which was deferred from m. 33. This ties up a neat narrative reversal. The beginning of *Excentrique* exploits a horizontal opposition of cadential identities associated with pitch A and their gradual liquidation into an Eb thematic identity. The moment of this liquidation reveals a diminished seventh *ur-structure* anticipating the complementary opposition of C and F# which reverses the liquidation process. This vertical opposition is exploited in the middle of *Excentrique* with the F# arpeggios/appoggiaturas, proto-thematic gestures, (mm. 31, 33-34, 36, 40 and 42-43) yielding to C chordal/timpanistic, proto-cadential gestures (mm. 33, 36, 38, 40, 43, 44-46). Hence the beginning symbolises the 'liquidation' of cadential A material into thematic Eb material whilst the middle symbolises the 'mechanisation' reversal of proto-thematic F# material into cadential C material. At a very fundamental level, white notes are mechanical and cadential and tend to migrate towards black notes which are lyrical and thematic with the tendency of migrating towards white notes. The recapitulation on the transposed 'timpanistic' gesture is not so much a shift to a relative tonality, as the composing out of this process of reversal about the fundamental pitches of the *Ur-structure*.

End Narrative

This fundamentally changes any interpretation of *Excentrique's* end section as a mere arbitrary repetition of the beginning, as it no longer migrates towards Eb. Instead it exhibits a series of 'significant' alterations to the gestural implication of paradigms. These alterations suggest a migration towards a concluding region of F, with the retrospective implication that the deferred resolution to C, at the end of the retransition, symbolises a quasi-dominant to *Excentrique*'s conclusion on F. This shift of paradigmatic association is a double blow for the A priority of the limp gesture, because it was through an unequivocal A association of the timpanistic gesture in the beginning narrative that its framing limp gestures was weighted to the same pitch. To witness the same timpanistic gesture acting as a dominant to the F associated altered limp of the end narrative is tantamount to confirming that F is

indeed in the ascendancy. Assuming F is the controlling pitch of the end narrative, it outlines a background linear unfolding of an F major triad. The beginning representing the A (opposed with its tritone, Eb), the middle, C (opposed with its tritone, F#) and the end, F (anticipated by its non-deadlocked status in the microcosm of the opening 'limp' gesture). This tonally articulated, linear narrative is summarised in *Example 2-5*, based on the graphic notation conventions of Schachter.[109]



Example 2-5: Excentrique's Tonally Articulated Linear Narrative

[109] Throughout this thesis I employ analytical graphing conventions which are closer to the notation conventions of Schachter's modulation graphs, than stricter Schenkerian principles of linear motion. Although directed motion is a vital part of Stravinsky's musical narratives (as are his voice-leading connections), the purpose of the graphs throughout this thesis is to identify certain 'landmarks' which outline this linear motion. To this extent, his quasi-modulations, spelt-out in implicit harmony, are analytically more helpful than the awkward Schenkerian graphing conventions one encounters in analyses of Stravinsky's music. See Carl Schachter, "Analysis by key: another look at modulation," *Music analysis* 6, no. 3 (1987): 289-318.

Consider the evidence of migration to F in the end section. The *ur-structure* has been unfolded through paired tritones in a manner which concludes on C (A-Eb-F#-C), a symbolic dominant for a migration towards F. The repetitions of the 'limp' gesture which follow, exhibit marked orchestration (this is discussed in the ensuing section). The pitch defining notes are reassigned to the second violin and viola away from the traditional orchestration of first violin and cello. This represents an exchange of inner and outer voices which simultaneously alters the tessitura prominence of the pitch defining notes. The soprano F and E alternation of the viola is pushed up from its normal f' and e' pitches to the more prominent heights of f'' and e'' pitches. A complementary rise occurs in the second violin's bass pedal A, with the adverse effect of pushing it from the bass A pitch up to the less prominent pitch of c below middle C (c'). Hence the marked orchestration of mm. 48-51 weakens the associations of A and strengthens the associations of F. Another marked reinterpretation occurs in the final statement of the limp gesture, with the omission of the final downbeat. This would have articulated an exposed A-E dyad in the bass and soprano. Instead one is left hanging on an exposed F-A dyad with an entire bars silence to contemplate it. If the F-A dyad were to represent a conclusion on the tonality of F, then the inner voices (E and Bb) of the same configuration might suggest a minimalistic four part interpretation of a superimposed tonic-dominant seventh. We might refer to such a device as a 'token' reinterpretation of two cultural 'types' by means of superimposition. Although the notes C and G are absent from this reading, what is maintained is both the fundamental tonic-mediant dyad (F-A) with the irresolute tritonal pull (E-Bb) of the dominant seventh. E and Bb were after all the two notes missing from the dominant timpanistic gesture on C and G at the end of the retransition.

Perhaps their superimposition in the limp gesture and separation in the timpanistic gesture is something akin to the dislocated perspective of the cubist art world? This dislocation is hinted at in the second limp instantiation by the superimposition of the timpanistic and limp paradigms. This functions as a clue to their dislocation, even hinting at tonic-limp and dominant-timpanistic gestural associations which motivate the narrative and the superimposed tonic dominant configurations.

The final limp is immediately followed by a conclusion on the 'negation' gesture whose F pedal now appears to symbolise 'tonic' confirmation, removed from its more enigmatic insertions in the A-Eb contest of the beginning (mm. 15-16, 20-21, 23). Conceivably this enigmatic 'negation' gesture could be an ultra refined superimposition of tonic, subdominant and dominant, with the tritone embellishment neighbouring the latter two (F-Bb-B-C). This would compound the 'bichordal' tonic-dominant implications which became more explicitly marked at the close of the previous limp gesture. Confirmation of F aside, it is still a gesture of negation. To conclude with such material could be interpreted as a parallel of 'abnegation'.

Abnegation is the term Hatten applies to Beethoven's tendency to conclude not in the heroic tradition of overcoming struggle by the victory of one dynamic over another, but by the 'positive spiritual surrender to a higher power' that comes with the acceptance of the impossibility of overcoming such a struggle. The evidence for this parallel in *Excentrique* is that F, in terms of pitch structure and gestural associations, never engages in any real opposition of its own and certainly never resolves in any meaningful way. It, more than any other paradigm, upholds Taruskin's doctrine that repetitions occur 'without significant change'.

Beginning, Middle and End Narrative Summary

Stravinsky denies the possibility of mediating between the deadlocked oppositions of A-Eb and F#-C. The black notes have liquefacient propensities and the white notes have mechanical propensities but neither exhibits a resolving supremacy. Instead a liquefacient middle section appears to be framed by two mechanical sections in an archetypal ternary form. Symbolically, there is a linear narrative in which irresolute mechanical gestures become liquidated and yearn for resolution. Resolution occurs in a migration towards F associated material which is signposted via its dominant C, most notably by the retransition's timpanistic gesture. The return of the mechanical gestures, however, abnegate this sense of resolution as subtle shifts of pitch emphasis and gestural alteration fail to outweigh the inherent stasis of the mechanical material. The 'gestural' implication of this material, however, has changed. A cadential gesture in a thematic location exhibits a level of strategic markedness which is not present when the cadential gesture reappears in a

cadential location. Interpreted through markedness theory, *Excentrique* appears to overrule Taruskin's *drobnost'* hypothesis because repeated paradigms do not occur 'without', but rather 'with', significant change. There appears to be a conflict of surface discontinuity—repetition 'without' significant change—and subsurface linearity—repetition 'with' significant change.

Section 2 – Signification of Repeated Paradigms

The most prominent example of paradigmatic repetition occurs in the three reprises of the limp gesture. They constitute marked examples of the first instantiation: the opening gambit. Each reprise is in opposition with its other paradigmatic instantiations and consequently exhibits differing marked relations. These markedness values can be understood as *intraparadigmatic markedness* [IPM] ratings.[110] The ratings are measures of the asymmetry of oppositions occurring between the repeated instantiations of the same paradigmatic unit.

In *Excentrique*, instantiations two, three and four of the 'limp' paradigm are *intraparadigmatically marked* in relation to instantiation number one. This is because the first instantiation has the widest range of meaning of all the other IP instantiations. It constitutes the 'normal' configurational distribution of the paradigm in terms of pitch, rhythm, duration, orchestration, etc. Since this 'normal configuration' is also the first instantiation, we must be careful to dispel a potential criticism of the type Monelle raises when he states:

> It would be naive to assume that the *first* statement of a figure is always its standard form, the object of all subsequent 'iconic' variants. Some composers make a point of presenting their material in enigmatic form at the start, so that the standard form or 'theme' of a work seems to come near the end. Such is Bartòk's technique in his string quartets....Often there is no one statement that can be isolated as the theme; the theme seems to emerge as a composite product of the various statements [cited example: Beethoven's Eroica theme].... themes and their variants are 'replicas ruled by *ratio facilis*' (Eco 1979, 202). They 'reproduce certain pertinent features established by their type'.[111]

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[110] It might appear that *syntagmatic markedness* would be a better descriptive since the rating is based on the syntagmatically occurring oppositions within an individual paradigm. Unfortunately this potential descriptive does not convey that the markedness rating is restricted to one paradigm only. The chosen descriptive is preferable, therefore, despite its convolution.

[111] Monelle, *Linguistics and semiotics in music*, 210-11.

I do not seek to establish *iconic* relationships between an instantiation 'type' and its *intraparadigmatically marked* 'tokens'. Instead I attempt to identify 'theme and variant' relationships, whose 'replicas' gain significance through their IPM ratings. Whether or not one identifies unmarked instantiations with 'types' and marked instantiations with 'tokens', 'replicas' or 'variants' is peripheral to the semantic interpretation of their interplay; a task for the conscientious semiotic lexicographer. The ill-fitting nature of these terms for *Stravinsky's* narrative can be seen in relation to Monelle's examples of Bartòk and Beethoven. There may appear to be some correspondence of Bartòk's beginning-weighted, 'enigmatic' presentations and end-weighted, 'standard forms', with *Excentrique's* beginning-weighted, enigmatic 'limp' paradigm and 'end-weighted', less enigmatic 'limp' with F quasi-tonic pitch associations. What this overlooks, however, is that the nature of the 'limp' paradigm is to be enigmatic and its end-weighted (tonal) rationalisation is essentially abnegational, not conformational, in character. Similarly, following Monelle's example of Beethoven's *Eroica* theme—aligning the (unmarked) 'type' to the instantiation containing 'the least inessential elements'—again one would have to identify the final instantiation as the 'standard form'. This is because the final instantiation indicates that the concluding–downbeat–articulation of the configuration is inessential for the 'limp' paradigm. Though correct, it would be absurd to conclude from this that the final instantiation represents the 'standard form' as it is precisely this loss of concluding–downbeat–articulation which 'marks' the paradigm, giving it a very much narrower range of meaning than all its previous instantiations. As the ensuing interpretation will show in its discussion of abnegatory endings, logical syntactic categorisations of IPM ratings can be misleading if constructed in a context/cultural-sensitive void. The marked rating of the incomplete final instantiation (lacking concluding–downbeat–articulation), if for no other reason, can be justified alone by the ascription 'limp' paradigm—informed by the hermeneutic window of Little Tich's affected limp. The limp is defined by the excessively repetitive gesture comprising a long, upbeat articulation (the ordinary step of the efficient foot) immediately followed by a short downbeat articulation (the coming to an abrupt halt of the deficient foot, dragging behind). The absence of the final action is clearly a marked lack given that, without it, the music is suspended halfway through a completed step. In his discussion of

Osmond-Smith's article on iconism,[112] Monelle offers some justification for the inherent iconism of the limp gesture: 'Musical icons...tend to be confined to those phenomena which are *suitable* for musical representation, especially those with repetitive rhythms like galloping horses [limping clowns!]. A single event, like the descent of the guillotine in Berlioz's *Symphonie Fantastique*, is harder to picture.'[113]

Instead of adopting the problematic terms of 'enigmatic-' and 'standard forms', by treating paradigmatic instantiations as tokens of types, be they 'replicas', 'icons' or whatever, it is semantically more productive to interpret these marked instantiations ('altered replicas') as being in opposition—*intraparadigmatically* speaking—with their unmarked instantiations ('standard types'). Hatten's glossary definition of markedness conveys the potential utility of the concept for mediating IP oppositions.

> The asymmetrical valuation of an opposition (in musical structure, language, culture). For musical meaning, markedness of structural oppositions correlates with markedness of (expressive or other) oppositions among cultural units. Marked entities have a greater (relative) specificity of meaning than do unmarked entities. Marked entities also have a narrower distribution, which means that they tend to occur in fewer contexts, and thus (usually) less often than their unmarked opposites. Stylistic meaning in music is systematically secured by correlations of oppositions between musical structures and cultural units, as mediated by markedness values. Other motivations (iconic, indexical) may underlie the history of such correlations, but their coherence in a functioning style is tied to their systematic motivation in terms of correlations of marked oppositions.[114]

In light of Hatten's concept of markedness in music, the grounds by which the opening instantiation can be said to be *intraparadigmatically* unmarked in relation to the other three can be understood. *Example 2-6* aligns the various syntagmatic occurrences of the 'limp' paradigm, à la paradigmatic column convention, to clarify the IPM ratings of each instantiation. Breaking from that convention, I have appended to the final instantiation, the actual syntagmatic conclusion—the

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[112] David Osmond-Smith, "The iconic process in musical communication," *VS, Quaderni di Studi Semiotici* 3 (1972): 31-42.

[113] Monelle, *Linguistics and semiotics in music*, 207.

[114] Hatten, *Musical meaning in Beethoven*, s.v. "Markedness", 291-92.

'negation' paradigm—to elucidate the structural mitigation of F as quasi-tonic. (This is achieved by an uneasy conflation of Schenkerian notation, outlining a voice exchange between the final A–F dyad of the incomplete limp paradigm and the F–Bb dyad of the negation paradigm; the Bb acting as upper neighbour to an A, confirmed in the opening F–A dyad of *Cantique*.) The other instantiations are articulated as follows:

- Instantiation two (mm. 6-12) exhibits marked values in the parameters of *orchestration* (the loss of viola, replaced by double stopping in the cello); *duration* (twelve alternating gestures instead of six); and *inter-paradigmatic interplay* (the superimposition of the timpanistic gesture).

- Instantiation three (mm. 48-51) exhibits marked values in the parameters of *duration* (six alternating gestures are reduced to five) and *orchestration* (the extreme register A-E / F-A dyadic pitch defining notes are transferred from the 'outer voices' of cello and violin one, to the 'inner voices' of viola and violin two). In this subtle example of marked orchestration, Stravinsky redistributes the configuration, assigning the so-called 'home' dyad (A-E) to the quartet's inner voices instead of the outer voices it occupies in all other occurrences. Ironically, this is perhaps more visually, than audibly, striking since the registral layout of the configuration is unchanged. Assigning the tonal defining and registrally extreme notes to the quartet's inner voices, however, generates a curious sonority exploiting device. It divorces the tonal definition from the instruments conventionally associated with that function, an association that exists both *extra-* and *intraopusly*. Its negation at precisely this moment does little to confirm the conventional affirmation of a recapitulation.

- Instantiation four (mm. 56-58) exhibits marked values in the parameters of *duration* (a further reduction to four and a half alternating gestures); *rhythm* (the consequent loss of the final down beat); and *pitch* (the final A-E dyad, articulated by downbeat emphasis and extreme register, is replaced by an A-F dyad articulated by extreme register). Alone, the absence of the final triplet semiquaver may appear a minor omission. As suggested above, it assumes considerable significance, however, because the rhythmic upbeat conclusion emits a feeling of 'incompletion'. As the Schenkerian voice leading suggests,

there is also a tonal significance generated by the replacement of the final A-E dyad (previously defined by outer voice and extreme registral status) with the A-F dyad. The linear significance of A-based mechanical material yielding to F-based abnegating material has already been documented. The upbeat concluding 'resolution' on this F dyad is another example of the abnegating presence of its pitch association. In one sense it is symbolic of F's resolutionary function, yet at the same time, it is scarcely anything like a conventional, triumphant resolution—not so much a concluding affirmation of F as a reluctant acceptance of the rejection of A, the classic hallmark of resolution by abnegation.

Stravinsky's treatment of the two, later recapitulated 'limp' gestures is encapsulated by Hatten's definition of abnegation: 'willed resignation as spiritual acceptance of a (tragic) situation that leads to a positive inner state, implying transcendence'.[115] The third instantiation argues a strong semantic case for interpretation as a musically encoded metaphor of Hatten's notion of 'a positive inner state': the transference of pitch definition from outer to inner voices, located in the 'inner' instantiation. Similarly the curtailed final instantiation has an air of 'willed resignation' about it. Perhaps the final acceptance of the futility of the limp gesture, as a metaphor for the futility of the alienated clown's performance.

[115] Hatten, *Musical meaning in Beethoven*, 287.

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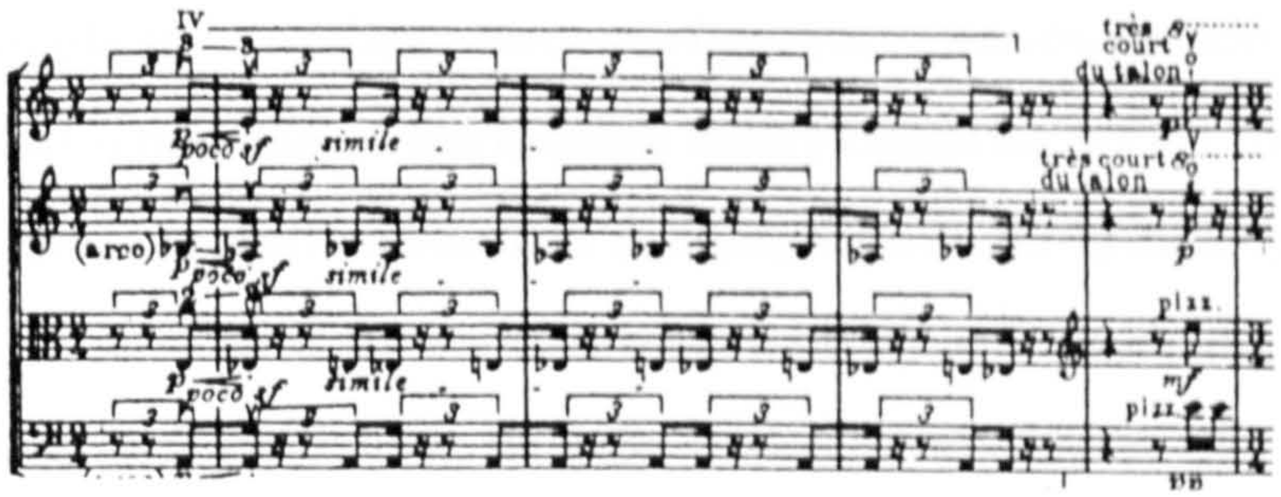
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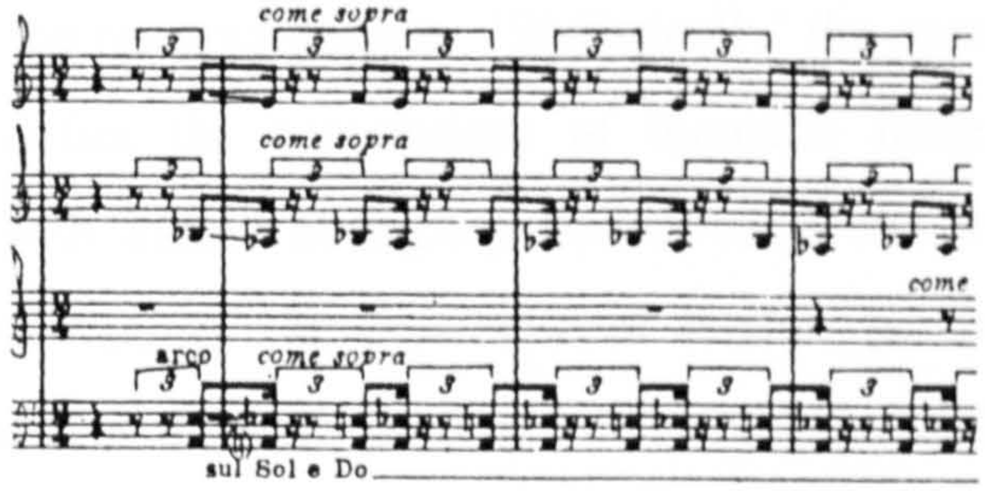
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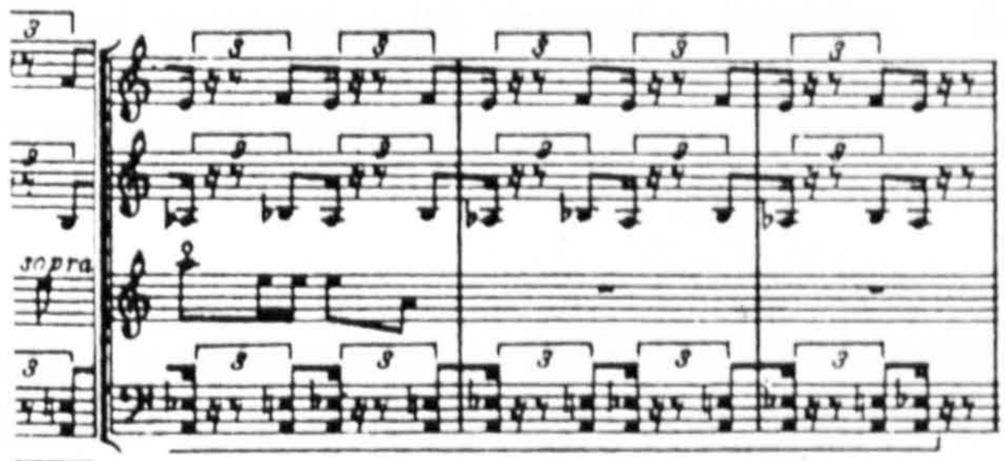
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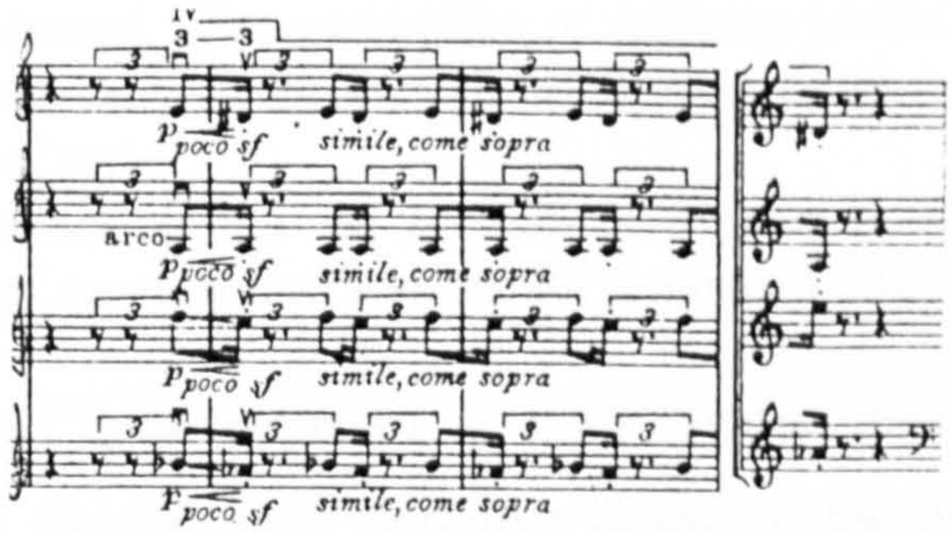
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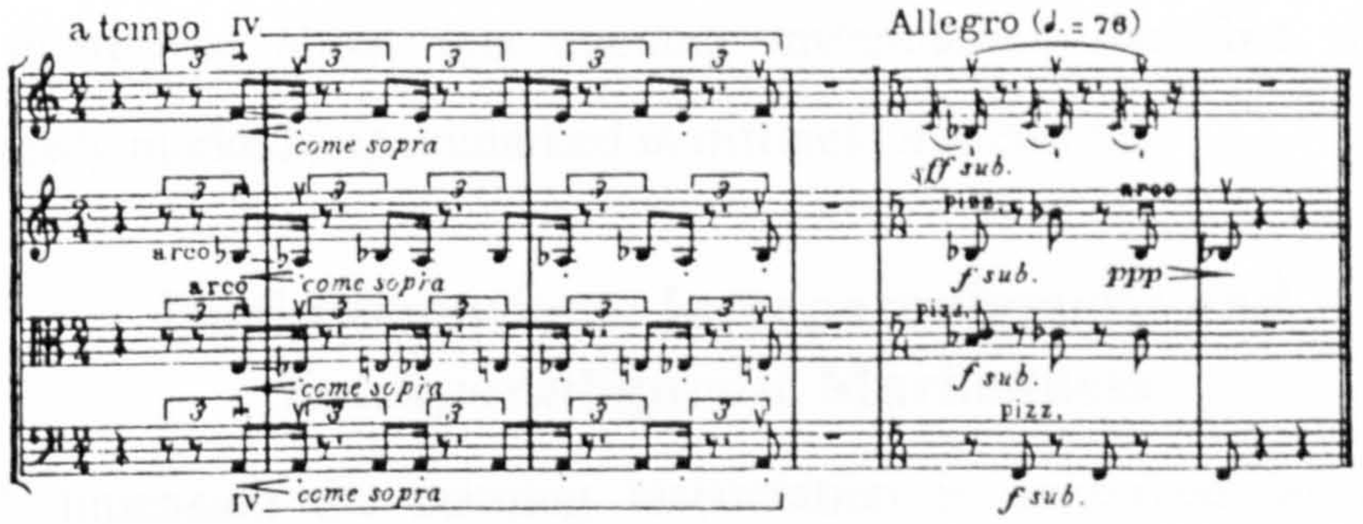
Example 2-6: Intraparadigmatic Markedness in Excentrique's Limp

The crucial implication of these *intraparadigmatic markedness* ratings is that they establish a dual dimension of markedness theory operating within the music. The first instantiation exemplifies this dual dimensionality. *Intraparadigmatically* it is an unmarked instantiation but *extraparadigmatically* it is marked. This inherent opposition is better understood through Hatten's descriptives of 'stylistic' and 'strategic' markedness,[116] as two instances of *extraparadigmatic markedness* occurring in the opening gesture. 'Stylistically' the opening instantiation is marked because it defies the conventions of thematic material. It is fundamentally 'aperiodic' with metric ambiguity derivative of the triplet phrasing; inarticulate rests; and reversal of the conventional iambic parsing of an upbeat-downbeat combination to a trochaic parsing. It is further 'stylistically' marked by tonal ambiguity. The instantiation is also 'strategically' marked, however, by the cross-matching of cadential material with thematic location. According to Hatten's definition this incongruous paradigm becomes 'thematized' in the narrative of *Excentrique*.

> Thematization is achieved when the work makes certain material the explicit focus of its formal and expressive argument. The result of this process is a foregrounding or salience of the (thematic) material so endowed....Foregrounding or salience yields a markedness at the level of strategy for material that may not have been marked at the level of style....
> any material can be thematically foregrounded by becoming a subject, or even the premise, for a musical discourse.[117]

The cadential 'limp' paradigm is both 'treated thematically' and 'provides the premise' for *Excentrique's* narrative based on the death of the theme strategy. What is interesting about this opening instantiation, therefore, is that it is simultaneously marked and unmarked in different dimensions.

Dual Dimensions: Intraparadigmatic and Extraparadigmatic Markedness

In the IP dimension the opening instantiation is unmarked by virtue of its syntagmatic, configurational normality. In the extraparadigmatic [EP] dimension, however, it is marked, 'stylistically', by its convention negation, and 'strategically',

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[116] Hatten, *Musical meaning in Beethoven*, 117.

[117] Ibid., 117-18.

by its thematization of cadential material. The significance of these dimensional considerations, is revealed in Stravinsky's exploitation of the play of IP and EP *markedness* to re-establish the linear narrative of *Excentrique* which otherwise appears to be negated by 'markedness reversal'. Put simply, *paradigmatic markedness* becomes the means of Stravinsky's narrative strategy in the cubist aesthetic.

This hypothesis can be more clearly formulated with the help of algebraic notation. This uses the following abbreviations: *intraparadigmatic* [IP]; *extraparadigmatic* [EP]; 'stylistic' [Sy]; 'strategic' [Sg]; marked [M]; unmarked [U]; 'markedness reversal' [MR]; and linear narrative [LN]. Using this notation, it is possible to formulate Stravinsky's cubist aesthetic play as follows:

i. EPM (SyM + SgM) = MR
ii. MR = -LN
iii. (EPM + IPU) < (IPM + EPU) = -MR
iv. -MR = LN

(Note that the 'is less than' symbol (<) is here used as a notational contrivance which should be read as 'is replaced by'.) This hypothesis can be understood as follows:

i. EPM exists when Stravinsky combines SyM and SgM in the same paradigmatic instantiation, such as occurs in *Excentrique's* opening gesture. This generates an aesthetic effect of MR because the listener becomes sensitised to the Sy and Sg negations.

ii. Constant subversion of this nature, makes salient the appearance of an impossible LN (represented as negative LN). This was referred to in chapter one as the 'illusion of impossibility', a work premised on 'negative' LN.

iii. In such a work, however, when EPM occurs through different instantiations exhibiting relative degrees of IPU and IPM, there is sufficient narrative imbalance to overturn the salient MR.

iv. This negation of MR thereby restores a sense of LN. This imbalance may 'resolve' in a variety of ways. In *Excentrique's* case it manifests itself by the reversal (EPM + IPU) < (IPM + EPU).

A representation of this is shown in *Example 2-7*. The relative font size of the markedness rating letters, indicates the respective degrees of *paradigmatic* markedness exhibited by each instantiation.

Paradigm Instantiation Number	***Intra-*** **Dimension of Paradigmatic Markedness** ***Extra-***	**Manifest in *Excentrique* by...**	**Aesthetic Impact of...**
	(M Rating) (Pitch Assoc.) (M Rating)	**'Convention-breaking'**	
1 (mm.1-3)	**U** Normal configuration distribution **A** **M** Cadential-theme	*Diachronic Subversion* EPM = (SgM+SgM)	*Markedness Reversal* IPU + EPM
'Beginning'		**'Mechanical'**	
2 i) (mm.6-9) **2 ii) (mm.9-12)**	**M** Double stopping in cello & loss of viola **U** Adopts timpani cadential figure → more closural	Separation of inner and outer voice 1) Paradigmatic superimposition 2) Viola solo is a tutti gesture!	Viola & inner voice are alienated 1) Confusion of identity 2) Alienates solo texture/theme
'Middle'	**Eb**	**'Liquefacient'**	
3 (mm.48-51)	**M** a) Inner-outer voice exchange of strings b) resurgence in opening location **M** Pitch defining notes transferred to vln2 & vla → less closural	Dual-dimensional marked Inner-outer transference	Significant instantiation Symbolic crux of linear narrative
'End'	**F**	**'Mechanical'**	
4 (mm.56-58)	**M** Loss of concluding downbeat **U** Quasi-tonic dyad articulation: a) Final note b) Extremes of Register → more closural	Affirmation of resolution in negated environment EPU = SyM + SgU	Abnegation IPM + EPU
		'Convention-seeking'	

Example 2-7: Relative Degrees of 'Horizontal' and 'Vertical' Markedness in the Limp Gesture

The basic narrative demonstrates a tendency for increasingly marked IP repetitions and increasingly unmarked EP repetitions as the internal narrative progresses. Contrary to Taruskin's hypothesis, the quasi-recapitulation of *Excentrique* demonstrates the repetition of paradigms with significant alterations. These alterations support a linear narrative which can be read both in terms of pitch associations (the opposition of A and Eb yielding to F) and metaphoric interpretations (mechanical gestures becoming liquidated and resolving through

abnegation). The crucial analytical mechanism uncovering these 'significant alterations' is the interpretation of marked oppositions which operate in dual dimensions.

This suggests the conclusion that IPU + EPM material, such as the first instantiation, is 'convention breaking' in character, whilst IPM + EPU material, like the final paradigm, is 'convention seeking' in character. For Stravinsky, EPM is generated by SyM + SgM and when this occurs in an IPM context (i.e. it becomes the structural norm), the result is MR. MR is fundamentally convention negation as a syntactic norm, hence the 'convention breaking' character of the IPU + EPM combination. It is evident that the reversal of this position IPM + EPU is fundamentally 'convention-seeking' in character because the EPU material will have lost its SyM + SgM combination. In *Excentrique's* case this occurs when the cadential material finds a cadential home, thus negating SgM. This is a locational alteration supported by the altered pitch associations of F replacing A. Ironically, some might say, 'sadistically', he does not permit the 'resolution' to EPU to be confirmatory. Instead he abnegates it by placing it in an IPM context. This does not, however, 'deny' the linear narrative, it merely disguises it in a process of reversal.

The concluding reversal of the opening gambit uncovers the evidence to substantiate the hypothesis that semiotic interpretation can re-establish the syntax of a linear narrative which other, more structuralist—commentators appear to dismiss in favour of discontinuity. The linearity can be rebuilt from the opening gesture, pregnant with the potential of marked imbalance and A, Eb and F pitch associations, because the 'working-out' of this propositional gambit is evident in the interposed material.

Narrative Articulation by Indexical Signposts

I have argued that the narrative of *Excentrique* is formulated around the limp gesture's 'emphatic' shift from an A-E dyad to an F-A dyad. I place the word 'emphatic' in inverted commas because these shifts of emphasis are, at the semantic level, extremely significant but appear relatively subtle at the level of musical salience. The final statement of the limp complex, for example, still

embodies an A-E dyad (contradicting the priority of any F–A dyad) but this has been divorced from its outer voice articulation both in register (bass and tenor replacing bass and soprano) and texture (cello and viola replacing cello and violin I orchestration). One may argue that such subtleties appear insignificant but I would contend that *Excentrique* gains most of its tonal/centric articulation from precisely these mechanisms of registral and textural articulation. In this respect, *Excentrique* resonates well with precisely the sort of *indexical* 'pointing gestures' to which Wilson Coker refers in his monograph on musical meaning.

> The musical indices give us the structure of the gesture, and by doing so they give us the structure of the gestural tendencies of sonorous motion. Musical index signs outline the boundaries of musical space-time in which the motion takes place. It might be said that the indices are the signposts along the pathway of a gesture's sonorous motion. They provide the performer and listener with a coherent map of the aesthetic experience as they undergo it. They help the listener notice, to perceive and heed, what is important. The index signs guide one's observations, giving him cues to the qualities and relations he should savor and scrutinize. They assist one in analytic discovery and discrimination of the moment. Thus, on a here-and-now, this-and-that basis of signification, the musical index signs play a structural role in forming musical gestures and syntax.[118]

One should note, however,—as Monelle observes in his discussion of Coker—that here the 'index' is interpreted according to Charles Morris' somewhat dated (1946) behaviouristic view rather than the Peircean context of sign function discrimination between 'icon, index, and symbol'. Nonetheless it seems more than reasonable to concur with Monelle's diluted interpretation of Coker, that prominent gestures may function as indices: musical signposts which guide a semiotically inferable narrative upon which meaningful interpretations can be made. 'In music, some notes or properties are more prominent than others....In terms of pitch the first, last, top and bottom pitches, and the most dissonant and consonant intervals, may serve as indices.'[119] This is precisely what happens in the reinterpretations of Little Tich's limping gesture. The final paradigm shifts its focus from an A-E dyad to an A-F dyad. This may not appear 'emphatic' but it is nonetheless a significant shift of emphasis in a significant location, generated by an altered rhythmic and tonal

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[118] Wilson Coker, *Music and meaning: a theoretical introduction to musical aesthetics* (New York: The Free Press, 1972), 91.

[119] Monelle, *Linguistics and semiotics in music*, 205.

implication of pitches. These shifts in emphasis are communicated through the type of musical indices referred to by Coker and Monelle. The reason these signposts appear somewhat elliptical is precisely because Stravinsky's deadlocked aesthetic can only communicate 'resolution' by a circumlocutory discourse. Anything else (i.e. a direct means of expressing resolution) would necessarily negate the salient deadlock; the premise of the cubist aesthetic.

To the index insensitive analyst, all instantiations of the limp gesture might appear to have identical significance (excepting perhaps Kramer[120]). A correct reading of Stravinsky's repeated paradigms, however, requires one to decode each instantiation, being sensitive to its own syntagmatic sign function. The second instantiation of the limp paradigm exemplifies this point. The conventional string quartet layout for the four part cadential complex is found in the first instantiation. The double stopping of the cello and redundancy of the viola in the first phrase of the second instantiation, by comparison, constitute both IP and EP, marked deviations. A different sign function is communicated by this alteration. Applying Hatten's dictum, that 'marked entities have a greater (relative) specificity of meaning than do unmarkd entities', one can say that the second instantiation has a narrower range of meaning than the first. The same can be said of the second phrase (m. 9). This is even more *intraparadigmatically* marked than its predecessor by the assimilation of the classic timpanistic tonic-dominant cadential figure of the second paradigm. Superimposing another cadential model into an already closural gesture—before any legitimate thematic statement has yet occurred—signals that the first instantiation was not merely an imbalanced premise to be worked out but a constitutive part of a death of the theme strategy.

Ironically in the EP dimension these three statements exhibit the reverse trend, becoming increasingly unmarked. This is because, with the exception of the third instantiation, the paradigm i) assumes more closural attributes by bonding with a cadence figure, ii) omits its final chord to conclude on a quasi-tonic dyad, and iii) moves increasingly towards a more conventional location for cadential material. In

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[120] Kramer would seek significance in the proportional consequences of the reductive reprise of the final instantiation which continues a decaying trend established in the third instantiation (mm. 48-51). Those unfamiliar with the proliferation of Stravinsky's 'additive' processes of this cubist era and the proportional narratives Kramer constructs from them, are referred to his analysis of *Symphonies of Wind Instruments* in Kramer, *The time of music*, 201-321.

the EP dimension, however, the listener's focus begins to shift away from the inappropriate 'locational' function towards the appropriateness of the 'material' gesture as the instantiations become increasingly closural. By desensitising the listener to the paradigm's inherent opposition of material and locational identity, Stravinsky shifts the salient emphasis of the EP dimension from marked to relatively unmarked at precisely the time the IP dimension shifts its emphasis in the contrary direction.

The orchestrational redistribution of the configuration in the third instantiation is yet another signpost to the sensitive listener. It signals the reversal of quartet convention. It detracts both from an *extraopus* quartet convention and the IP convention of note distribution. The displacement of the structurally defining pitches to the quartet's inner voices, and its placement in a resolutely opening location (after a retransition and almost two bars of silence), so disrupt the increasingly closural attributes of the paradigm, that it becomes the only instance where the paradigm is simultaneously marked in both *intraparadigmatic* and *extraparadigmatic* dimensions. Clearly this instantiation has an important narrative significance motivated by this exchange of inner and outer voicedness.

One further signpost implied by *intraparadigmatic* markedness is the reductive syntagmatic presentation of the instantiations, mentioned above. By reducing the number of repeated individual limp gestures from six to five, to four and a half repetitions in the final instantiation, Stravinsky conjures a gradual sense of decay in the limping paradigm which reaffirms its inherent, closural identity. This is because the decaying repetition represents something akin to an indexical signalling of ending (another example of exactly the type of indexical signalling to which Coker and Monelle referred).

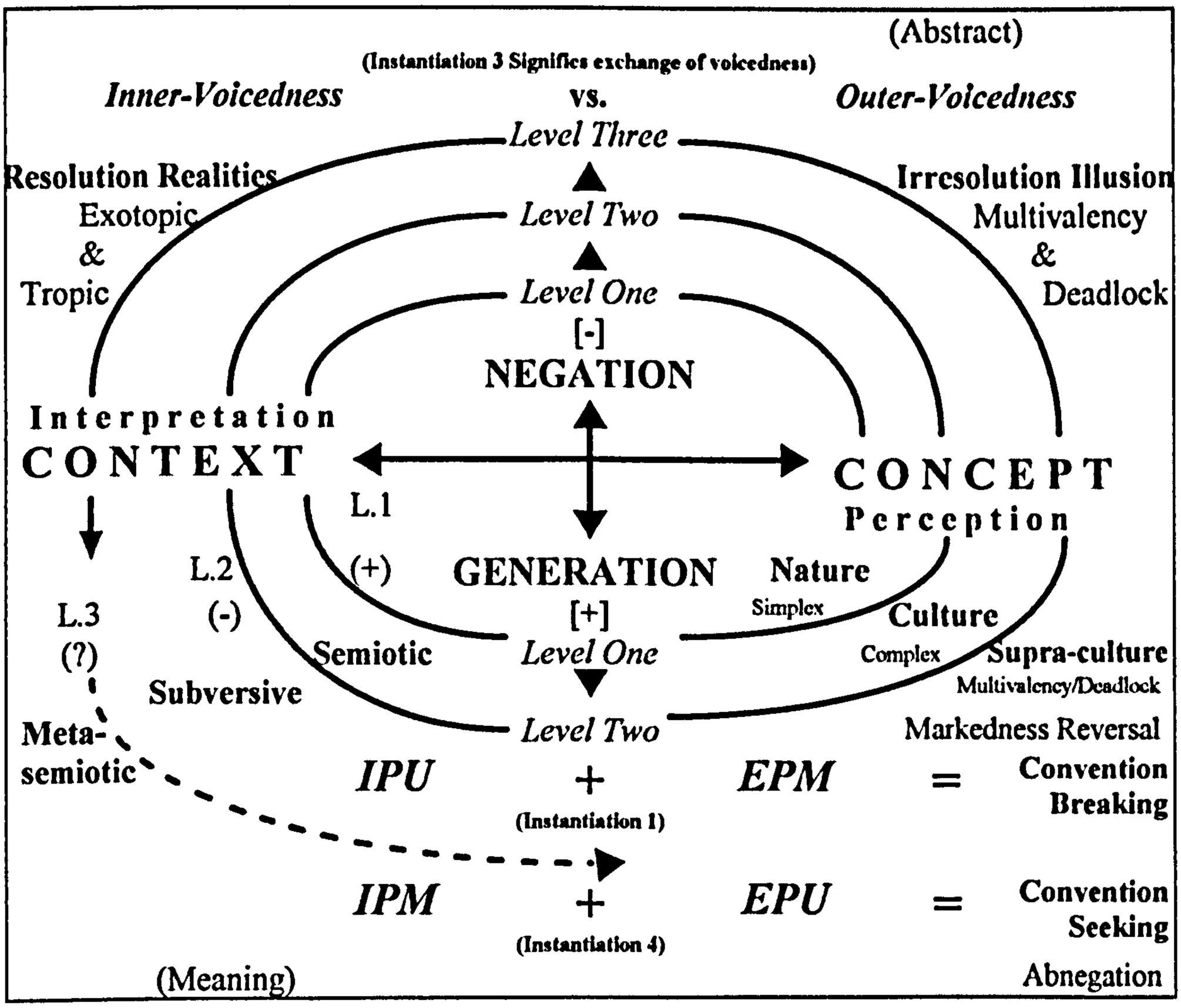
Although this sense of decay is an IP device, it is in the increasingly unmarked EP dimension that it has its salient effect. This is because it endorses the closural qualities of the paradigm as it draws near to its locational home at the end of *Excentrique*. *Intraparadigmatically*, then, the inner-outer voice exchange of the third instantiation and the incompletion of the fourth instantiation embody both tonal and metaphoric significance by their increasingly marked relation to the earlier instantiations. *Example 2-7* demonstrated that the altered repetitions

function as signposts, signalling a narrative reversal of IP and EP markedness, outlining the special position occupied by the dual-dimensionally marked third instantiation. They function in an analogous way to Coker's 'signposts along the pathway of a gesture's sonorous motion'.

Stravinsky initially signals the alienating mood of *Excentrique* by declaring, *intraparadigmatically*, that the raw material of the work, its basic (unmarked) conceptual unit, is, *extraparadigmatically*, a convention-negating gambit, a fundamentally marked cultural unit. By so doing, he establishes the premise of the work as one which stands in opposition to cultural convention: that culture being the European-Germanic tradition. The next signpost reveals a weakening of this alienating gambit by *intraparadigmatically* marking the, still *extraparadigmatically* marked, gesture as if to distance the real sentiment of the work from its alienated premise. His mechanism for this is an exchange of inner and outer voice identities. This perhaps serves as a metaphor for a narrative transition from an 'external' facade of alienation to an 'internal' reality of personal identity. The final signpost signals the arrival and revelation of this internal reality by the EP convention of affirmed closural location and conclusion on a quasi-tonic dyad. This naturally negates its own IP conventions by prioritising F instead of A and cadencing on an upbeat instead of a downbeat.

To summarise, the overall narrative effect of this 'process' is one of linear direction motivated by three signposts. The former signals 'convention breaking' alienation whilst the latter signals 'convention seeking' abnegation. The point of exchange is signalled by a dual-dimensionally marked metaphor of the process itself. It is possible to translate these signposts into three binary codes: IPU+EPM, IPM+EPM and IPM+EPU. There remains, of course, only one binary possibility: IPU+EPU. This dimensional combination is one unlikely to be encounter in Stravinsky's vocabulary, for it represents complete conformity to convention. Clearly this is alien to Stravinsky's cubist language, the basic currency of which, as stated in the opening premise of the thesis, is convention 'subversion'.

Example 2-8 maps these binary codes onto *Example 1-1*—the context-concept spiral of cultural negation to show exactly how they mesh with the aesthetic theory of deadlock established in the first chapter.



Example 2-8: Context-Concept Spiral of Cultural Negation Revised and Revisited

The key observation to be made here is the 'convention breaking' combination of IPU and EPM which establishes the aesthetic mechanism of markedness reversal. This process of giving subverted cultural conventions the appearance of normal conventionality 'within' the work makes 'markdness reversal' the foundation stone of Stravinsky's deadlocked aesthetic. This combination establishes the 'supra-culture' in which Stravinsky's markedness reversal finds its own conventions. Two of these 'supra-cultural' conventions are *alienation* and *abnegation.* They function as motivations behind *Excentrique's* signposts. As such they form the basis of semantic reconstruction, the interpretative counterpart to semiotic deconstruction.

Semiotic deconstruction re-establishes a sense of linear narrative underlying the facade of discontinuity. Semantically, however, it still requires hermeneutic intervention to make sense of such a, 'sadistically' encrypted, linear narrative. This dependency of semiotics on hermeneutics should restore the semantic dimension lacking in structuralist or historicist interpretations. It is something anticipated in Hatten's definition of semiotics.

> The discipline focusing on modes of signification (semiosis), the varieties of sign processes, and the various motivations for signification. As used here, a semiotics of music embraces STRUCTURALIST (stylistic correlations mediated by markedness) and HERMENEUTIC (strategies of interpretation) approaches.[121]

The Semiotic Position of Musical Signification

Having established that the interplay of IPM and EPM ratings can be used to re-establish a linear narrative for *Excentrique* it is worth visiting one of the semiotic problems which discontinuous interpretations of Stravinsky's cubist aesthetic face. The structuralist premise (i.e. the rejection of linear narrative or significant change in recurring paradigms) generated for the semiotician is that at best discontinuous strategies appear capable of identifying only forms of *iconic* reference from the work to an external object, or point of reference. This is problematic by virtue of the redundancy *iconic* 'interpretation' has for formulating qualitative judgements concerning musical meaning. The linguistic and semiotic position of the musical *sign* as regards its *manner of relation* to particular *objects*—the semantic units to which a work corresponds and from which a linear narrative may be 'reconstructed'—is summarised in Monelle's distinction of the 'icon, index and symbol'.[122] He charts the concept of musical iconism in terms of *images*, *diagrams* and *metaphors*, according to Peirce's levels of firstness:

> The icon has no dynamical connection with the object it represents; it simply happens that its qualities resemble those of that object, and excite analogous sensations in the mind for which it is a likeness. But it really stands unconnected with them. The index is physically connected with its object; they make an organic pair, but the interpreting mind has nothing to do with this connection, except remarking it after it is established. The symbol is connected with its object by virtue of the idea of the symbol-using mind, without which no such connection would exist.[123]

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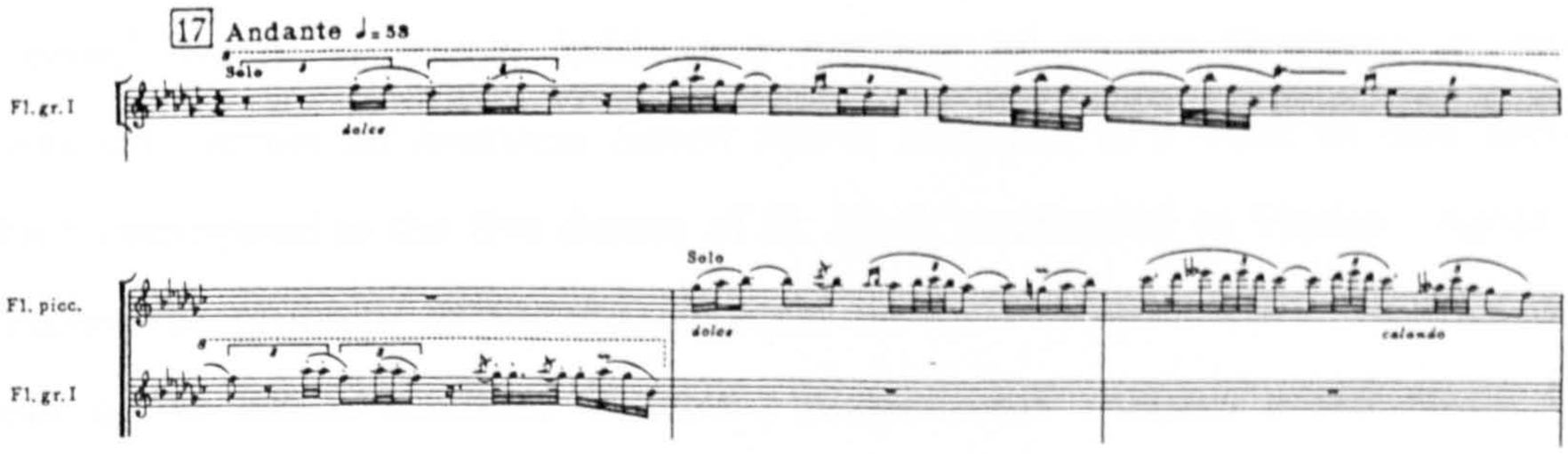
[121] Hatten, *Musical meaning in Beethoven*, s.v. "semiotics", 293.

[122] Monelle, *Linguistics and semiotics in music*, 193-219.

[123] Charles Sanders Peirce, *The philosophy of Peirce, selected writings*, Justus Buchler ed. (London: Kegan Paul, 1940), 114, cited Monelle, *Linguistics and semiotics in music*, 199.

Iconic Imagery

Stravinsky is seldom cited as an exponent of iconic imagery. Both his aesthetic bias towards 'objectivity' and his cultural pedigree in the 'Silver Age' of Russian music, help to explain this fact. The ideological 'retreat into fantasy',[124] which characterises the Silver Age appears more concerned with evocation than resemblance; the 'how' of presentation, not the 'what' of representation. 'My ideal is to find in art what is not on earth. Art is the kingdom of what is not'[125] It is ironic, then, that one finds Stravinsky's perhaps most iconic image in his archetype Silver Age work, *The Nightingale*, prefiguring the nightingale's entrance at *Figure 18* (*Example 2-9*).



Example 2-9: Iconic Imagery in Stravinsky's The Nightingale Song

Given the cultural background of Stravinsky's quintessential 'Silver Age' work and the aesthetic influence it exerted over subsequent works,[126] it is scarcely surprising that Stravinsky is not renowned as one of the greatest exponents of *iconic imagery*. *Excentrique*, however, embodies its own striking example of *image-iconic*

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[124] Taruskin, *Stravinsky and the Russian traditions*, 463.

[125] Andrey Nikolayevich Rimsky-Korsakov, "Lichnost' Lyadova," *Muzïkal'nïy sovremennik* 2, no. 1 (1916): 80-97, cited ibid., 450. (Anatoliy Konstantinovich Lyadov is described in the same article as 'an intellectual and spiritual *impressionist*'.)

[126] Taruskin identifies the influence of *The Nightingale* and its Silver Age values (essentially gleaned from Stravinsky's interaction with the composer Cherepnin) as a vital element for Stravinsky's 'transition from the machine-tooled techniques of the *Scherzo fantastique* and *Fireworks* to the poetic world of *The Firebird*'. See ibid., 423-486. Ironically the rest of Stravinsky's career might well be understood as a reversed transition away from the poetic world of the *Firebird* to the machine-tooled techniques of his neoclassic and serial works.

signification in the *resemblance* of Little Tich's infamous limping gesture with the, thus named, 'limp' paradigm (the cadential theme of *Example 1-6*). The gesture—a long, slow step followed by a short, quick dragging of the 'lame' leg[127]—neatly synchronises with Stravinsky's repeated opening trochee; as if Little Tich, himself, enters the stage to commence a performance. Alone such a paradigmatic *iconic image* association has limited utility for the semantic interpreter but evaluated in the context of a structural plot, the gesture becomes a valid semantic tool.

Iconic Diagrams

Iconic diagrams are even rarer in music in general than are Stravinsky's *iconic images*. Monelle actually cites Stravinsky's most explicit example of *diagrammatic iconism*,[128]which is widely held as a paragon of *iconic diagrams* in music. *Canticum sacrum ad honorem Sancti Marci Nominis*, is a work of five sections which correspond to the five domes of St. Mark's cathedral in Venice. Again this presents the problem of limited semantic utility. *Diagrammatic iconism* might seem to be where Jonathan Kramer's proportional analysis could easily lead. Indeed it is no surprise to learn that *Canticum sacrum* is governed by an accuracy of proportional control second only to *Agon* in Stravinsky's repertoire.[129] Even where such proportions correspond to concrete *diagrammatic* structures lying outside the works themselves, such findings are, on the whole, semantically redundant.

Iconic Metaphors

Perhaps Kielian-Gilbert's attempt to draw associations based on *metaphoric iconism* might yield more semantic utility. *Metaphoric icons* occur when the work of art resembles a parallelism in another object. When Kielian-Gilbert relates the expansion and contraction of *paired interval class five* pitch associations to Stravinsky's metaphor for 'the respiration of music' based on 'poles of attraction', she perhaps begins to engage in an *iconic resemblance* with legitimate semantic implications. Her conflation of two separate cultural languages, however, weakens her metaphoric association. Her analytical mechanism depends on interpreting

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[127] Tristan Rémy, *Les clowns* (Paris: Bernard Grasset, 1945).

[128] Monelle, *Linguistics and semiotics in music*, 198.

[129] Kramer, *The time of music*, 288-303

Excentrique as a sequence of isolated moments, which are translated into a linearly connecting sequence solely by their abstract, sonority values. This connection rests on spurious musical grounds, since cognitive and perceptual experience suggests that such sonority relations are scarcely the most salient feature of the music.

A stronger example of *metaphoric iconism* can be inferred from the earlier discussions of Oedipus' aria (*Example 1-7*). Curiously, like *Excentrique*, the aria embodies a metaphor of 'lameness'. Little Tich's 'limp' is substituted with Oedipus' 'swollen foot'[130]—if you will forgive the analytical fetish for walking deficiencies. Oedipus' deficient feet are *metaphorically* encoded into the music of his aria by a somewhat uneasy relationship between *Oedipus'* vocal line and the harmonic bass line support. Either Oedipus is completely alienated from this support (e.g. at *Figure 16*[4] Oedipus rests on a Bb against the cadence onto a dominant root chord of F major) or he is disjointed with it (e.g. at *Figure 17* Oedipus' sustained Eb belongs to the subdominant 6-3 harmonic support two bars earlier, not the submediant of *Figure 17*: the cello's Gb bass note does not articulate Oedipus' line but the clarinets' submediant definition).

In defence of this *metaphoric iconism* one can turn to another semiotically inferred analytical fetish for 'deficient feet', Agawu's citation of the March from Beethoven's A minor String quartet op. 132 (*Example 2-10*). The March appears to lack its own rhythmic-harmonic feet by the absence of any downbeat: 'the dotted-note idea initiated by the cello in measure 11 is clearly a reference to a march....There is something odd about this march, however, for it is missing a crucial downbeat. This is, in fact, a "defective" [lame] march, whose "ideal" form does not occur until the very end of the movement [measure 258]'.[131] In Agawu's example, the deficiency manifests itself by the recurrent absence of any downbeat articulation; it is effectively rendered lame. The lack is another example of 'synchronic syntactic subversion.' The parametric noncongruence of harmony and metre therefore renders the march—a 'topic', heavily dependent on the coincidence of metric and harmonic articulation, particularly at the first down beat—deviant; it is a gesture of iconic irony.

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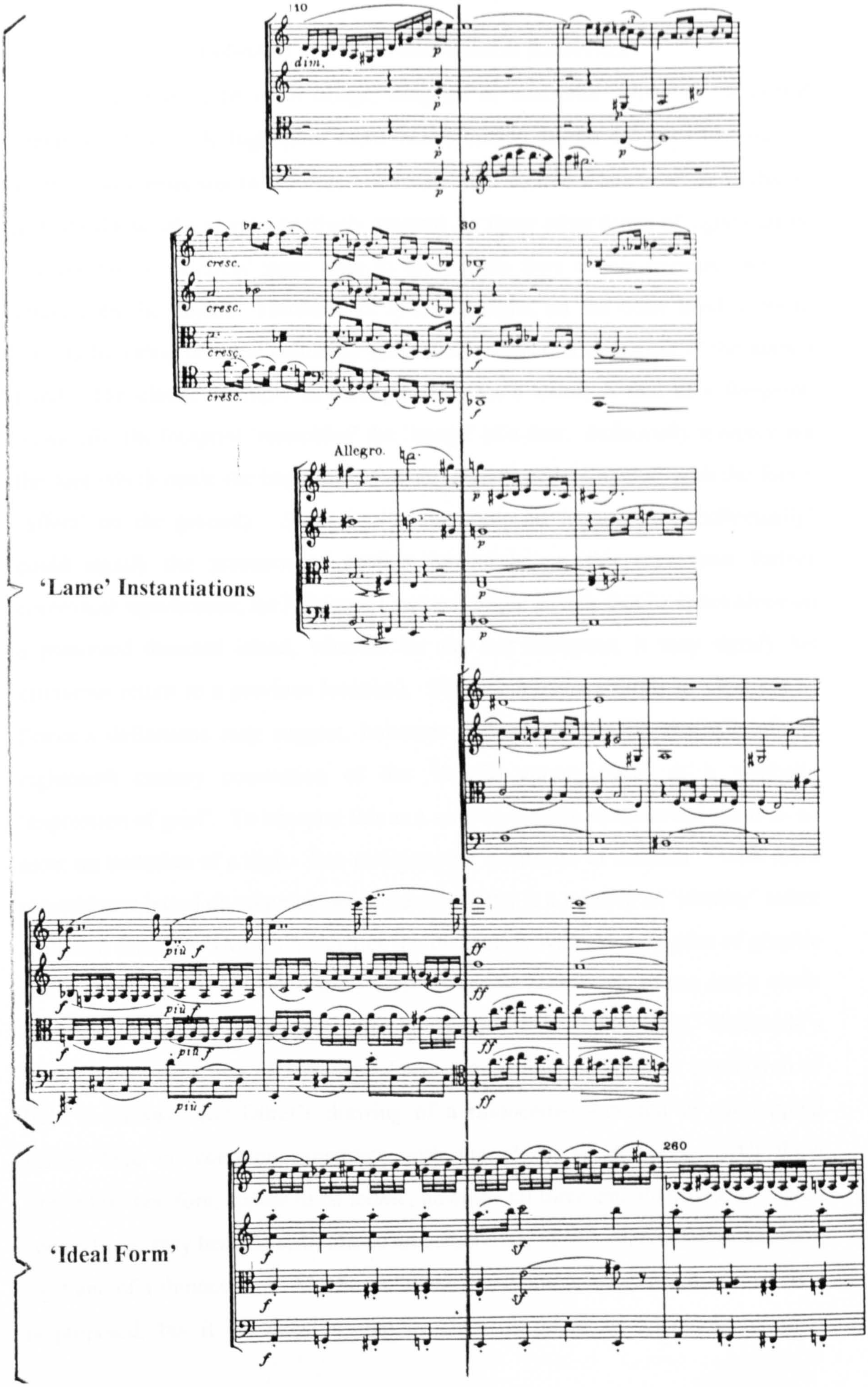
[130] The Latin word 'Oedipus', literally translates as 'swollen foot' and is generally regarded in Sophocles' tragedy as a metaphor for Oedipus' fated status; an embodied weakness standing in opposition to his kingly hubris.

[131] Agawu, *Playing with signs*, 114

Example 2-10: Iconic Metaphor Resemblance in Beethoven's String Quartet Op. 132 - March

Indexical and Symbolic Musical Reference

Iconic resemblance, be it an image, diagram or *metaphor*, alone is of limited semantic utility. It highlights mere *resemblance* devoid of any dynamic or intellectual connection to the object it resembles. Peirce's levels of 'secondness' and 'thirdness' of a sign respectively account for these other forms of signification. Secondness or *indexical* signs refer to the objects they denote because they are affected by the object. Thirdness or *symbolic* signs, on the other hand, refer to objects by virtue of some culturally generated intellectual operation of the human mind. The classic example to distinguish Peirce's terms, is that of a footprint. *Iconically*, the footprint 'resembles' the 'image' of a foot. *Indexically* it represents the foot which made the impression (an association of 'contiguity' with the foot's 'affect' on the ground). *Symbolically*, the footprint interpreted 'intellectually' could signify the presence of another human being (this may have further contextual significance; for Robinson Crusoe it might signify that he is not alone on a presumed deserted island, whereas for the lost navigator, it may signify his circuitous return to a previous location). Sign functions are rarely as clear cut as Peirce's definitions may suggest, however. Monelle cites the example of the eighteenth century convention of the 'doleful appoggiatura' as a symbolic 'expression of grief'. To interpret this as a *symbol*, betrays its historical status as an *icon*: an imitation of a sigh. Eco criticises the confusion of iconism[132] with mere resemblance based on common properties: the latter is a relation of 'identity' rather than sign function. (Monelle clarifies the distinction with the examples of graphic conventions. Lowry's 'match-stick men' are iconic because five lines and a circle have no common properties with an actual man. Similarly, Constable's photographic depiction of *Wivenhoe Park*—transcribing the human perception of light to canvas—and Dürer's drawing of a rhinoceros—covered in overlapping plates—bear no common properties with the object of depiction. All three examples, therefore, appear to be *iconic*, however all three established new graphic conventions; they became symbolic of an actual man, of Wivenhoe Park in a certain light and of a rhinoceros.) 'Maybe an "iconic" solution is not conventional when it is proposed, but it becomes so step by step, the more its addressee becomes

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[132] Umberto Eco, *A theory of semiotics* (Bloomington: Indiana University Press, 1979), 191-217.

acquainted with it' (Eco 1979, 204-205).'[133] The problem with applying Peirce's sign functions, then, is that individuals establish new codes which, though initially *iconic*, become *symbolic* through the process of enculturation. Perhaps Stravinsky's 'death of theme' strategy, established in the markedness reversal of *Excentrique*, constitutes a musical example of an *iconically* established, now *symbolic*, sign for the loss of personal, human identity amidst a mechanical framework? Whether through *moment form* interpretations or the formal implications of *nepodvizhnost'* or *drobnost*, what appears problematic about the rejection of continuity in *Excentrique* is that discontinuity appears to reduce the semiotic perspective to a method of identifying token resemblance in so-called self contained sections. Such token resemblance is semiotically problematic and semantically redundant without further interpretation. By employing semiotically informed resemblance as the building blocks for semantic interpretation, however, it is possible to uncover a teleological narrative underlying the salient discontinuities of Stravinsky's cubist aesthetic. I base this hypothesis on the premise that without some element of drama, one has no semantic mechanism with which to interpret music, however abstract that music may appear. Drama necessarily unfolds linearly and teleologically. Its language comprises a syntax of oppositions which unfold through dialogical discourse. This is why so much emphasis in this chapter has been given to interpreting that discourse, by reconstructing the linear narrative which Stravinsky's subversion so blatantly obstructs.

Section 3 – Semantic Interpretation

The reader will recall from chapter one that formulating a semantic perspective for structuralist correlations is the task of 'tropological' interpretation. This was proposed by Hatten who discriminates between correlative and metaphoric interpretative strategies. The former is based on meaning through type-token recognition, the latter on emergent meanings generated by the 'figural play' of opposed correlations. His formulated hypothesis states that 'in order for tropological interpretation to be warranted, there must be a musical event that contradicts stylistic expectation'. The technique of *bi-isotopy* was cited as an example of just how these contradictions may be encoded. Cultural units, *semes*,

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[133] Monelle, *Linguistics and semiotics in music*, 202.

(e.g. plagal cadences) cluster into larger significant isotopies, *classemes*, (e.g. the 'pastoral' or 'religious') which in turn can then generate oppositions amongst themselves (e.g. the 'religious' superimposed with the 'heroic'). These forms of *classemes* are far too emotive, or romantic, in conception, however, for Stravinsky's narrative. Instead, Stravinsky appears to objectivize these subjective isotopies. *Excentrique's* narrative appears to be governed by two isotopies, the 'mechanical' and 'liquefacient'. These *classemes* are far less subjectively weighted descriptives than the 'pastoral', 'religious', 'heroic', etc., yet they function in much the same way. As I have demonstrated above, most of *Excentrique's* material can be subsumed into these two *classemes* and these appear to function 'bi-isotopically' in the linear narrative. The liquefacient tendencies act as a countervailing force to the 'theme negating' mechanical properties.

Naturally, these *classemes* must be 'cultural' units and they must be constructed from *semes*. Again the *semes* Stravinsky employs are more objectivized than the ones to which Hatten refers. Instead of a plagal cadence, which might cluster into a 'religious' isotopy, Stravinsky offers the culturally defined unit of 'cadentiality' itself—somewhat neutralised from more emotive 'religious', 'heroic' connotations. The *seme* of cadentiality, then, clusters into a *classeme* which can be understood as a 'mechanical' isotopy. If *Excentrique's* limp gesture exhibited a decidedly plagal or feminine cadential identity, it could cluster into the specific isotopies of the 'pastoral' or 'religious'. Likewise if it was decidedly perfect or masculine in identity, it could cluster into the 'heroic' or 'military' isotopies. It exhibits none of this subjective isotopic specificity, however. It does not even exhibit the 'function' of cadentiality. What it does exhibit, or even celebrate, is the mechanical propensity of cadential gestures. It is pure punctuation, devoid of anything to punctuate. It, therefore, thematicizes its own punctuative characteristic into an isotopy and its identity as a cultural unit rests in this inherent propensity to punctuate; the very essence of cadentiality. The same can be said of the 'liquefacient' isotopy. The 'thematic' and 'weeping' gestures are fundamentally detached from any association with subjective *classemes*. They are both 'doleful' in character but seem to transcend any topical definition. Again it is the evocation of the essence of 'lyricism', which is objectivized into a 'liquefacient' isotopy rather than a more subjective 'pastoral' isotopy, exhibiting only a particular form of

lyricism. The deadlocked alternation of culturally negated isotopes, therefore, ensures that the musical events of *Excentrique* contradict stylistic expectation. Coexisting with this 'stylistic' contradiction is the 'strategic' contradiction exerted in the figural twists between material and location functions. *Excentrique*, therefore, is 'ripe for tropological interpretation' according to Hatten's hypothesis. (The reader can cross reference to *footnote 68*, to recall the citation of this hypothesis in chapter one.)

The cultural grounding of these so-called 'cultural' units may appear to be lacking, however. The critic will argue that I merely 'invent' cultural units. That the mechanical and liquefacient isotopies are my own subjective impositions to the narrative. Surely there is, after all, a qualitative difference between the cultural grounding of the 'topics' to which Hatten refers and my 'invented' topics. As Agawu has shown, there is an expanding but definable 'universe of topics'[134] for classical music, particularly the Beethoven repertoire with which both Hatten and Agawu are primarily concerned. Where is the cultural grounding for a universe which includes the somewhat sterilised isotopies of the mechanical and liquefacient? It comes from a combination of Stravinsky's Russian background and the culture in which he was contemporaneously embroiled, the French art world of Cubism and the Ballet Russes. In essence the mechanical and liquefacient are parallels for the artificial and natural/supernatural on which so many Russian folk tales are based. These isotopies take their first significant manifestation in *The Nightingale*, Stravinsky's archetypal Silver Age work. Taruskin identifies both this bi-isotopic opposition in the Hans Christian Anderson libretto—'It was...a parable of "unfettered" artistic inspiration versus learned artifice and routine'[135]—and the Russian pedigree of the traditional Rulanesque opposition upon which it (and works like *The Firebird* and *Petrushka*) is based.

> The puppet/people opposition in *Petrushka* might be viewed as merely the traditional Rulanesque (or Firebirdish) fantastic/realistic opposition in a new guise. Once again the human element is represented by diatonic folklore and the nonhuman by typically "symmetrical" Russian chromaticism. But the musical contrast, like the poetic contrast it reflects, is treated with a wily

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[134] Agawu, *Playing with signs*, 30.

[135] Taruskin, *Stravinsky and the Russian traditions*, 464.

> irony: the "people" in *Petrushka*, with negligible exceptions, are represented facelessly by the corps de ballet. Only the puppets have "real" personalities and emotions. The people in *Petrushka* act and move mechanically, like toys. Only the puppets act spontaneously, impulsively—in a word, humanly.[136]

Petrushka (both the ballet and its leading anti-hero) represents the undisputed paragon of Stravinsky's modified Rulanesque tradition. As the thesis will demonstrate, this bi-isotopic opposition becomes so central to the semantic interpretation of Stravinsky's works that it represents something of his aesthetic cultural *Ur-code*; later referred to as the 'Petrushka syndrome'. In *Excentrique*, the puppet is merely substituted for the clown (Little Tich). The mechanical, liquefacient isotopies are essentially metaphors themselves for the nonhuman and human. The artifice of the mechanical, nonhuman isotopy is treated in a 'ritual' manner, denying any emotional personality, whilst the sincerity of the liquefacient, human isotopy is treated in a 'sexual' manner, affirming emotional personality. Nowhere is this metaphor more pronounced (albeit with the ironic twist of puppet-human role reversal) than Petrushka's perception of the 'exterior' world of a ritual Shrove Tide fair (passively observed in abrupt mechanical sequence devoid of any human empathy) juxtaposed with the 'interior' world of his own sexual anguish of impossible love for the Ballerina (portrayed in the highly charged sexual tension of the triangular exchanges between the absurd Petrushka, the dandified Blackamoor and the exquisitely beautiful Ballerina). The ritual in Stravinsky, therefore, is perceived as a depersonalised, exterior facade of inane mechanical gestures whilst the sexual interior underlying this facade is interpretable as the countervailing liquefacient propensity of sincere, 'lyrical' gestures revealing the personality of the music. Agawu offers a pertinent insight into the process of mediation required between such a seemingly irreconcilable opposition and the vital role 'verbal' mediation has to play in this process. It is used in the widely different context of Beethoven's 'late' style but resonates with our interpretative strategy for Stravinsky's 'cubist' style.

> In the absence of a framework for proving unity or disunity, I can only point to the specific analytical demonstration of dissonance between dimensions in order to support my contention that Beethoven [read Stravinsky] here intends for us to live by this very

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[136] Taruskin, *Stravinsky and the Russian traditions*, 735.

> conflict between the domains. We might modify a formulation of Adorno's, and say that the late [read cubist] style is concerned with the irreconcilabilty of dialectic opposites (in contrast to their reconcilability...). But we could also conclude that the analytically perceived dissonance is, in fact, a conceptual consonance. This last formulation would satisfy a certain aesthetic bias for unity and higher-level consonances. At that level of the discussion, however, the subject would no longer be music, but words.[137]

Hermeneutic Windows: Surface Distortion and the Distinction of Appearance and Reality

That one should find the exemplar of this cultural background in *Petrushka* is most appropriate. *Excentrique's* portrayal of Little Tich, is nothing short of a prototype Petrushka puppet-human embodied in one. Stravinsky even exploits the same compositional strategy in both works. The 'interior' personal identity (in *Excentrique's* case the 'liquefacient', 'thematic' paradigm, prior to the retransition) is framed by 'exterior' mechanical gestures, which enact the performance, or routine, (the clowns act and the Shrove Tide Fair) of non-human artifice. Little Tich's personal identity is no more found in *Excentrique's* ludicrous limp gesture than Petrushka's identity is found in the frenetic 'Russian Dance'. Both are mechanical contrivances; rituals of their own performances. It is appropriate with clowns, as with puppets, that we speak not so much of a 'performance', with its romantic overtones of egocentric behaviour, but of a 'routine'. They enact not an expression of their personal self but a mechanical routine, so automated that it assumes the status of ritual, alienated from personal identity. In this respect, the clown—like the puppet beforehand—is something of an icon of twentieth century depersonalisation which found its natural home in 'low culture', as Griffiths identifies.

> the third of the quartet pieces is an evocation of slow antiphonal chant that may relate to *Liturgie* (Stravinsky gave it the title 'Cantique' when he reorchestrated it), while the other two movements—rustic and urban, but both sighted on low culture—suggest the fascination with circus and music-hall to be found in the contemporary endeavors of Debussy, of Picasso, and of Cocteau.[138]

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[137] Agawu, *Playing with signs*, 126.

[138] Griffiths, *Stravinsky*, 45.

(This parallel with low culture will be an interesting point of reference in chapter three, which shifts from the low-culture 'comedy' of puppets and clowns—nodding in the direction of the commedia dell'arte tradition of 'familiarity'—to the high culture 'tragedy' manifest in King Oedipus. Both are unified by the sense of mechanical exteriors masquerading personal identity.) The depersonalisation of *Excentrique* is evident in Little Tich's 'exterior' identity with his artificial limp, itself a metaphor for the music's exaggerated mechanical gestures. In other ways, depersonalisation implicitly caricatures a clowns' existence in much the same way it is explicitly caricatured by a puppet. The clown has a fundamentally alienated 'routine'. There is something of Adorno's charge of the 'sadistic' in every clown routine as there is in most Stravinsky composition. As an object of ludicrous ridicule, the clown is alienated from his audience. In much the same way, when Stravinsky alienates musical material from its conventional function, he too situates it as an alienated object of ridicule. The clown, therefore, is essentially self negating, denying his personal identity in the artifice of routine. Stravinsky's music is similarly self negating, denying its linearity in the artifice of a deadlocked aesthetic. Both embody something of the existential or nihilistic philosophical preoccupations of the time. In contexts where the clown's existence, or Stravinsky's musical discourse, appears far more absurd than meaningful, they both appear to exist in the Heideggerian sense of 'beings-towards-death'. They appear to exist and be interpretable only in the specious present, as if every moment were its last. Without wishing to digress into the complex analytical unpacking required of Heidegger, the resonance of the analogy asserts itself in his definition of *Dasein* (his concept describing the human condition of situatedness in a disclosed world) as a 'being–towards–death':

> *anticipation reveals to Dasein its lostness in the they-self, and brings it face to face with the possibility of being itself, primarily unsupported by concernful solicitude, but of being itself, rather, in an impassioned* **freedom towards death**—*a freedom which has been released from the Illusions of the "they", and which is factical, certain of itself, and anxious.*[139]

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[139] Martin Heidegger, *Being and time* (Oxford: Blackwell, 1992), 311

There is, then, something of the post-romantic (post-World War) realisation that the reality of life, particularly with regard to one's personal identity, is specious and frightening, so much so that one has recourse to facade. One can only express sentiment from behind masks. The artificial, therefore, becomes the normal discourse. Stravinsky has always exemplified this twentieth century doctrine of estrangement. In his apprentice Silver Age works, particularly *the Nightingale* and *Firebird*, he pursues the 'Rulanesque' ideal, hiding reality behind fantasy. This is transformed into hiding the human behind the mechanical in works like *Petrushka* and *Excentrique*. Other cubist works, prototypically *Les Noces* and *Renard*, hide behind artificial forms, genres and alienated languages. Eventually, estrangement takes the form of objectivity of musical material in the neoclassic aesthetic. In his description of *Les Noces*, Griffiths succinctly describes this alienating tendency: 'the estrangement becomes part of the substance of the piece. The singers relate an action they cannot join, in a language which the intended audience cannot understand, and in a form made remote by formalization'.[140]

Cultural Alienation: the 'Turanian' Aesthetic

The premise for this semantic interpretation of *Excentrique* is that its opening instantiation 'appears' to alienate itself from the purely musical conventions of thematic material and the cultural conventions of a quartet. This raises the question that if *Excentrique* appears to be written so deliberately contra-convention, why not follow more ethnological approaches of analysis of the type proposed by such writers as Blacking[141] and Feld[142] who seek more cultural, context-sensitive analytic readings? In other words, why not attempt to understand *Excentrique* from 'within' the culture in which the work emerged and not from the perspective of the culture it appears to negate? Adopting such an 'emic' outlook, would no longer interpret paradigms as marked in relation to cultural units, as these units would be deemed inappropriate conventions on which to build narrative expectations. Anyone undertaking such an ethnological strategy, however, would soon discover that the cultural environment from which *Excentrique* emerged—along with most other of

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[140] Griffiths, *Stravinsky*, 52.

[141] Blacking, *Music, culture, and experience*.

[142] Feld, "Sound structure as social structure," 383-409.

the early *Cubist*, sometimes referred to as *Swiss*, period works—is precisely a culture whose conventions rest on the deliberate rejection of Western (read 'Germanic') ideology. Taruskin, in his ethnologically sensitive approaches, refers to this culture as the 'Turanian' style. It is characterised by a rejection of all things German and a turning back to an—albeit 'fictitious'—Russian homeland in the face of the first world war. Speaking formerly of the "Swiss" songs and latterly of *Les Noces* ('*Svadyebka*' as he refers to it for that 'emic' authenticity!), he writes: 'It is not their Russian archaism but their belligerent rejection of Europe-the denial of "panromanogermanic" common practice-that has remained their most conspicuous feature'.[143]

> Along with the patriotism went a dollop of crude anti-Germanism..., so pronounced in Stravinsky's case that Rivière called the composer a one-man "Russian front...forcing Germany to the rear." At Rolland's request, Stravinsky penned an open letter that read in part: "It is...in the highest common interests of all nations that still feel the need to breathe the air of their healthy and age-old culture to come down on the side of Germany's enemies and to remove themselves once and for all from the intolerable spirit of that enormous bloated Teutonic Order that is menaced by deadly symptoms of moral decay."[144]

The Turanian aesthetic in its simplest manifestation was nothing short of a call to alienate Teutonic order in artistic endeavours as a reflection of the alienation of one's personal predicament. It was, for Stravinsky the predicament of the exile in a war torn Europe, unable to return to a Russian homeland which no longer existed in any context other than a fiction of imagination fuelled by an overwhelming sense of wanderlust. As a Swiss exile of the time, he personified the Eurasianist society summarised by Halperin as comprising exiles who 'lived in a Europe they despised and wished to return to a Russia which no longer existed'.[145] *Excentrique*, therefore, presents a work written consciously and wilfully against the traditions of panromanogermanicism. It is not divorced from these traditions in some 'other' Russian cultural void, since the great irony is that no such culture existed as anything but a collective fiction. Instead works like *Excentrique* were written

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[143] Taruskin, *Stravinsky and the Russian traditions*, 1167

[144] Ibid., 1132-33.

[145] Charles J. Halperin, "Russia and the Steppe: George Vernadsky and Eurasianism," *Forschungen zur osteuropäischen Geschichte*, 36 (1985), cited ibid., 1128.

deliberately against the Teutonic traditions, adopting a markedly reversed stance to them. To divorce one's interpretation from the very traditions the work seeks to negate, would be to miss the inherent narrative tension of *Excentrique's* fundamentally Turanian style.

This is not to dismiss, but affirm, Blacking and Field's call for ethnocentric analysis. The trick is not to be 'suckered' into a fictitious Russian culture but to be culturally sensitive to the aesthetic as anti-Germanic, convention breaking. This is the truly 'emic' position from which to analyse *Excentrique*. Similarly, this is not to dismiss Taruskin's emic research. The identification of the pseudo-fictitious-Russian influences represents a crucial and well documented element of the narrative tension. What is missing from his picture, however, is any semantic consideration of the implications of an internal narrative tension which rebels against Teutonic traditions through a syntax exhibiting a *marked reversal* of those traditions. This complements the stylistic *language reversal* which Taruskin so precisely identifies. The Turanian style has a Janus-faced quality about it. In one direction, it looks to affirm a pseudo-Russian aesthetic which is beyond its grasp. In the other direction, it looks to deny a German aesthetic from which it cannot escape. Most of Stravinsky's Turanian works, therefore, sought refuge in 'acultural'[146] mediums of such absurdity that they achieved a peculiar compromise. They may not have sounded 'Russian' but they certainly didn't sound European and their Russian texts, irrespective of authenticity[147], were sufficient to topple the balance. The Three Pieces for String Quartet, however, detaches itself both from the peculiarities of 'acultural' medium and from any reliance on Russian text. It is, therefore, a more honest and assertive admission of the Turanian movement's anti-Germanic motivation, since it does not seek to hide in alien mediums or languages. The isolated deployment of the absolute quartet, at precisely this moment in

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[146] I use the term 'acultural' medium very deliberately. Of course in the strict sense no medium can be acultural since it belongs to the culture from which it arises. In this sense Stravinsky's Turanian works use 'Turanian' mediums. This, however, does not suggest that the mediums were essentially 'invented' to sound like folk mediums which had fallen into obscurity. Whilst based on these 'obscure folk' backgrounds, they were seldom true to those cultures. It was less a case of 'fallen into obscurity', than never having actually existed; they are 'evocative' in the true sense of the word. Hence the Turanian mediums can be referred to as 'acultural' in the context that they neither belong to the Western culture from which Stravinsky fled, or to the obscure folk cultures in which he sought to take refuge.

[147] The problems Stravinsky encountered gathering authentic Russian material during this period are well documented by Taruskin and others. The result was a Stravinsky constructing folk tunes from a failing memory or utilising sources not authentically Russian.

Stravinsky's career, sets the context in which the work is to be judged. It has the outward appearance of the quintessential Germanic genre gone wrong. We cannot ignore our cultural expectations of the quartet and neither can we believe that Stravinsky's recourse to it is anything but a thrown gauntlet whether intentional or not. *Pribaoutki*, *Baika* (*Renard*), *Svadyebka* (*Les Noces*) and other works contemporary with the Three Pieces are generically indefinable (although Taruskin excavates long and hard, perhaps most plausibly tracing *Renard's* origins in Russian folk instrumental groups). These other Turanian works, therefore, do not wear their anti-Germanic cultural expectations so openly on their sleeve. From the Teutonic perspective, they appear supra-cultural where *Excentrique* appears nihilistic, something which in part explains the relative obscurity of this 'notoriously enigmatic little grotesque'.[148] Taruskin summarises the unique position of the quartet in this peculiar aesthetic.

> As for Stravinsky, known the world over as a master of that symphony orchestra, between *The Nightingale* (1914) and *Pulcinella* (1919) he would write no new orchestral music at all (excepting only his balletic arrangement of the former); nor did he compose for any standardized "Western" ensemble during this period, save only a few minor works, of which one, the Three Pieces for String Quartet of 1914, was written as thoroughly and willfully against the traditions of the medium as possible. More characteristic of the period were compositions that used "four musicians, one of whom can only be found in Honolulu, another in Budapest, and the other two God knows where!" as Diaghilev cracked to Ansermet in mock exasperation one day in 1919. These weird assortments of instruments (some "live," others mechanical) were expressly chosen and deployed, as we shall see, to make quite specifically "Turanian" noises....
>
> Far easier to say what a thing is not than to say what it is, if your vocabulary is European but the thing you are trying to describe is Turanian.[149]

Accepting Taruskin's point, the counter-claim also holds sway. The conventional quartet of instruments was expressly chosen and deployed to make quite specifically Germanic noises, in order to compound the work's inherent alienation. *Excentrique*, therefore, represents the extremes of alienation in Stravinsky's cubist aesthetic. The middle piece of this quartet presents a work so alienated from all

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[148] Taruskin, *Stravinsky and the Russian traditions*, 1469.

[149] Ibid., 1129, 1130.

angles that it is far easier to describe precisely 'what it is not'—Taruskin's subtle reference to Stravinsky's own difficulty in describing *Les Noces*, concluding, (in-) definitively, 'for it is not a ballet'.[150] The same can be said of *Excentrique*, 'for it is not a quartet'.

Narrative Alienation: the Cubist Metaphor

Excentrique is not only alienated culturally, but also narratively in its strategy of dislocated surface level discontinuity. To this end Stravinsky's narrative has a natural and contemporaneously appropriate analogy with the art world of cubism. Much of the historicist work uncovering the motivations behind the cubist metaphor has been done in Tom Gordon's article, "The cubist metaphor, Picasso in Stravinsky criticism". A number of observations uniting Picasso's cubist endeavours with Stravinsky's work at this time, can be made. Both artists adopted the attitude that each new work represented a problem to be solved, a work of self-deconstruction, or interpretation, as we described *Excentrique* in chapter one. 'In approaching the most elemental materials of their art, and using them to build on a surface cleared of all inherited traditions, they [Stravinsky and Picasso] allow the closest view of the phenomenon of creation.'[151] Thus the works had an immediate sense of alienation both from convention and reception. The depersonalised, mechanical facades of Stravinsky's works were essentially a product of the cubist 'commitment to replacing art's illusion of physical or emotional description with the objective reality of the work itself'.[152] Gordon cites Picasso's succinct description of this 'nonpsychological expression'. 'Cubism...is an art dealing primarily with forms, and when a form is realised, it is there to live its own life....We give to form and color all their individual significance as far as we can see it.'[153] This feature of cubism became known as 'formalism' in music in which the work represented a concrete reality in itself and was not the vehicle for

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[150] Letter to Ansermet of 23 July 1919; in Igor Stravinsky and Robert Craft, *Stravinsky in pictures and documents* (New York: Simon & Schuster, 1978), 154, cited Taruskin, *Stravinsky and the Russian traditions*, 1130.

[151] Paul Collaer, *A history of modern music* (Cleveland: The World Publishing Company, 1961), translated by Sally Abeles, 142, cited Gordon, "The cubist metaphor," 25.

[152] Gordon, "The cubist metaphor," 25.

[153] Marius De Zayas, "Picasso Speaks," *The Arts* 3 (1923): 315-26., cited Alfred H. Barr Jr., *Picasso: fifty years of his art* (New York: Arno Press, 1980), 270-7, cited ibid., 26.

representing physical or psychological entities or emotions. A spin off of 'formalism' was something Gordon refers to as 'creative kleptomania', ' making art from art'. This characteristic is famously described by Boris de Schloezer as 'art raised to the second degree'. It is, as Gordon states, 'suprahuman', 'devoid of explicit expressive intent and paradoxically capable of a greater, more profound intensity of expression'.

> Their art is *art raised to the second degree*....The painter, the sculptor, as a rule, start with reality and transmute it; Picasso works on something that has already been transmuted, on pictorial forms which he reorganizes. Stravinsky operates similarly in his field, he creates with something that has already been created...his genius takes in hand formal elements which are not really his, in order to arrange them after his own fashion.[154]

Again this ties in with the mechanical, 'suprahuman', facade belying a profound inner expression to Stravinsky's music. One of the mechanisms which embeds this bi-isotopic interplay, is the surface level appearance of discontinuity, described above. Other critics have associated this mechanical foreground not to the French cubist tradition but to the Italian futurist tradition. This is a less plausible metaphor, but as Griffiths suggests the association is not without justification.

> This [the first piece] is an extreme point in Stravinsky's automatism, and may reflect the machine aesthetic of the time: quite apart from the interest in the pianola that was soon to be manifested creatively, he was aware of the futurists through his visits to Italy. But perhaps he needed no outside stimulus, having been an artificer of musical machines at least since the second op. 7 study.[155]

Returning to Gordon's cubist analogy, his description of the 'disjuncture of conventional continuities of space and time', articulates the salient effect that Stravinsky makes 'what should have been successive, simultaneous, and what should have been simultaneous, successive'. Can one think of a more telling metaphor for the literal processes of diachronic and synchronic subversion identified in *Excentrique*? Ansermet imaginatively describes the cubist narrative on which this is based: 'thanks to harmonic landmarks which assign a precise zone to

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[154] Boris De Schloezer, "The enigma of Stravinsky," *Modern music* 10, no. 1 (1932): 11-12, cited Gordon, "The cubist metaphor," 27.

[155] Griffiths, *Stravinsky*, 45-46.

movements and thanks to the rhythm which distinguishes them, the spirit collects within itself, what has unfolded in time, separates what has been united, rejoins what has been separated, and dominates the whole without confusion. This is the process of cubism'.[156] Gordon makes one other observation concerning the cubist metaphor which is of interest to our evaluation of *Excentrique*. It draws on Léon Oleggini's interpretation of the cubist endeavours as relativist or Einsteinian conceptions of space and time in the arts. Picasso realises three dimensionality in two dimensions in a parallel to the manner in which Stravinsky divorces the past, present and future from psychological time by representing them in the coexistence of ontological time. Taruskin's own use of the cubist analogy seems to be based on this ontological interpretation.

> Stravinsky's deliberately disjointed productions of the war years are often compared with analytical cubism. As cubism purports to represent multiple perspectives on a two-dimensional plane, Stravinsky's music often suggests multiple layers of a single unordered moment in time, presented in an arbitrary nonsignificant sequence.[157]

Gordon maintains that the cultural appropriateness of the cubist metaphor is articulated by 'the suspicion that Stravinsky himself had some hand in the articulation of the metaphor, perhaps even to the point of cultivating it'. What appears to be missing from most of the cubist analogies, however, is the fact that the perspective distortions generated by artificial three-dimensionality in Picasso's case, and artificial mechanisation in ontological time, in Stravinsky's case, are distortions of an underlying reality. It is the play of this opposition which generates the narrative drama in Stravinsky's music. His aesthetic of deadlock, generated by markedness reversal, creates the effect of discontinuity in ontological time. Ultimately, this cubist aesthetic rests on the musical realisation of markedness theory. To eliminate one half of the opposition from the semantic equation by focusing exclusively on the structuralist mechanisms of discontinuity (*drobnost'*, moment form, pitch class structures) is to miss the dramatic dialogue of the work.

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[156] Ernest Ansermet, "Introduction à l'oeuvre de Stravinsky," *La revue Pleyel* 18 (1925): 19, cited Gordon, "The cubist metaphor," 28.

[157] Taruskin, *Stravinsky and the Russian traditions*, 1452.

Stravinsky's narrative is fundamentally dramatic. It is only natural that he should think dramatically, given his apprenticeship and subsequent compositional propensity in ballet and opera. The resolution of this drama, however, is through abnegation which compounds the salient ontological discontinuity. To restore the dramatic narrative one needs to see through the distortions and glimpse the individual object, the human personality of the music. To do this by attempting to reconstruct a linear narrative by 'traditional' analytic methods alone (most notoriously, Schenkerian) would be self defeating. One first needs semiotically to decode the 'plot' of the work by deconstructing gestural signposts. In *Excentrique's* case, these outline a 'process' whereby the mechanical becomes liquefacient before returning to a reinterpretation of the mechanical in the light of an abnegated resolution. Crucially, semiotic interpretations through the theory of markedness (evaluated in both IP and EP dimensions) establish the motivations by which the seemingly automotive, haphazard returns occur with significant change. This re-establishes the linear narrative to these cubist works onto which traditional analysis can map structural correlations and metaphoric mediation can trope meaning. Semiotic evaluation of Stravinsky's music, therefore, is the key to restoring the semantic dimension lacking in structuralist considerations. The cultural units, or *isotopies*, underlying the narrative are, of course, entirely substitutional. This becomes the key to Stravinsky's subsequent works. *Excentrique* continues the cubist preoccupation of narrative based on the objectivized *isotopies* of the 'mechanical' and 'liquefacient'. Ironically, as his works become more, so-called, 'objective' in the neoclassical period, Stravinsky begins to use more subjectivized *isotopies*. Borrowed cultural units become the narrative framework of Stravinsky's music. Griffiths hints at how this process may work in his parallel of *Petrushka's* collage technique. 'One could even make a similar collage with entirely different objects—say, the clichés of musical chinoiserie—and call it 'The Nightingale', or with the trademarks of the Brandenburgs and call it 'Concerto in E flat', or with those of Schoenberg's chamber music and call it 'Septet'.'[158] In turning to some of these 'trademarks', or

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[158] Griffiths, *Stravinsky*, 24.

'prototypes', one can witness a shift from tropological interpretations of subversive oppositions to dialogical interpretation of deviant prototypes.

CHAPTER 3

PROTOTYPICAL PLAY IN NEOCLASSIC MULTIVALENCY

> Neoclassicism? A husk of style? Cultured pearls? Well, which of us today is not a highly conditioned oyster?...I relate only from an angle to the German stem...which evaluates largely in terms of where a thing comes from and where it is going. But an angle may be an advantage.
>
> Stravinsky, *Dialogues*

Section 1 – Deadlock or Multivalency? A Qualitative Difference

Chapter two identified *Excentrique's* mechanism of IPM for encoding a linear narrative behind an outward appearance of deadlocked discontinuity. It forms part of Stravinsky's circumlocutory strategy for expressing linearly motivated drama in an otherwise disseminated work. The aesthetic exhibits a negatory salience resulting from the work's tendency to foreground seemingly 'unresolved' oppositions. Chapter one situated these oppositions on the 'superordinate level' of *matrix* syntax (*Example 1-4*). Cadence opposes theme in a so-called 'death of the theme' strategy found operating in both diachronic and synchronic dimensions (*Example 1-6)*. This strategy is compounded at the gestural level of *Excentrique* by mechanical and liquefacient narrative associations and these are further articulated by tonal associations orbiting around the poles of A, Eb and F (*Example 2-3*).

The aesthetic effect of such a negated gestural syntax was shown to be communicated through EPM (a comparative mechanism for interpretation closely related to Hatten's concepts of stylistic and strategic markedness based on opposition occurring between paradigmatic units). Through EPM one can understand the aesthetic effect of *markedness reversal*; the basic premise of Stravinsky's cubist works. Despite MR's apparent inversion of the (proto)-typical rules of musical narration, a more conventional gestural and tonal narrative could be found encoded in the IP dimension (oppositions occurring within a paradigm as it is repeated syntagmatically). For example, the reversal of 'outer' and 'inner' voices, occurring synchronically within the 'limp' paradigm, constitutes a plausible

interpretative parallel to the narrative reversal of Little Tich's 'external', affected limp and 'internal', sincere personality. Such an interpretative association is enabled through the reflexive process of metaphoric troping, culturally supported by the cubist aesthetic of exterior (mechanical) and interior (human) oppositions.[159] It is possible to conclude, therefore, both that the IP dimension supports the EP dimensions at the 'gestural' level of analysis, and that cultural sensitivity supports metaphoric troping at the 'interpretative' level. (This interanimation of the two dimensions refutes the charge that the method of semantic interpretation 'imposes' preferred subjective meanings rather than 'inferring' internally-defined meanings.) From this standpoint, one can overturn the structuralists' premise (e.g. of Kielian-Gilbert and Taruskin) that paradigmatic repetitions occur *without* 'significant change', concluding that *Excentrique* is not, as they claim, discontinuous because repeated paradigms were shown to encode 'significant change'. The abstracted methodologies of the structuralist approaches are simply inappropriate analytical tools with which to reach this conclusion and in that fact alone, lies a pervasive vindication of 'a semiotic interpretation of musical meaning in the works of Igor Stravinsky'.

The task of the ensuing chapter is to increase the remit of that vindication by the introduction of prototypicality theory for the neoclassic aesthetic. The key to this lies in the interpretation of EPM and IPM as conveyors of musical significance. Whilst the former tends to be oppositional in nature—lending itself more readily to measurement by markedness theory—the latter moves away from (diametric) oppositional values between paradigms towards deviations from the normal presentation within the paradigmatic unit. In other words, IP dimensional measurements attribute 'ratings' of normality to 'oppositions' within an individual paradigm. These ratings are based on a distinction between 'normal' and 'deviant' instantiations of the paradigmatic unit. Instantiations are rated either 'proximate' or 'distal' (to use less 'negatory' descriptives) according to their relationship with the prototypical instantiation. The process falls well within the semiotician's familiar territory. Nattiez's neutral approach to semiotics based on the dual processes, first of *paradigmatic* segmentation, defining the atemporal units of significant structure

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[159] This opposition will later be referred to as the 'Petrushka syndrome'; a semantically useful cultural unit prevalent in much of Stravinsky's music, operating as a quasi-*Ur code*.

in a work, then of *syntagmatic* distribution, evaluating the temporal interplay of those units, has its parallel with EPM and IPM dimensions respectively (although Nattiez falls short of drawing semantic inferences from the latter, indicative of his analytical outlook 'more as a demonstration of a method than as an illumination of...music'[160]). A more prominent parallel with IPM ratings is Kramer's (structural, rather than semiotic) cell–structural analytic interest in proportional relations of proximity and distance within individual paradigms (although these are translated into perceptibly dubious 'ratios' rather than semantic building blocks). Agawu's discussion of Beethoven's op. 132 '"defective" march, whose "ideal" form does not occur until the very end of the movement'[161] (*Example 2-10*) is perhaps a more semantically charged example of IPM (although the metaphor of 'lameness' is only implicitly referred to). These approaches and my proposed strategy for the neoclassic aesthetic vindicate the switch to markedness' related linguistic theory of prototypicality,[162] which measures ranked deviations from a standard—'prototype'—rather than the opposition between two diametrically opposed concepts. I propose the hypothesis at the outset of this chapter, that prototypicality theory be substituted for markedness theory in the shift from the cubist aesthetic to the neoclassic aesthetic of multivalent *model* deviation. The shift should not be misconstrued as a historical statement governing the *cubist* and *neoclassic* stylistic periods: I reiterate that both *stylistic periods* can incorporate both aesthetics.

Implication and Deviation of Contextual Prototypes

Chapter two argues that *Excentrique* throws down the gauntlet, antagonising any would-be semantic interpreter. This is symptomatic of its *matrix* level subversion located on the 'superordinate level' of Stravinsky's syntactic regions of play (*Example 1-4*). The neoclassic aesthetic, however, shifts to *model* level deviation located on the 'basic level'. The opening theme of Sonata (*Example 3-1*), in contrast does little to antagonise the semantic interpreter, in the manner of *Excentrique*. Thematic, cadential and accompanimental identities are presented largely without contention. The work, however, is not devoid of its syntactic

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[160] Cook, *A guide to musical analysis*, 182.

[161] Agawu, *Playing with signs*, 114.

[162] The reader should be careful, however, of a distinction which will be made between Weber's concept of the 'ideal type' and the concept of 'prototype'. This renders Agawu's term of 'ideal form' misleading.

misdemeanours. Closer inspection reveals a disturbing problem within the *matrix* level, generated by what can be understood as *model* negation. Walsh accurately describes the effect of these deviant features in which musical parameters (harmony and rhythm being Stravinsky's preferred components) dislocate themselves from the Baroque and Classical models they allude to.

> the listener's response to conventions which he can recognise is a primary part of his understanding of the music, even while those conventions are being manoeuvred into shapes and continuities which, if he were to stop and think about them, consistently violate his sense of their innate logic....[The aesthetic is] a direct expression of stylistic dislocation and a loss of the automatic, or natural, character of style.[163]

The description is nothing short of an affirmation of 'Stravinsky's angle', identified in the epigraph of this chapter. The question of whether it proves to be an 'advantage'—as Stravinsky would have us believe—forms the subtext of the ensuing chapter. To reach a point from which one can make this judgement, requires analytically unpacking the rationale of *model* deviancy—just as chapter two did for *matrix* subversion. An obvious example of *model* deviation occurs in Sonata's theme at the 'quasi trillo' (m. 14). The gestural model underpinning this phrase is tonic (I) - trilled leading-note (vii 6-3) - tonic (I). Walsh, endorsing Prokofiev's observation, actually cites Bach's B minor mass, 'Quoniam', as a possible ancestral model.[164] Sonata, however, dislocates the harmonic and melodic functions of its hereditary associations. The 'trill', already displaced at the octave, is 'supported' by a I 6-3 chord, while its own vii 6-3 chord has been left behind 'supporting' the melodic tonic. This generates a time lag between harmony and melody, resulting in a return to the melodic tonic 'supported' by another displaced vii 6-3. This 'deviant' displacement provides the linear drive to the work (a quasi-perpetual mobile feel) generated by the parametric noncongruence between harmony and melody within the confines of a specific musical model.

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[163] Stephen Walsh, *The music of Stravinsky* (New York: Oxford University Press, 1993), 122.

[164] Ibid., 130-31.

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SONATE

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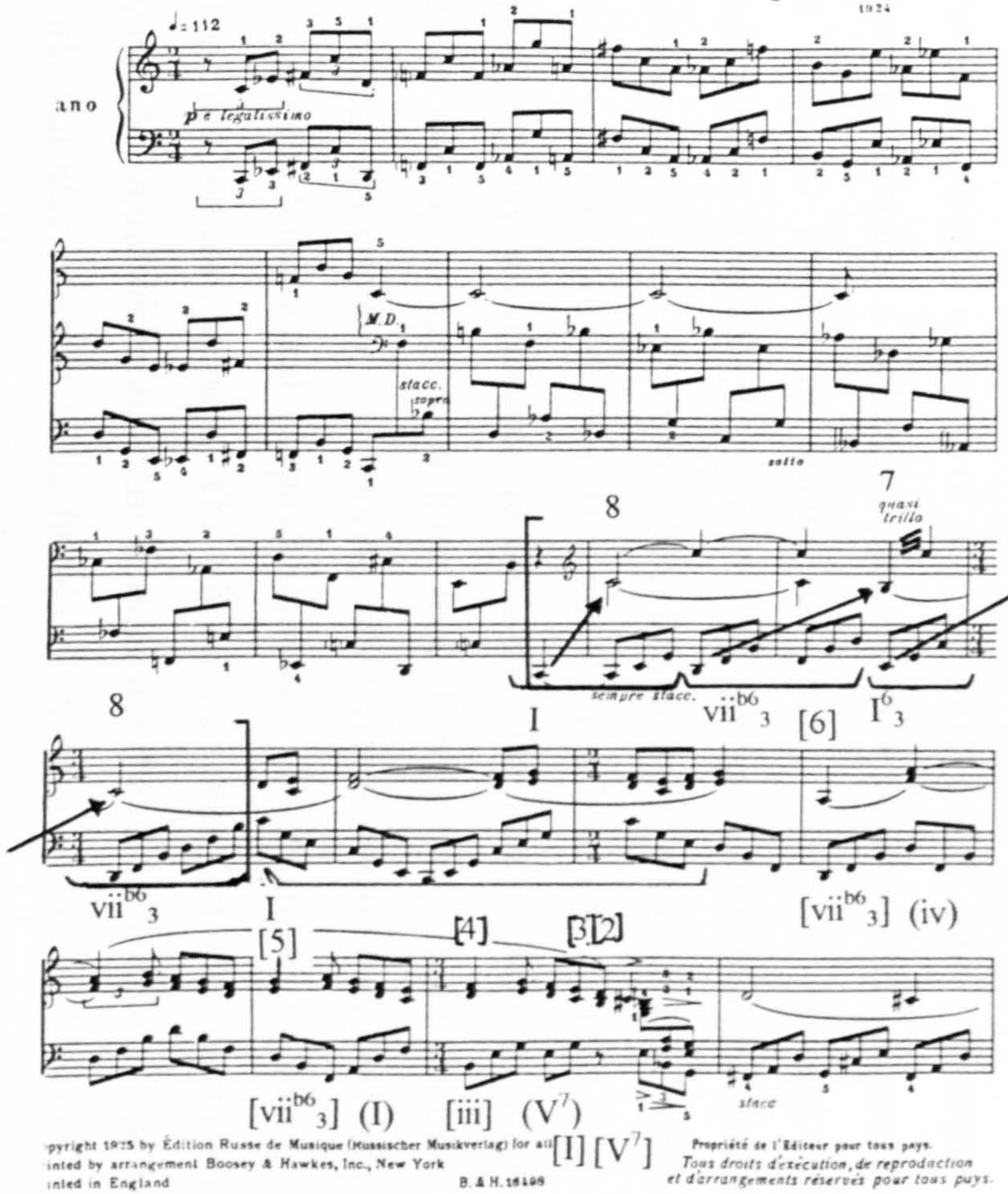
I

Igor STRAWINSKY
1924

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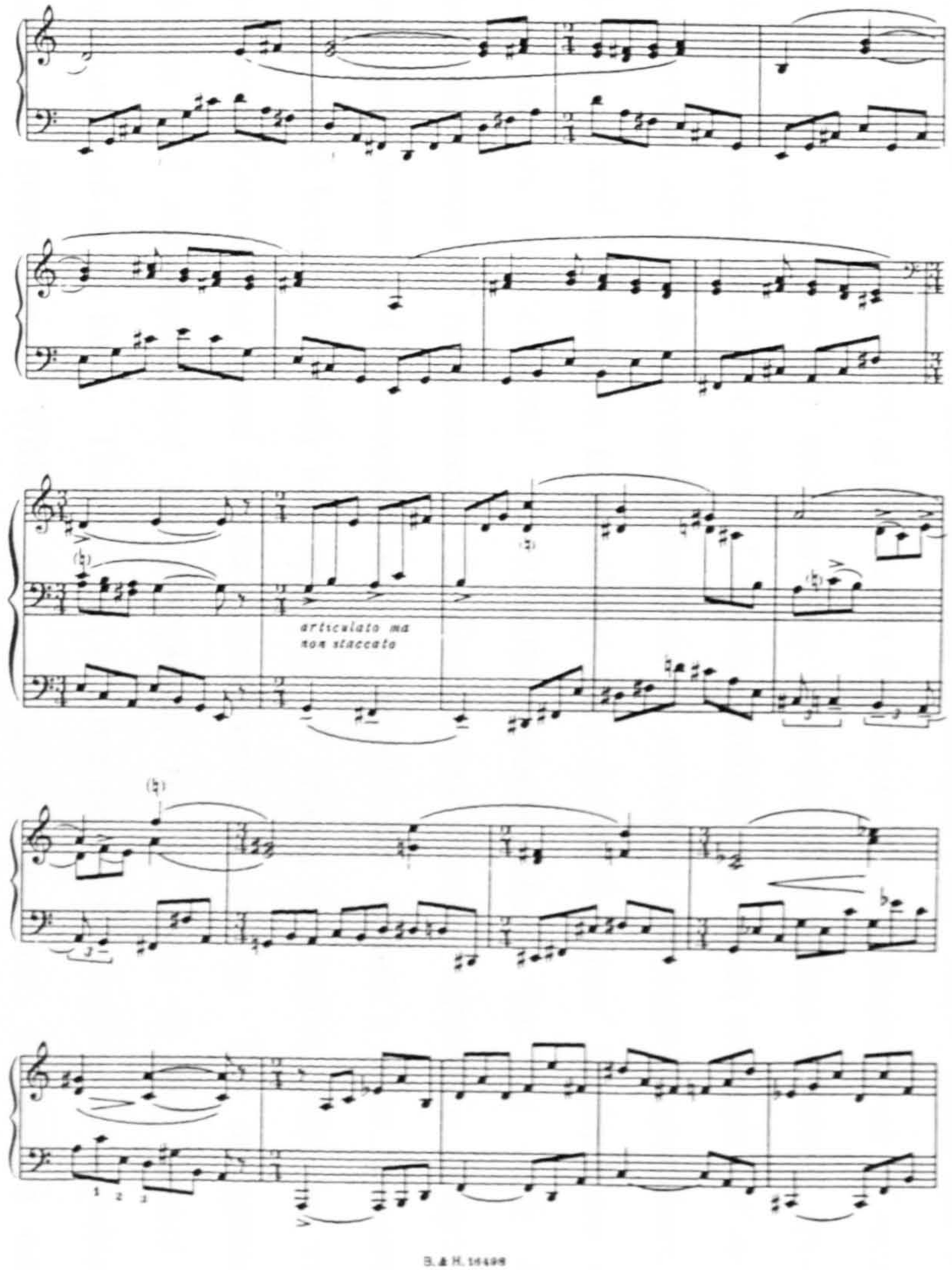
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Example 3-1: Sonata's Theme: Matrix Normality and Model Deviation

It is another example of synchronic syntactic subversion akin to that found in *Excentrique's* 'unthemed accompaniment' (*Example 1-6*). There, theme dislocated itself from accompaniment at the *matrix* region, or superordinate level, of musical schemata. Here melody and harmony dislocate themselves within a specific thematic model, the basic level of musical archetypes. Both examples of *matrix* subversion and *model* deviation function as narrative dissonant propositions. In Meyerian and Narmourian terminology, they are both 'open' implications with expectations of 'closural' resolutions brought about by the shift from noncongruence to congruence. In *Excentrique*'s case, schematic congruence between theme and accompaniment is sought; in Sonata's case, parametric congruence between melody and harmony. A crucial qualitative difference exists between *Excentrique's* and Sonata's synchronic subversion. The categories of theme and accompaniment are completely out of sync in the former but synchronised in the latter. They coexist in a manner which does not antagonise the semantic interpreter. 'Within' these categories, however, dislocation occurs between specific melodic and harmonic parameters, about which the listener generates expectations in relation to identifiable models. Stravinsky knows his listener 'evaluates largely in terms of where a thing comes from and where it is going'[165] and by adopting a tangential relationship to these implicative models, he forms an aesthetic ground in prototypical play. Sonata's opening gambit foregrounds this prototypical play, just as *Excentrique*'s foregrounded deadlock. There is nothing concealed, or veiled, about Stravinsky's 'husks of style'; 'cultured pearls' are worn to be noticed! Sonata wears the pearls of contrapuntal stasis and sonata–style teleology in a dialogical relationship. The first twelve bars resemble a fugue subject waiting to happen; a husk from Bach's Forty Eight Preludes and Fugues, perhaps. The ensuing nine bars resemble a proto-sonata subject winding up the octave with a teleological purpose somewhat absent from the meandering fugue; a husk of Clementi, perhaps. The synchronic opposition of these *models*, not only provides the initial disequilibrium to motivate the ensuing dramatic narrative of the work, but also encodes a diachronic opposition within each *model*. The contrapuntal stasis of the opening paradigm is a fugue subject devoid of polyphony. The double octave homophony may embody compound contrapuntal implications

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[165] Igor Stravinsky and Robert Craft, *Dialogues* (London: Faber Music Ltd, 1982), 30.

but it is scarcely the prototypical texture for contrapuntal stasis. Conversely the ensuing sonata-style paradigm polyphonically diffuses its parameters of harmony and melody. Their resulting displacement (outlined in the 'Quoniam' analogy) gives each an independence from each other which, again, is scarcely prototypical of sonata style teleology. (N.B. The ensuing chapter refers to such opposed oppositions through the Bakhtinian concept of dialogized heteroglossia, an important interpretative tool of neoclassic prototype play). Distal, or deviant, relations to proximal norms, therefore may hold the key to the advantage Stravinsky gains in the neoclassic aesthetic. After all, 'an angle may be an advantage'.[166]

From *Superordinate* 'Markedness' to *Basic* Level 'Prototypicality'

In prescribing Stravinsky's 'regions of aesthetic play', I have paralleled the musical levels of *matrix*, *model* and *minutia* to Rosch's psychological categorisation levels of the *superordinate*, *basic* and *subordinate* (*Example 1-4*). The transition from markedness to prototypicality theory is warranted by a shift from interpreting syntactic deviation of musical 'matrices' (the cubist aesthetic), to deviation of musical 'models' (the neoclassic aesthetic). Categories,[167] like theme and cadence, belong to the *matrix* level (*Excentrique's* EP 'region of play') because thematic and cadential categories, are created by the combination of numerous 'models'. These 'models' are comprised of archetypes established by cultural convention. They form basic-level rhetorical units. The archetype basic level *models* are fundamentally 'historical' models established by convention. These may be articulated by 'analytical' models such as Schenkerian voice leading, Gjerdingenian schemata, Meyerian gap-fill structures, axial structures and countless others but care must be taken not to conflate the 'stylistic/historical' with the 'analytical' conception of *model*. I draw a parallel, therefore, between the musical *matrix-model* relationship and Rosch's theory of cognitive categorisation. Just as numerous *basic* level categories (e.g. chair, table, bed or dog, cat, bird) combine to form a *superordinate* level category (e.g. furniture or animal), so too musical archetypes or *models* combine to form musical *matrix* categories.

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[166] Stravinsky et al., *Dialogues*, 30.

[167] I employ the term 'categories' to resonate with Rosch's descriptives which are formulated within her theory of categorisation.

Prototype Effects in Category Cognition

Rosch's study of category classification has already been introduced in chapter one. (The reader is again referred to Lakoff's summary of Rosch[168] for a more complete discussion, beyond the scope of this thesis.) For the present inquiry, it is sufficient to consider the relationship between *marked* and *prototype* effects and the relevance this has to musical syntax, specifically as it operates in Stravinsky's neoclassic aesthetic. The significance of prototype effects is evident. According to classical theory, category membership is defined on a binary 'is' / 'is not' basis. Under classical auspices, a particular musical model either is or is not a member of its *matrix* category; a theme or a cadence, for example. It cannot hold a hierarchically superior cognitive status as a model best exemplifying its particular category, it simply shares the common properties by which that category is defined. In the face of classical theory, however, Rosch and others—researching primarily in the field of ethnological linguistics—have found that certain 'subcategories' or category members exhibit precisely this special cognitive status of 'best example'. They exhibit prototype effects, or an asymmetry in their category by which they are cognitively more representative—better exemplars—than other category members. This can be understood as a sub-branch of markedness theory because prototypes represent an 'asymmetry' in category membership. Prototypical members are 'unmarked' because they are more basic to the category—exhibiting a wider range of meaning—than other, 'marked', members.

Rosch distinguishes two forms of prototype effects. There are those which occur within a 'degree of internal category structure'. Robins, for example, are a better example of 'bird' than chickens. This type of prototype effect, Rosch suggests, occurs because there exists a 'further internal structure'—undoubtedly culturally defined—which rates robins as more representative of the category 'bird' than chickens. The other form of prototype effects are those resulting from an asymmetry generated by the 'degree of category membership'. A 'long pole' or a 'short wait', would serve as examples of categories exhibiting this latter prototype effect by virtue of their inherent 'fuzzy set' boundaries.

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[168] Lakoff, *Women, fire, and dangerous things*, 12-76.

Basic Level *'Category Cue Validity'*

One of the 'culturally defined' explanations for these prototype effects can be found in Rosch's notion of 'category cue validity' (CCV). 'Cues' are defining attributes which 'maximize perceived similarity among category members and minimize perceived similarities across contrasting categories'. Highest cue validities tend to occur at the *basic* level because these categories have more distinguishing features than either their respective sub- or super-ordinate(s). A prototype effect, therefore, is generated by members which best exemplify their CCV.

Thus a plausible explanation begins to emerge for Stravinsky's transition from *superordinate* level subversion to *basic* level deviation. Like Rosch's categories, the *basic* level of musical 'models' exhibits greater CCVs because they contain more distinguishing features than *matrix* categories, occurring on the *superordinate* level. Stravinsky, therefore, embraces a much greater region of play in the neoclassic aesthetic because whilst deviating from *basic* level musical 'models', he maintains their CCVs. Consequently, he rarely brings the conceptual identity of models into question as he did with matrices in the Cubist aesthetic. There is, then, a qualitative difference (akin to 'paradox' and 'ambiguity') between the conceptual crisis of category identity—*Excentrique's* subversion at the *superordinate* level—and Stravinsky's deviant 'prototype effects' exhibited in the neoclassical aesthetic. In the latter case, the musical instantiations are clearly members of the particular model invoked, but members which are considerably less typical than their category prototypes. The resulting instantiations appear ambiguous in relation to the prototype but do not exhibit the paradoxical identity crisis which results from violated CCVs of the type occurring with deadlocked subversion. *Basic* level deviation enables Stravinsky to keep the category cue validities in tact, thus preserving the conceptual identities of rhetorical units within the musical discourse. *Example 3-2* outlines the interplay of *matrix*, *model* and *minutia*, highlighting implicative CCVs which are negated by deviation in Sonata. *Excentrique* provides the comparative analogies with subversion.

Cognition Levels **Musical Levels**	**(Superordinate)** ***Matrix*** **(*Excentrique*)**	**(Basic)** ***Model*** **(Sonata)**	**(Subordinate)** ***Minutia*** ***e.g.***
CCV	Cadences are closural in function	Sonata-style teleology synchronises melody with harmony	Prototypical syntax 1 / I—8tr / vii$^{6}_{3}$—1 / I
Subversion or Deviation of CCV	*Diachronic Subversion*: Thematicizes cadence, negating its closural function	*Diachronic Deviation*: Dislocation of melody and harmony	Radial syntax Displacement of tonic & leading note harmonic contexts 1 / vii$^{6}_{3}$—8tr / I—1 / vii$^{6}_{3}$
CCV	Cadences are punctuative in gesture	Sonata-style teleology is homophonic in gesture	
Subversion or Deviation of CCV	*Synchronic Subversion:* Substitutes punctuative cadential material for lyrical thematic material	*Synchronic Subversion:* Substitutes homophonic texture with bichordal polyphony	
CCV	Accompaniments are complementary gestures	Contrapuntal stasis dislocates melody from harmony	
Subversion or Deviation of CCV	*Diachronic Subversion:* Deprives accompaniment of its complementary material	*Diachronic Subversion:* Counterpoint revealed through compound melody	
CCV	Accompaniments are subordinate to themes in function.	Contrapuntal (Fugue) Subjects are polyphonic in gesture	
Subversion or Deviation of CCV	*Synchronic Subversion:* Accompaniment is predominant over theme	*Synchronic Deviation*: Homophonic Texture relegates counterpoint to compound melody	

Example 3-2: Possible Category Cue Validities for Musical Levels

'Radial Models'

The angle of Stravinsky's neoclassic syntax is such that the CCVs of a particular model are kept in tact but the legitimacy of the model is brought into question by deviant ambiguities. Hence prototypicality becomes the important interpretative tool. The cubist syntax, with its inherent violation of CCVs, generated by *matrix* subversion, is more suited to markedness theory, however, because *matrices* tend to be perceived in opposition to one another whereas *models* tend to be apprehended as deviations from a prototype. The *matrix* category of theme, for example, tends to exhibit a complementary set relationship to both cadence and accompaniment. This does not deny that the musical canon is replete with countless examples of 'thematic cadences' or 'thematic accompaniments'. Thematicization of essentially

non-thematic categories is an example of a less typical member; playing with 'prototype' *matrix* categories by the assimilation of opposite *matrices*. It is simply an illustration of the inter-relationship of these two linguistic theories. The thematic cadence, therefore, exhibits a radial model of membership to both categories: a conventionalised variation on the central cases of prototype themes and cadences. Only when dual category membership poses a paradox of conceptual crisis are Stravinsky's two aesthetics distinguished, invoking a preference for markedness theory. *Excentrique's* subversion of cadence, not only deviates from prototypical models of cadence 'tokens', but questions the concept of cadentiality by its inherent thematicization of cadential material.

A simple parallel distinguishing *matrix* opposition and *model* deviation can be drawn with our understanding of the concept of 'home'. Lakoff refers to categories like 'home' as 'radial categories' because numerous subcategories—different models of a home—cluster around a central prototype in our perception of what constitutes a 'home'.

> These subcategories...are all understood as deviations from the central case. But not all possible variations on the central case exist as categories....Moreover, some...are products of the twentieth century and simply did not exist before. The point is that the central case does not productively generate all these subcategories. Instead, the subcategories are defined by convention as variations on the central case....They are culturally defined and have to be learned. They are by no means the same in all cultures.... A radial structure is one where there is a central case and conventionalized variations on it which cannot be predicted by general rules.[169]

The prototypical model of a home, then, is a detached, four bedroom house with a sloping roof, four front-facing windows, a door and front and back gardens.[170] A bungalow or house-boat represent deviations from this prototype in much the same

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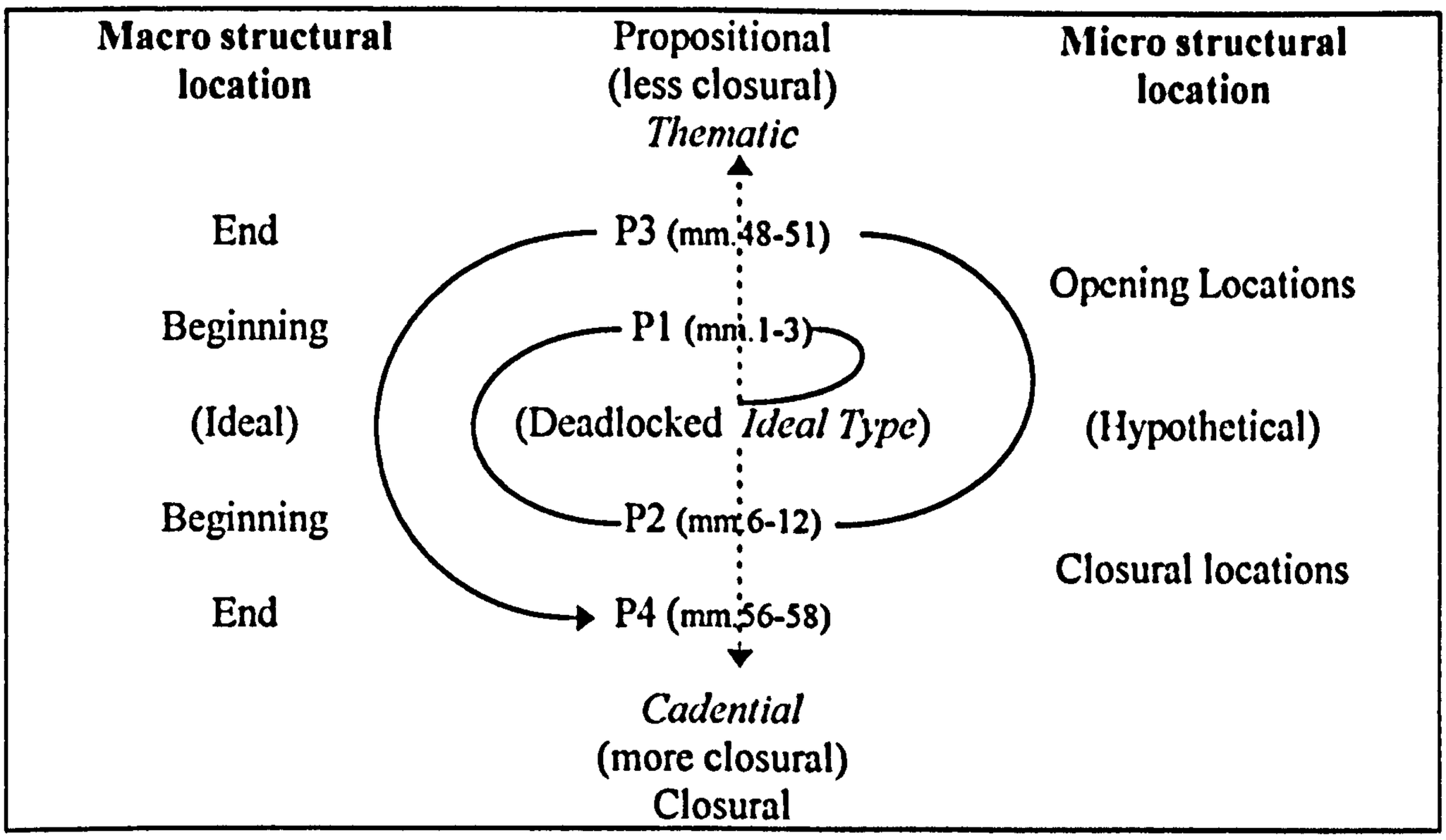
[169] Lakoff, *Women, fire, and dangerous things*, 83-84.

[170] In this respect the prototype is reflected in the graphic convention adopted by infants' drawings of 'home', even to the extent of incorporating a chimney pot, when, today, most infants' homes do not have this prototypical feature. The infants' drawing, therefore epitomises a disregard for architectural convention in adopting a conventionalised variation from a central case. This resonates strongly with Dürer's depiction of the rhinoceros discussed in chapter two. There the graphic convention of scales and overlapping plates was cited by Monelle to illustrate how *iconic* representation could become *symbolic* through the accommodation-assimilation cycle of convention. Such graphic conventions, therefore, could be understood through radial categories because they are fundamentally conventionalised variations, from a central case, which cannot be predicted by general rules.

way that a cave or tree-house would. One may argue that the latter two examples actually transcend culturally defined limits of the category 'house' to such an extent that they constitute conceptual 'subversions' rather than prototypical 'deviations'. Admittedly these dwellings are located on the very fringes of the radial category but they are nonetheless still examples of prototypical deviation within that category. There is nothing about them which questions the nature of the concept. Ironically, certain, less extreme, more typical, dwelling places do question the concept of the category 'home'. In such cases it is a functional conflict which is the cause of the 'identity crisis'. For example a 'home' in a foreign country subverts the 'non-alien' function of a home; a 'home' in one's place of work subverts the 'non-labouring' function; a 'home' onboard a train or ship subverts the 'non-transitory' function; and a 'home' outdoors subverts the 'non-exposed' function. These are all examples of superordinate level subversion, akin to those identified in *Example 1-10: Lambert's Analogy and* the Levels of Perceptual Obviousness. Their oppositions are best mediated by markedness theory's evaluations of oppositions (native vs. foreign, rest vs. work, stable vs. transitory and sheltered vs. exposed). They are qualitatively different from prototypical deviations, even though in some cases they may be less extreme.

An example of Stravinsky's use of prototype effects generated by a radial structure has already been witnessed in the IP ratings for *Excentrique's* 'limp' gesture (*Example 2-6* and *Example 2-7*). This can be seen by reformulating *Example 2-7* into a radial model (*Example 3-3*). The conclusion of chapter two was that the opening instantiation is a better exemplar of the deadlocked category, 'cadential thematic' (material) than the final instantiation, because the latter was more closural, both its location and altered ending articulating a quasi-tonic dyad at the registral extremes of the configuration. This can be interpreted as the climax of a centrifugal process, which moves from the most prototypical central case of the opening instantiation through two less central instantiations before reaching the least typical exemplar of the paradigm in the closing gambit.



Example 3-3: Excentrique's 'Limp': A 'Centrifugal' Radial Structure

Example 3-3 highlights the interrelationship of markedness theory and prototypicality theory in the radial structure of *Excentrique*'s 'limp' paradigm. The radial nature of its IP instantiations are measured as a centrifuge between propositional (thematic) and closural (cadential) characteristics. Lakoff states that 'deviations are not based on the central case but defined by convention'. In this example, convention is defined both intraopusly within *Excentrique* and extraopusly through culture. Intraopusly, the contextualized deviations cannot be predicted from the central case but have to be learned through familiarisation and interpretation. This meets Lakoff's criterion that 'a radial structure is one where there is a central case and conventionalised variations on it which cannot be predicted by general rules'. *Example 3-3* also demonstrates that the central case is a hypothetical, ideal construct; one of Weber's *ideal types*. This is because the radial category defining the 'limp' gesture is a paradox, both closural and propositional. The first instantiation (P1) is not perfectly deadlocked, however, (i.e. it is not equally closural and propositional in character because its opening location weights it away from the absolute centre). The central case is not an ideal type but the least deviant instantiation (one of the reasons I move away from Agawu's descriptive of 'ideal' form for Beethoven's op. 132 'lame' March). The hypothetical central case is an *ideal type* whereas the best exemplar is a prototype.

It is the spirit of Stravinsky's syntactic play which discriminates between the interpretative use of markedness and prototype theory, despite their inter-relation. Where he employs *subversion*—as in *Excentrique*'s functional opposition of theme and cadence—markedness theory is invoked. Where he employs *deviation*—as in Sonata's 'play' with cadential models—prototypicality theory is invoked. The discrimination hinges upon whether or not the level of syntactic play questions the membership of the categories played with. Where these categories occur on the *model* level of syntax, they comprise deviations occurring 'within' a category: a particular cadence model, for example; and where these categories occur on the *matrix* level, they comprise deviations occurring 'between' categories: cadential and thematic matrices, for example. One could reformulate this in more overtly semiotic vocabulary by saying that *model* level deviancy is akin to the play between types and tokens, whereas *matrix* level play subverts tokens. The fit is uneasy, however, as there is nothing to discriminate the syntactic level on which the 'tokens' occur. As a general rule of thumb, musical 'matrices' tend to be apprehended in opposition to one another (the resulting 'integration' of which generates aesthetic *subversion*) whilst 'models' tend to be apprehended as *deviations* from a prototype.

Salient Effect of 'Stravinsky's Angle'

The 'angle' of Stravinsky's neoclassic aesthetic does not create the same level of perceptual shock as the cubist aesthetic. The salient effect is less one of deadlock, than 'multivalency': multiple possibilities generated by deviations from prototype models. Once Stravinsky embarks on a discourse founded on *model* negation, he enters a network of multivalent possibilities. These possibilities may be 'decoded' in hindsight but cannot be anticipated with foresight and their precise identification, implication and (non-) realisation certainly cannot be a cognitive requisite for interpreting the neoclassic aesthetic. Such a claim would make far too many perceptual demands on the listener. It would require the listener to reify each contestatory model to the status of an ideal type, and result in his gauging which respective model exhibited least deviation. Consequently this best fit prototype would be deemed the single, authoritative voice of the music, negating any sensitivity towards the inherent *heteroglossia* (other-voicedness) of multivalency.

In so turning away from the work's dialogical structures of contestation, complementation and contradiction, the interpretative strategy would become one of *monoglossia* (single-voicedness), an analytical desensitisation of Stravinsky's encoded multivalent neoclassic music. The Bakhtinian notion of *heteroglossia*[171] is crucial to any semiotic interpretation of Stravinsky's neoclassicism and will be discussed in some detail in the ensuing chapter. One must first distinguish it from its analytical counterpart, *monoglossia*, a desensitised interpretative strategy whose exponents fail to apprehend that Stravinsky, the neoclassicist, is a 'highly conditioned oyster'!

Monoglossia: Confusing 'Ideal Type' and Prototype Deviation.

Many commentators are mistakenly over-zealous in their fidelity to preferred models. It is a trend particularly marked towards that 'most' prototypical of classical models, sonata form. Griffiths, for example, sounds almost resignatory, as if the whole framework of meaning is lost, when he concedes the inauthenticity of the form in Sonata and Stravinsky's satellite quasi-sonata form works (Concerto for piano and wind instruments and Octet): 'the essential harmonic motivation of sonata form is missing, for Stravinsky avoids the root-position triads necessary to give tonal harmony a grounding. There may be signposts—of thematic recollection, or of development-like complexity and chromaticism—but they are signposts in the air'.[172] Straus is equally guilty of misplaced resignation in his interpretation of deficient sonata form, this time the observations are directed towards the later Sonata for Two Pianos: 'the principal drama of the traditional sonata—polarization and eventual resolution—has thus vanished from the scene....The internal construction of the piece thus lacks sufficient force to animate the sonata form in which it is cast'.[173]

Both commentators reject sonata form as the viable structural motivation, whilst asserting it as the assumed *monoglossia* for the work. This is almost as disreputable as the structuralist rejections of linear narrative discussed in chapter two and is

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[171] Mikhail Bakhtin, "Discourse in the Novel," in *The Dialogic Imagination*, ed. Holquist, 325-26.

[172] Griffiths, *Stravinsky*, 81.

[173] Joseph N. Straus, "Sonata form in Stravinsky," in *Stravinsky retrospectives*, ed. Ethan Haimo and Paul Johnson (Lincoln and London: University of Nebraska Press, 1987), 148.

guilty of desensitised interpretation. Monological interpretations deprive the music of its inherent mechanism for dramatic propulsion. Simply because a work evokes a model by deviant allusion, that model should not be dismissed as invalid in preference to an assumed single framework of meaning for the work i.e. sonata form. This constitutes a confusion of prototype deviation (amidst a multivalent network of 'other' deviations) with a single, rigid *ideal type* incapable of being wholly reconciled with musical instantiations. The inevitable semantic conclusion is that the work alienates itself from its falsely defined, monological framework of reference. These commentators overlook the fact that our 'highly conditioned oyster', is dialogically playing with, rather than alienating the music from, a falsely imposed monological framework. Stravinsky's neoclassic aesthetic distanciates itself from any single, ideal construct. It thus invokes a deconstructive sensitivity to multivalent *heteroglossia* with a need for dialogical interpretation.

Weber's concept of the 'ideal type' (a *monoglot*, ideal construct) has already been distinguished from the concept of 'prototype' (an existent model culturally defined by *heteroglot* deviations from an ideal centre). Stravinsky's models are approached 'second hand'; extant examples borrowed from 'other' cultures. In this sense Stravinsky plays with prototypes, rather than ideal types. He deviates from extant models, originally located in ancestral cultures, which themselves allude to basic-level units of musical rhetoric. These constitute Stravinsky's prototypes, borrowed 'hand-downs' from an exclusively selected ancestry.

Veselóvskij aptly summarises the historical basis of prototypes in his discussion of the morphology of the Russian folk tale. In describing the prototype behaviour of functional schemes governing the narrative strategies of diverse tales, he inadvertently offers a cogent description of prototypicality which could serve as a reference to Stravinsky's neoclassicism. He concludes that it is 'permissible in this field also to consider the problem of typical schemes...schemes handed down for generations as ready-made formulae capable of becoming animated with a new mood, giving rise to new formulations'.[174]

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[174] Veselóvskij, cited Vladimir Propp, *Morphology of the folktale*, American folklore society bibliographical and special series volume 9/revised edition/1968; Indiana University research center in anthropology, folklore, and linguistics publication 10/revised edition/1968, 2nd ed. (Texas: University of Texas Press, 1986), 116.

Deviant allusions should be interpreted as salient possibilities amidst a whole network of multivalent possibilities and not reduced away as semantic irrelevancies. Lerdahl's observation that 'atonal music collapses the distinction between salience and structural importance',[175] may shed light on this hypothesis. Admittedly Stravinsky's Sonata is not atonal but Lerdahl, himself, advocates that 'theories of tonality and atonality should be linked not mutually exclusive'. The point is that 'listener-based' theories—like Lerdahl's and the one I advocate for Stravinsky—affirm musical salience over structure. The resulting 'heard structure' is precisely the type of possibility upon which multivalency's network of possibilities is based. It is one of many possible interpretations for a work, whose inherent sense of multivalency demands a listening strategy sensitive to the work's *heteroglossia.*

Section 2 – Heteroglossia as Interpretative Tool of Multivalency

The term *heteroglossia* [*raznorecivost'*] comes from Bakhtin's concept of 'other-voicedness'. It is a concept by which Bakhtin interprets the essence of the novel as a dialogue between the other-voices of heteroglossia rather than prioritising the assertion of a single-voice of monoglossia. He outlines the concept in relation to literature in his seminal text on heteroglossia, *Discourse in the novel.*

> As they enter literature and are appropriated to literary language, dialects in this new context lose, of course, the quality of closed socio-linguistic systems; they are deformed and in fact cease to be that which they had been simply as dialects. On the other hand, these dialects, on entering the literary language and preserving within it their own dialectological elasticity, their other-languagedness, have the effect of deforming the literary language; it, too, ceases to be that which it had been, a closed socio-linguistic system. Literary language is a highly distinctive phenomenon, as is its agent; within it, intentional diversity of speech [*raznorecivost'*] (which is present in every living dialect as a closed system) is transformed into diversity of language [*raznojazycie'*]; what results is not a single language but a dialogue of languages.[176]

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[175] Fred Lerdahl, "Atonal prolongational structure," *Contemporary music review* 4 (1989): 73.

[176] Bakhtin, "Discourse in the Novel," 294.

Pechey summarises Bakhtin's concept in a dialogical framework which resonates strongly with Stravinsky's neoclassic aesthetic.

> Bakhtin's thought moves from oppositions 'within' to oppositions 'between' and back again, endlessly: an opposition within the novel parallels and at the same time occupies another opposition between the novel and other forms of writing; both of these in turn parallel and occupy an opposition within culture which is reproduced again between cultures themselves....The complex dialogue of 'within' and 'between' which powers the internal exile of its concepts resembles nothing so much as the process of *dialogue* in the strong sense that is so insistently invoked by the thought itself.[177]

As an interpretative tool of multivalency, then, *heteroglossia* provides a framework for the listener. Whenever one model, or musical language, is proposed—*contrapuntal stasis*—, other contestatory models, or languages, appear to simultaneously contradict—*sonata-style teleology.* Truly *heteroglot* works, like Stravinsky's, are at any given time comprised of many voices built upon contestatory, complementary and contradictory interpretations. Each salient model is placed in 'internal exile' within and between multiple voices contending for the listener's interpretation. The listener does not so much apprehend each model in terms of possible assertions and deviations but is conscious of the contestatory nature of the process' inherent *heteroglossia.* The neoclassic aesthetic, therefore, does not comprise the objectivized products of 'expressive impossibility' proposed by Stravinsky—'music is, by its very nature, essentially powerless to *express* anything at all, whether a feeling, an attitude of mind, a psychological mood, a phenomenon of nature, etc....*Expression* has never been an inherent property of music'[178]—and readily accepted by contemporary critics as authoritative, monoglot, interpretation, despite his subsequent recontextualization—'That over-publicized bit about expression (or non-expression) was simply a way of saying that music is supra-personal and super-real and as such, beyond verbal meanings and verbal description....Today I would put it the other way around: music expresses itself'.[179] Instead, I propose, the neoclassic aesthetic communicates, or 'expresses itself', in drama which is exhibited through the interplay of narrative heteroglossia: other-

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[177] Pechey, "On the borders of Bakhtin," 44

[178] Stravinsky, *An autobiography*, 53.

[179] Igor Stravinsky and Robert Craft, *Expositions and Developments* (London: Faber and Faber, 1962), 101.

voicedness embedded in a multivalent aesthetic whose seemingly irreconcilable oppositions once again beckon the semantic interpreter, as they did with the deadlocked *illusion of impossibility* in the cubist aesthetic.

One must be careful to distinguish between two strands of 'other voicedness' which Bakhtin formulates, *heteroglossia* and *dialogic heteroglossia.* It is a distinction which assumes immense significance in understanding Stravinsky's neoclassic narrative. This can be seen in what is perhaps his most overt example of a work, not only exhibiting, but also thematicizing, dialogic heteroglossia, *Oedipus Rex.* The following series of quotations makes clear this distinction of heteroglossia types with Bakhtin's own analogy of two peasants, one illiterate who employs heteroglot languages, the other literate who employs dialogized heteroglot languages.

> The concept of "dialogized heteroglossia" is often confused with the concept of heteroglossia...He clarifies this point by asking us to consider a hypothetical person, who probably could not exist: an illiterate peasant, for whom languages are not dialogized (see DiN, pp. 295-296). We may imagine that this peasant uses several languages—prays to God in one, sings songs in another, speaks to his family in a third, and, when he needs to dictate petitions to the authorities, employs a scribe to write in a "paper" language. Our hypothetical peasant employs each language at the appropriate time; his various languages are, as it were, automatically activated by these different contexts, and he does not dispute the adequacy of each language to its topic and task.[180]

The illustration of non-dialogized heteroglossia makes for a striking description of our opera-oratorio when Bakhtin's peasant is substituted with an ill-fated king who also uses several languages—reassures his people in one (*Liberi, vos liberabo, Figure 16*), boasts of his hubris in another (*Sphynga solvi, Figure 56*), accuses his companions in a third (*Invidia fortunam odit, Figure 83*), confesses fear to his wife in a fourth (*Pavesco, maxime, subito, Figure 124*), enquires of a shepherd in a fifth (*Nonne monstrum resciturі, Figure 152*) and engages in reflective thought in yet another (*Natus sum quo nefastum est...Lux facta est, Figure 168*). This heteroglossia of Oedipal languages is shown in *Example 3-4.*

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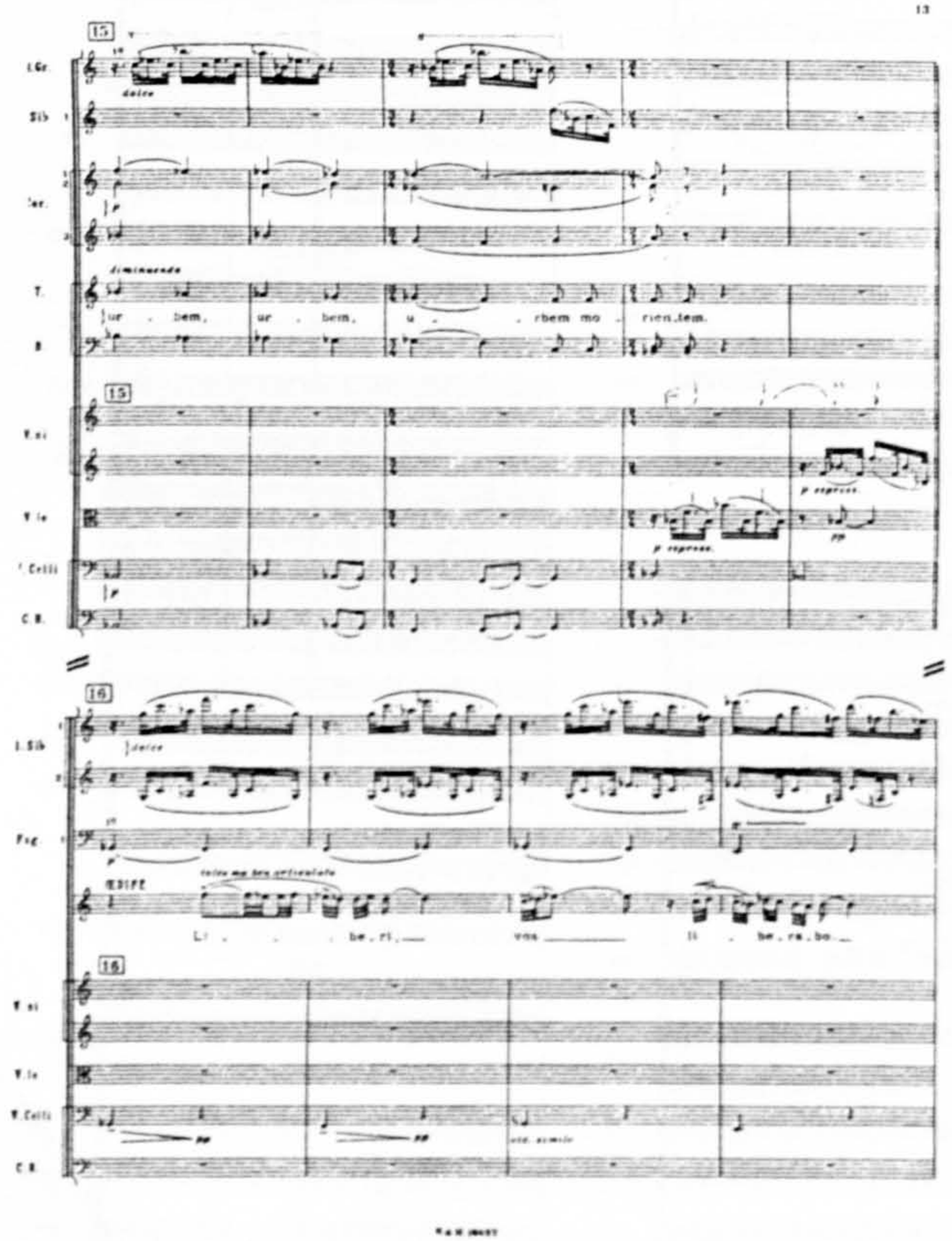
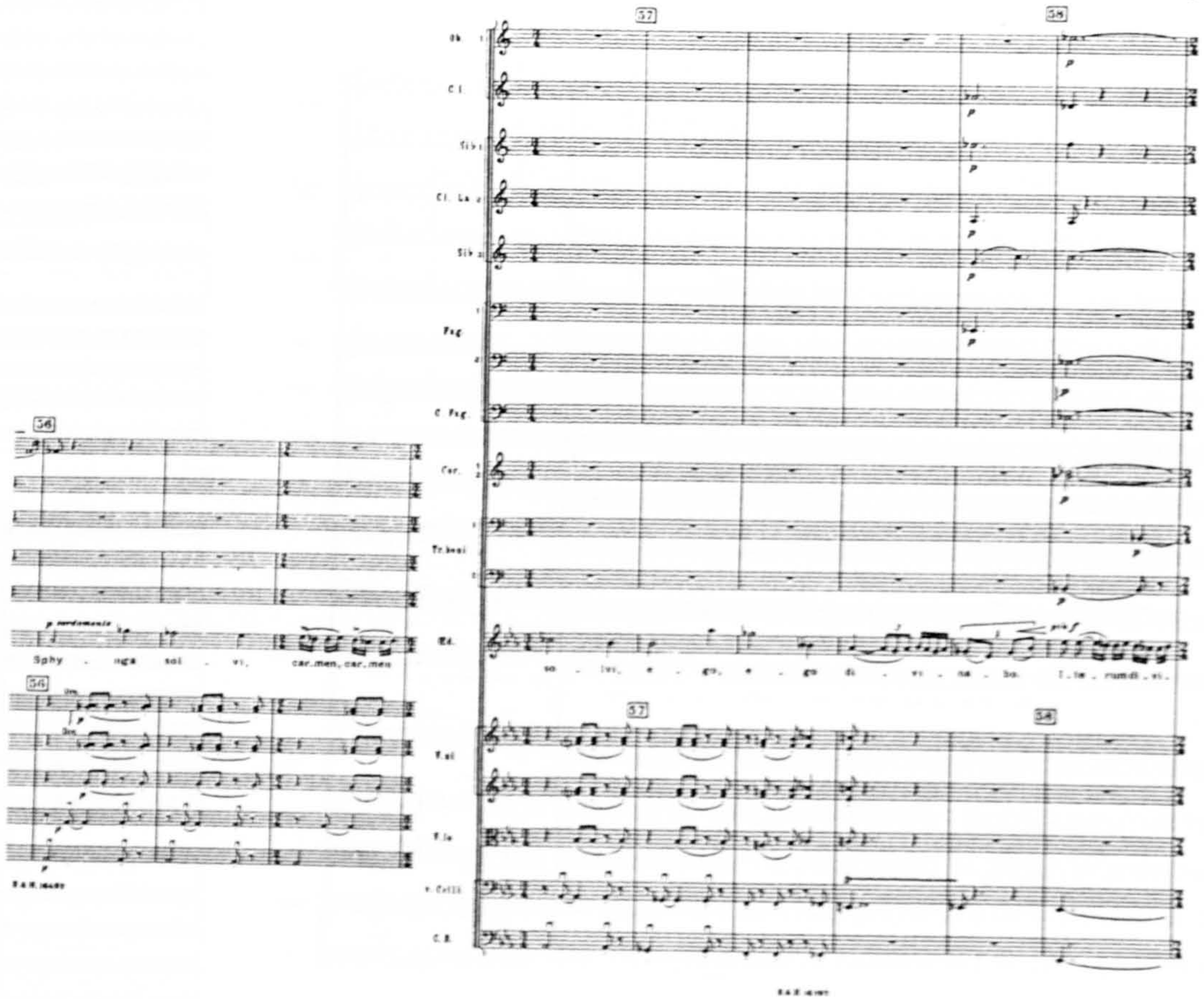
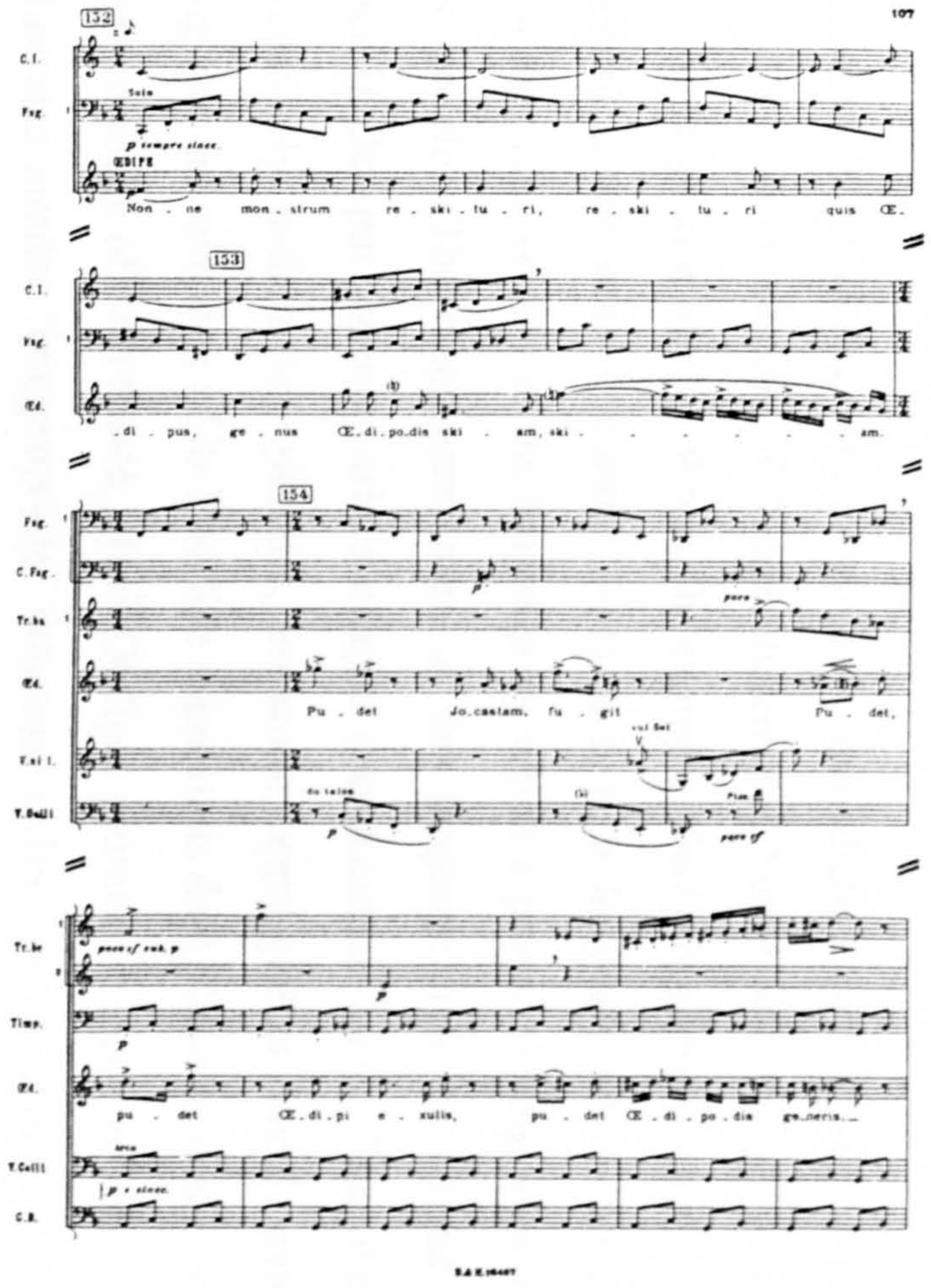
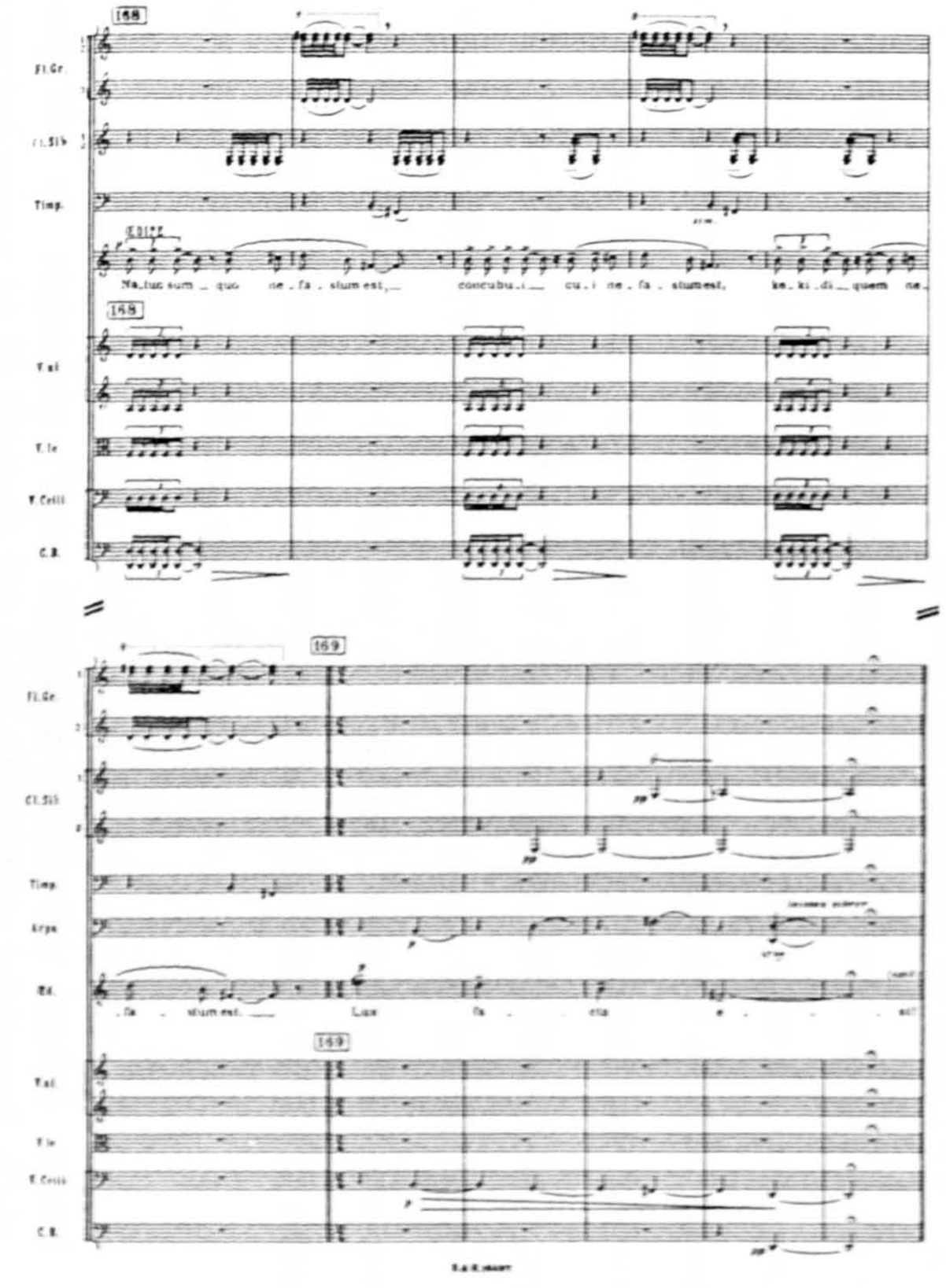
[180] Morson et al., *Mikhail Bakhtin*, 143.

a Oedipus Reassures the Crowd (*Figure 16*)

b Oedipus Boasts of his Ability (*Figure 56*)

Example 3-4: Heteroglot Oedipal Languages

c Oedipus Accuses his companions (*Figure 83*)

d Oedipus Confesses Fear to his Wife (*Figure 124*)

Example 3-4: Heteroglot Oedipal Languages (cont.)

e Oedipus Enquires of the Shepherd (*Figure 152*)

f Oedipus in Reflective Thought (*Figure 168*)

Example 3-4: Heteroglot Oedipal Languages (cont.)

If it is really the case for Oedipus' use of language, however, that he does not [or indeed we, as interpretants, do not] 'dispute the adequacy of each language to its topic and task', then Stravinsky's narrative strategy for Oedipus' discourse would exhibit mere non-dialogized *heteroglossia.* If indeed this were the case, much of the inherent, semantic motivation underlining the neoclassical aesthetic would be lost. I say this because an—if not 'the'—essential feature of Stravinsky's neoclassicism is that the 'adequacy' of each language (of Stravinsky's stylised discourses) is clearly brought into 'dispute' in the process of interpretation. This can be seen in the ensuing description of dialogic heteroglossia—witnessed in Bakhtin's literate peasant. This appears to resonate far more with the context in which Stravinsky exploits Oedipus' use of language.

> By contrast, we may also imagine that another peasant is capable of regarding "one language (and the verbal world corresponding to it) through the eyes of another language" (DiN, p.296). He may try to approach the language of everyday life through the language of prayer and song, or the reverse. When this happens, the value systems and worldviews in these languages come to interact; they "interanimate" each other as they enter into dialogue. To the extent that this happens, it becomes more difficult to take for granted the value system of a given language. Those values may still be felt to be right and the language may still seem adequate to its topic, but not indisputably so, because they have been, however cautiously, disputed.[181]

This description of *dialogic heteroglossia*, immediately strikes one as a more accurate description not only of Oedipal heteroglot, but of Stravinsky's neoclassic narrative strategy as a whole. When, for example, *Oedipus* addresses his people at the opening of the work (*Example 3-4a*), it is in a language which brings into question the value system of the language by which a powerful king reassures his stricken people. The inappropriateness of this language style has already been discussed in Oedipus' opening aria in chapter one (*Example 1-16*). This identified the excessively melismatic, pathetic, romantic appoggiatura vocal style and mocking clarinet inversion of its bass line support, as doing little to underscore the confident message of deliverance which Oedipus promises his people. Perhaps no one illustrates similar 'inappropriate' language styles operating in *Oedipus Rex*

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[181] Morson et al., *Mikhail Bakhtin*, 143.

more lucidly, and indeed entertainingly,[182] than Bernstein in his lecture on Stravinsky given as part of his Harvard lecture series, *The Unanswered Question.*[183] Bernstein's identification of multivalent languages begins as mere stylistic overview but soon becomes an exposé of dialogized heteroglossia when the languages are revealed as 'misalliances' with their own contextual languages. Precisely what Bakhtin refers to as using "one language (and the verbal world corresponding to it) through the eyes of another language". Bernstein begins by identifying some of the heteroglot languages without really questioning their alliances: the opening chorus employing the austere language of Bach's fugues; Oedipus' aria (the case study of this thesis), the language of seventeenth century opera or later opera seria, specifically Rameau and Gluck; Creon's aria, the language of pure diatonic Mozartian arias, and Jocasta's aria, the language of Handelian recitative before railing against the oracles with Beethoven's 'fate' rhythms.

> But the allusions are by no means limited to the classical composers. They can be more eclectic still. Remember that in this neoclassic world anything can pass for "classical" that the given culture chooses to regard as such. The main melody of Jocasta's aria, for instance, is rather like a hoochy-coochy dance, and might well have been one of Carmen's sexier moments [*Figure 96*]. And this is a queen, mind you, addressing the royal family. What a misalliance is there. And what of the chorus hailing the queen's entrance [*Figure 93*]? Shades of Boris Godunov.
>
> But this eclecticism knows no bounds; the allusive references can land anywhere, even outside the areas of symphony and opera. Consider this later aria of Oedipus, where he is singing of his determination to find out the awful truth of his origins [*Figure 157*]. Is that a march? Or a Russian Cossack dance? And what of the old

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[182] The visual spectacle of Bernstein's piano performances of *Oedipus* extracts juxtaposed with 'alternative' stylistic language analogies, illustrates the disputed adequacy of each language far better than any written text. This is itself an example of Bernstein's intrinsic use of heteroglossia within the already stylised language of a musical lecture. In fact Bernstein makes this heteroglossia of presentation languages explicit in his author's note: 'From the beginning these...lectures were intended to be experienced aurally, accompanied by visual aids and extended orchestral performances on a film screen, plus a near-continuous stream of musical illustration at the piano—with never a care for how it might all look someday on the printed page. And with never a care for literacy niceties, since it was all to be delivered in the rather casual atmosphere of the Harvard Square Theater, ad-libs and all, to an audience so mixed (students, nonstudents, the cop on the corner, distinguished faculty, my mother, experts in music who cared little for linguistics, vice versa, scientists with no interest in poetry, vice versa) that any one level of diction was unthinkable. The interdisciplinary nature of the material further discouraged stylistic consistency.' In short, a presentation abundant in dialogized heteroglossia. The reader is referred to the video recording of the 'lecture', therefore, to fully appreciate both its dialogized medium and message.

[183] Leonard Bernstein, *The unanswered question: six talks at Harvard* (Cambridge, Massachusetts and London, England: Harvard University Press, 1976).

> shepherd who brings Oedipus the awful truth [*Figure 139*]? Now that's a genuine Greek dance—not the Greek of Sophocles' time, but the Bouzouki variety that you can hear in any Greek restaurant....And what about the hair-raising chorus that tells the grim news of Jocasta's suicide and of Oedipus' gouging out his eyes? It's not exactly what you'd expect at this grisly moment; its more like a football song [*Figure 173*].[184]

The weakness of Bernstein's analysis is his overly conservative classification of dialogized languages. He regards anything 'outside' classical convention—hoochy-coochy, Cossack, Bouzouki dances and football songs—as dialogized but does not seek such dialogism within the languages of classical convention. Clearly a hoochy-coochy dance dialogizes the Queen addressing the royal family, but equally dialogical is the *dislocated manner* in which Oedipus assimilates the language of opera seria to address his stricken people. Bernstein's analysis, therefore, has limited utility because his assimilation of 'other' languages does not incorporate a notion of 'otherness' within classical languages. By splicing together, first Bernstein's, then Bakhtin's, sentences—a dialogized heteroglot method all of its own—an accurate picture of Stravinsky's neoclassic aesthetic begins to emerge: 'in this neoclassic world anything can pass for "classical" that the given culture chooses to regard as such'[185] 'when this happens, the value systems and worldviews in these languages come to interact; they "interanimate" each other as they enter into dialogue.'[186]

Dialogized heteroglossia produces an 'interanimation' of two languages which resonates strongly with the concept of *bi-isotopy* discussed in chapter one. Under the banner of *tropological interpretation*, examples of how music might generate metaphoric meaning by its own internal processes were considered. One such example, cited by Hatten, was Grabócz's 'interanimation' of the pastoral and religious isotopies to provoke a contradiction of stylistic expectation. The purpose of such interpretation was to trope some form of metaphoric meaning onto the stylistic contradiction. A metaphor is, after all, little more than the use of dialogized heteroglossia for describing something: 'one language (and the verbal

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[184] Bernstein, *The unanswered question*, 399-403. The bracketed figures correspond to the rehearsal figures in the score, replacing Bernstein's references to his piano reductions accompanying the text.

[185] Ibid., 399

[186] Morson et al., *Mikhail Bakhtin*, 143.

world corresponding to it)' described 'through the eyes of another language'. A musical isotopy (a *classeme* built from a cluster of cultural units, or *semes*) can be understood as a 'language' in the context to which Bakhtin's peasant analogy refers. If musical isotopies represent a viable parallel to the languages of heteroglossia, it stands to reason that bi-isotopies can be equated with dialogized heteroglossia. A religious isotopy, for example, can be understood as one of several musical languages appropriate and adequate for Bakhtin's peasant to 'pray to God', likewise he might 'sing folk songs' in a pastoral isotopy.

In the context of Stravinsky's opera-oratorio, one might expect King Oedipus to address his stricken people in a heroic isotopy but any heroic language is disputed by an 'interanimating' antiheroic language. The resultant multivalency of the interaction demands deconstructive mediation of the kind invoked by Bakhtin's dialogized heteroglossia. The distinction between heteroglossia and dialogized heteroglossia might appear an essentially academic one; dialogized heteroglossia is inevitably an ongoing process by virtue of the fact that most languages of heteroglossia are inherited already dialogized.

> this dialoging of languages is always going on, and so when words attract tones and meanings from the languages of heteroglossia, they are often attracting already dialogized meanings. Having participated in more than one value system, these words become dialogized [contested], disputed [contradicted], and reaccented [complemented] in yet another way as they encounter yet another. This potentially endless process pertains not only to particular words but also to other elements of language—to given styles, syntactic forms, even grammatical norms. Complex interactions of this sort serve as a driving force in the history of any language.[187]

This inheritance of already dialogized languages, or isotopies, casts new light on Stravinsky's neoclassic multivalency—an overt process of dialogized heteroglossia. By explicitly dialogizing languages further (an ancient Greek queen addressing her people in Carmen's Bohemian language, for example), he compounds and heightens the inherent dialogized nature of his languages. The resultant multivalency of languages is not, as Adorno might suggest, a sadistic process generating irresolute paradox, but a foregrounding-assertion of the natural

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[187] Morson et al., *Mikhail Bakhtin*, 143.

underlying process of language's inherent heteroglossia. From this standpoint, the neoclassic aesthetic can be understood, not as the objectivized process of insincerity, but as a sincere use of, and contribution to, the ongoing development of already dialogized heteroglot languages. Holquist asserts this positivist perspective in his distinction of monoglossia and heteroglossia: 'a word, discourse, language or culture undergoes "dialogization" when it becomes relativized, deprivileged, aware of competing definitions for the same things. Undialogized language is authoritative or absolute'.[188]

I have already referred to the contestatory, contradictory and complementary natures of multivalent *model* interaction in Sonata. The bracketed insertions in Morson's previous citation were added to reinforce this parallel between language heteroglossia and multivalent musical model/language interaction. It soon becomes apparent, however, that what applies to seemingly abstract models in this respect, is equally applicable to language styles, like those found in *Oedipus Rex*. This can be seen in relation to Tarasti's semiotic evaluation of the work.[189]

A Semiotic Interpretation of Heteroglossia

Tarasti's survey of *Oedipus Rex*, demonstrates the multivalence of languages in Stravinsky's score. It represents a proto-heteroglossia interpretation of the work but falls short of understanding the dialogized nature of that heteroglossia. Rather than considering the interanimation inherent in Stravinsky's use of musical languages, Tarasti's analysis is more akin to Bakhtin's 'ignorant peasant', whose appropriateness of language is never disputed. At the onset of *Oedipus Rex*, the people of Thebes are in a weak predicament, stricken by the plague. They embody a narrative 'lack'. Tarasti interprets Stravinsky's musical language of the crowd to show that it also embodies a 'lack' wholly appropriate to their narrative predicament. Whereas Bernstein applies only nominal descriptives to language styles (a Greek Bouzouki dance, an American football song, a Mozart aria), Tarasti focuses on rhetorical units of syntax which belong on the *minutia* level of Stravinsky's aesthetic regions of play. For Tarasti, compound metric units and

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[188] Holquist, *The dialogic imagination*, 427.

[189] Eero Tarasti, *Myth and music: a semiotic approach to the aesthetics of myth in music, especially that of Wagner, Sibelius and Stravinsky* (The Hague, The Netherlands: Mouton Publishers, 1979), 272-336.

chromatic tonal units become symbolic of the people's 'lack' in relation to the duple metre and diatonic units of Oedipus, who exhibits the contrasting height of 'power' (at his entrance). Tarasti's technique is in places more refined than this crude opposition may suggest. An altogether more sophisticated example of the 'appropriateness' of Stravinsky's language is demonstrated in his identification of 'accentuation croissante'[190] (defined by trochaic versification within a compound metre). For Tarasti, this connotes the people's increasingly excited/active state at *Figure 2*, in contrast to their increasing tranquillity/stability felt awaiting the king's entrance at *Figure 10*, this time connoted by 'accentuation décroissante' (defined by pitch versification in a duple metre).

The problem with Tarasti's strategy is simply that the languages, built upon these syntactic units, are always identified as indisputably appropriate to their contexts. Tarasti paints a picture in which neither Oedipus nor 'the people' ever speak 'one language (and the verbal world corresponding to it) through the eyes of another'. They are portrayed in a manner corresponding with Bakhtin's ignorant peasant. For Tarasti, then, the reversal of narrative position, in which Oedipus' position 'weakens' (a lack arising from his dependency on Creon's response) and the crowd's position 'ameliorates' (a strength gained in confidence as they hail Creon's return), brings with it the inevitable reversal of languages: compound chromatic assumed by Oedipus (*Figure 22—Example 3-5d*) and duple diatonic assumed by 'the people' (*Figures 21* and *25—Example 3-5e*).

The ground of Tarasti's premise—equating the crowd with pity and Oedipus with power to align the musical and narrative languages—, however, is questioned not only intrinsically by each language's dialogized heteroglossia, but also by Stravinsky's stylised presentation devices. Portraying the crowd as faceless (or rather, not 'portraying' the crowd), immediately assigns them a position of power and freedom likened only to the ethereal Deities, the only other faceless characters

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[190] Tarasti, *Myth and music*, 298-99. The terms 'accentuation croissante' and 'accentuation décroissante' are taken from Paul Verrier, *Essai sur les principes de la metrique anglaise*, vol. I. (Paris:, 1909). The former denotes an increase in the accentuation, whereas its counterpart denotes a decrease. Tarasti applies the terms in the context of the rhythmic versification occurring at *Figure 2* and pitch versification occurring at *Figure 10* respectively. The former is defined by an increasing number of short stresses prior to the long stress in a trochee structure. The 'accentuation croissante', therefore, is defined by the pattern 2 (⏑–), 3 (⏑⏑–), 6 (⏑⏑⏑⏑⏑–), 9 etc. Accentuation décroissante' is defined by the metric stress of the highest notes in a compound duple time signature. Thus Tarasti defines the 'accentuation décroissante' pattern as 6 (A) – 4 (G) – 2 (F) etc..

of this masked work. Oedipus' portrayal, on the other hand, is constrained and pitiful, both in stage and musical stylisation. Stravinsky's comments make clear this contrast, particularly with regard to his opening aria.

> My first and strongest conviction was that the chorus should not have a face...
> so far as stage visualization may give support, the stage figures are more dramatically isolated and helpless precisely because they are plastically mute, and the portrait of the individual as the victim of circumstances is made far more starkly effective by this static presentation...
> I would also advise conductors that the part of Oedipus himself should not be sung by a large operatic voice, but by a lyrical one. The Oedipus singer must exploit dynamic contrasts, and his gradations in volume are extremely important. The first aria, for example, must be very quiet, not bellowed, and the melismata must be given strict and full rhythmic value.[191]

Scarcely a king at the height of his power as the narrative language would seem to dictate. Controlled and restrained, yes, but there is an awkward artificiality about Oedipus' melisma which arises from its strict execution. Where is the lyrical freedom and, more to the point, the harmonic synchronicity which this quasi opera seria language invokes? As previously stated in *Example 1-7*, the language speaks both of 'confidence'—('striding forth' to resonate with the *Excentrique* metaphor of walking propensities), much of which can be attributed to the rhythmic regularity of the mocking clarinet, usurping Oedipus' bass line—and of 'lameness', much of which can be attributed to the misalliance of displaced opera seria. Oedipus' aria is nothing short of a *locus classicus* of dialogized heteroglossia, opposed languages speaking in a manner which brings into dispute the very nature of each language.

Opposed Language Styles in Oedipus' Aria

Countervailing stylizations, like Stravinsky's dramatic devices of masquerade and faceless portrayal, are not confined to presentation alone, but form an integral part of the narrative and musical language of the neoclassic aesthetic. All too often the surface appearance, or voice, of these works belies their content, or inner voice. Whether this occurs by *subversion* or *deviation*, the process is fundamentally one of dialogized heteroglossia. Mere heteroglot interpretations, like Tarasti's, however,

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[191] Stravinsky et al., *Dialogues*, 23-24, 29.

do not account for the inherent disputation within Stravinsky's interanimating languages. I propose, therefore, an alternative interpretation which takes account of the embedded dialogized heteroglossia in what I will argue is a typically multivalent neoclassic narrative. These contrasting interpretations for *Oedipus Rex* (Tarasti's heteroglot and my proposed dialogized heteroglot) are summarised in *Example 3-5* (their corresponding musical illustrations are shown in *Example 3-6*). I have borrowed Bernstein's dual metaphor of 'pity' and 'power'—based on his conviction that *Oedipus Rex* was deeply motivated by Verdi's *Aida*[192]—as a useful framework in which to illustrate the dialogized heteroglossia of languages employed by both Oedipus and 'the people'.

Example 3-5 is divided into two halves. The upper section representing Tarasti's nondialogized interpretation, the lower my dialogized inferences. Tarasti's shift from a compound–chromatic defined 'pity', embodied in the People is shown to move from agitated *accentuation croissante* through calming *accentuation décroissante* to the duple–diatonic defined power of Oedipus' aria. The ensuing reversal of languages occurs as both protagonists switch language attributes with the other. (The key to the example displays how these switches are encoded as amelioration or worsening of initial dramatic situations. Correspondence to the score is located by the *Figure Numbers*.) The dialogized interpretation differs from this linear narrative to show how Tarasti gives only one side of the story (shown in the outer columns labelled '[Tarasti]'). Here the People are shown to maintain an initial dialogized state of incitement and insecurity from their opening imploring cries to their awaiting Creon's return. Similarly Oedipus is shown as both proactive and procrastinating as his aria progresses. Whereas Tarasti bases his interpretation on an already mediated, marked opposition, *Example 3-5* attempts to uncover the dialogized oppositions behind such mediation.

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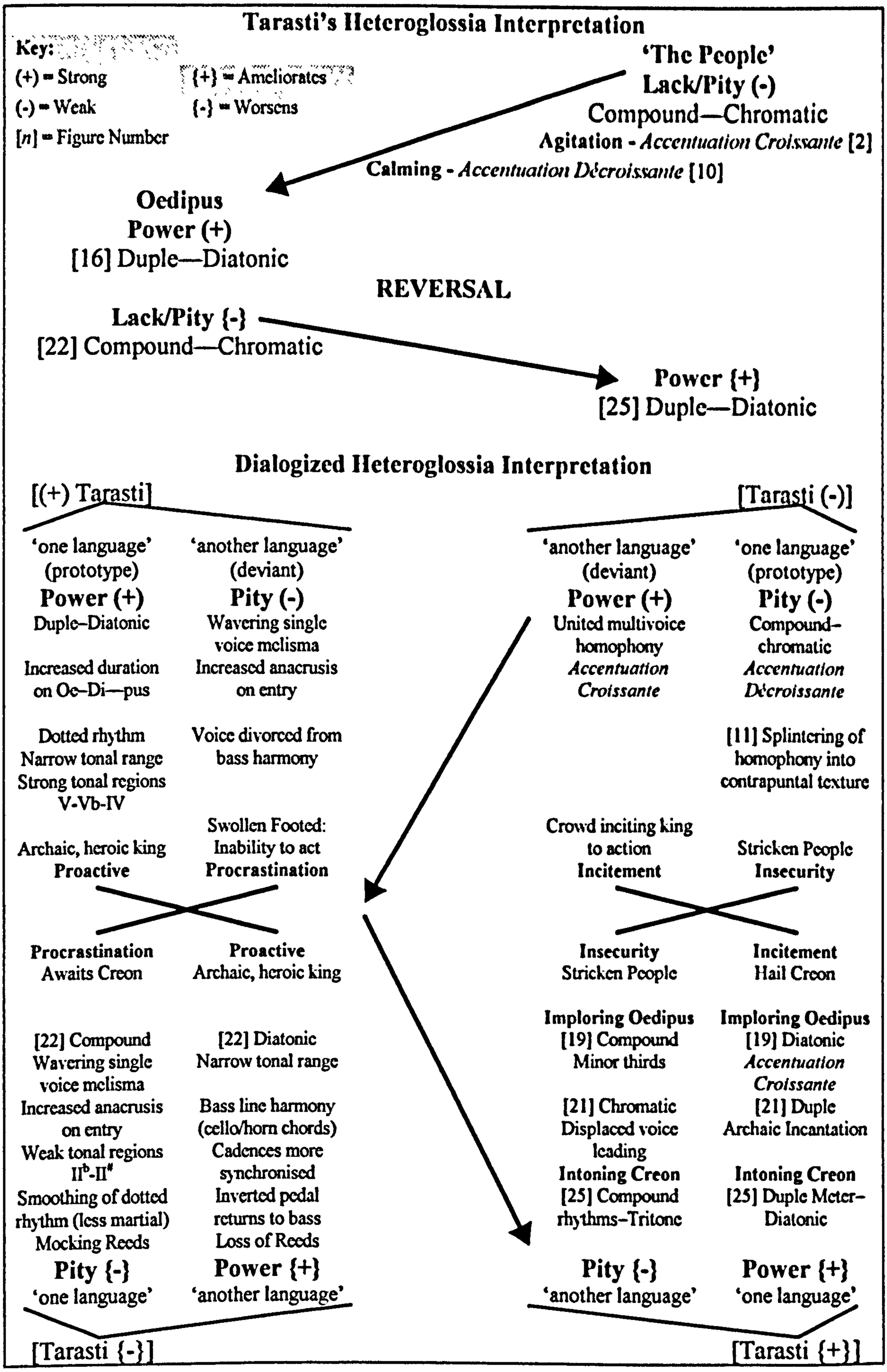
[192] Perhaps Bernstein is guilty of stretching superficial stylistic parallels into a speculative metaphoric motivation for *Oedipus Rex* but he readily admits to the 'power of the unconscious, so accurate in its metaphors' and the analogy is compelling enough to warrant a clear explanation. This and the ensuing quotation are from Bernstein, *The unanswered question*, 411. 'Then came the revelation: I remembered where those four opening notes of Oedipus came from [Bb–C–A–Bb]...And the whole metaphor of pity and power came clear: the pitiful Thebans supplicating before their powerful king, imploring deliverance from the plague. Pity and power: an Ethiopian slave girl at the feet of her mistress, Princess of Egypt; at the feet of Amneris, at the shrine of power, imploring pity....[*Aida* Act 2, Scene and Duet, *Cantabile espress* ' ah! pietà. ti prenda del mio dolor...' ('on all my anguish sweet pity take')]...Pity and power of a wholly other kind, personal and intimate, to be transformed by the metaphorical operations of Stravinsky's genius into a huge, public, monumental plea for pity. [*Oedipus Rex* Act 1 'Kaedit nos pestis...' ('The plague is upon us')].



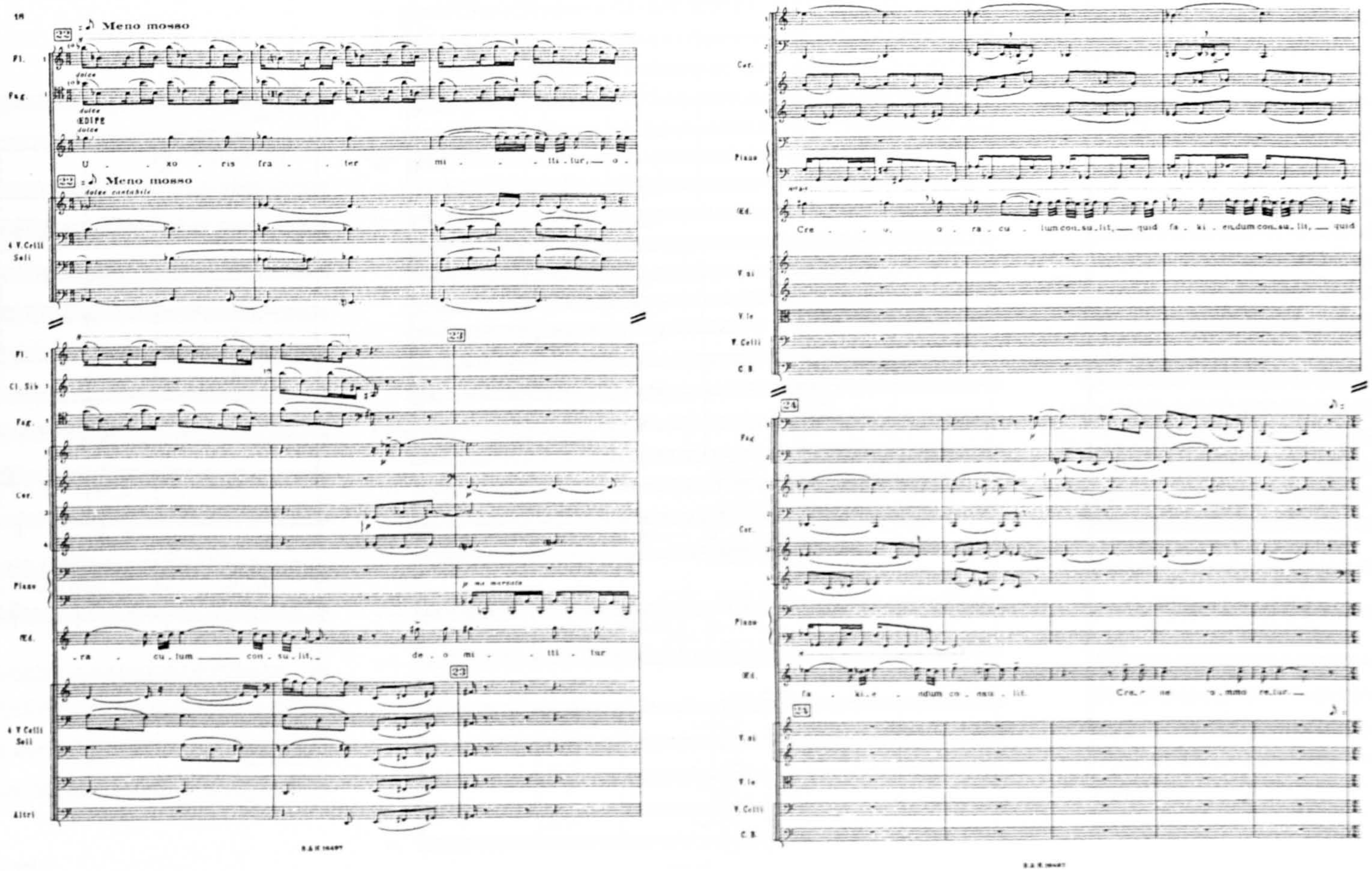
Example 3-5: Crowd–Oedipus Relationship: Tarasti vs. Dialogized Heteroglossia

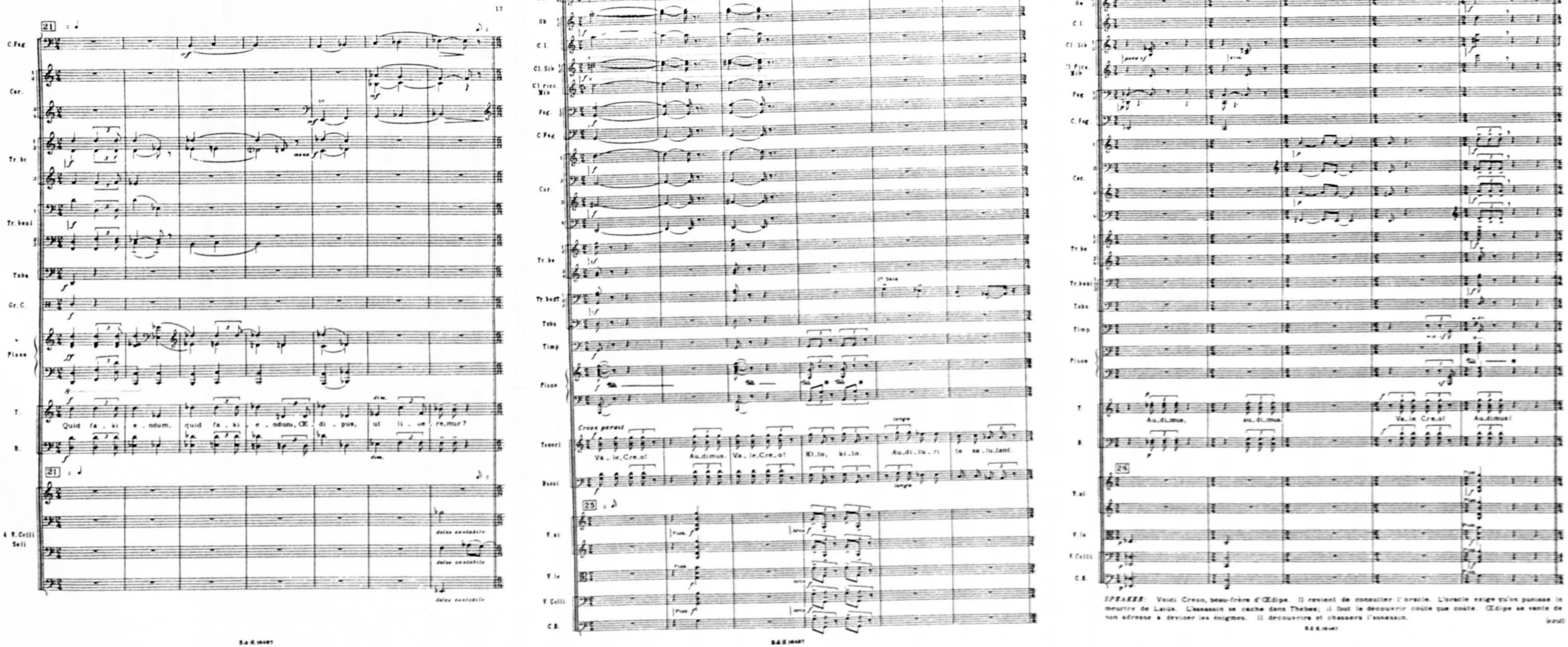
a Crowd's 'Lack' embodied by Accentuation Croissante in Compound Metric Versification (*Figure 2*)

b Accentuation Décroissante in Pitch Versification (*Figure 10*)

Example 3-6: Crowd–Oedipus Relationship: Musical Illustration of Example 3-5

c Oedipus' 'Power' Embodied in his Duple Metre Aria (*Figure 15*)

Example 3-6: Crowd–Oedipus Relationship: Musical Illustration of Example 3-5 (cont.)

d Oedipus' Position 'Weakens' in Compound Metre Aria (*Figure 22*)

Example 3-6: Crowd–Oedipus Relationship: Musical Illustration of Example 3-5 (cont.)

e Crowd's Position 'Ameliorates' in Duple Metre (*Figure 21*—Interjecting Oedipus' aria) & (*Figure 25*—After Oedipus' aria, Awaiting Creon)

Example 3-6: Crowd–Oedipus Relationship: Musical Illustration of Example 3-5 (cont.)

Immediately striking about these contrasting interpretations is the manner in which Tarasti's version takes for granted the dialogized nature of Stravinsky's musical languages. One might say that he 'auto-mediates' the dialogical disputes inherent in the multivalent aesthetic. Although the heteroglossia of musical languages in the opening section of *Oedipus Rex* is identified, each language is deemed wholly appropriate to its narrative function, exhibiting little, or no, contestation, contradiction or complementation. This is in part due to Tarasti's concern for identifying the mythical narrative structures in musical language—a methodology attracting criticism from Monelle.[193] When he begins his interpretation from the premise that the crowd embody a lack, his concern is to identify the appropriateness of the musical language towards that posited predicament. I do not wish to take issue with Tarasti's narrative functions. That 'the people' embody a lack, both musically and narratively, at this juncture is indubitable. My interpretation does, however, take issue with the assumption that the language speaking that 'lack' is entirely appropriate—without dispute—for the language of a stricken people. Just as the musical language of Oedipus' metaphoric swollen foot (identified in *Example 1-16*) belies the language of a powerful king, so too the crowd's language of powerful incitement, belies their musical lack. Indeed Stravinsky's assertion that 'the King's manner conceals the King's 'heart', though not perhaps the tail feathers of his pride',[194] alone is tantamount to an admission that dialogized languages were on his aesthetic palette. Speaking one language through the eyes of another, therefore, constitutes Stravinsky's quintessential neoclassic aesthetic strategy for motivating dramatic impulse, for both absolute and programmatic works. It can be seen operating in the Symphony of Psalms, a work similar to *Oedipus Rex* in both its Latin verse and orchestrational sound world, but differing in its lack of dramatic personae (*Example 3-7*, below):

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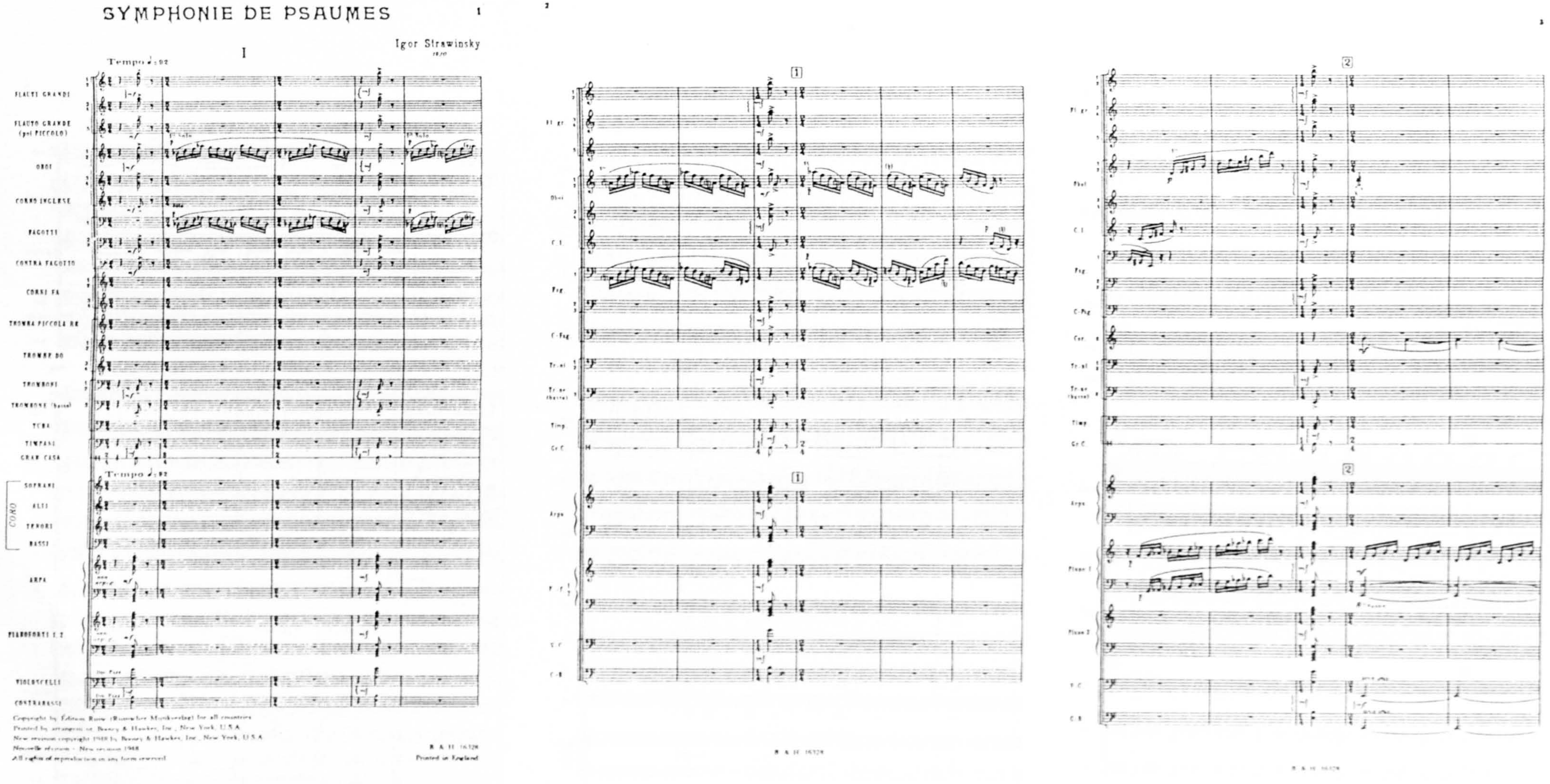
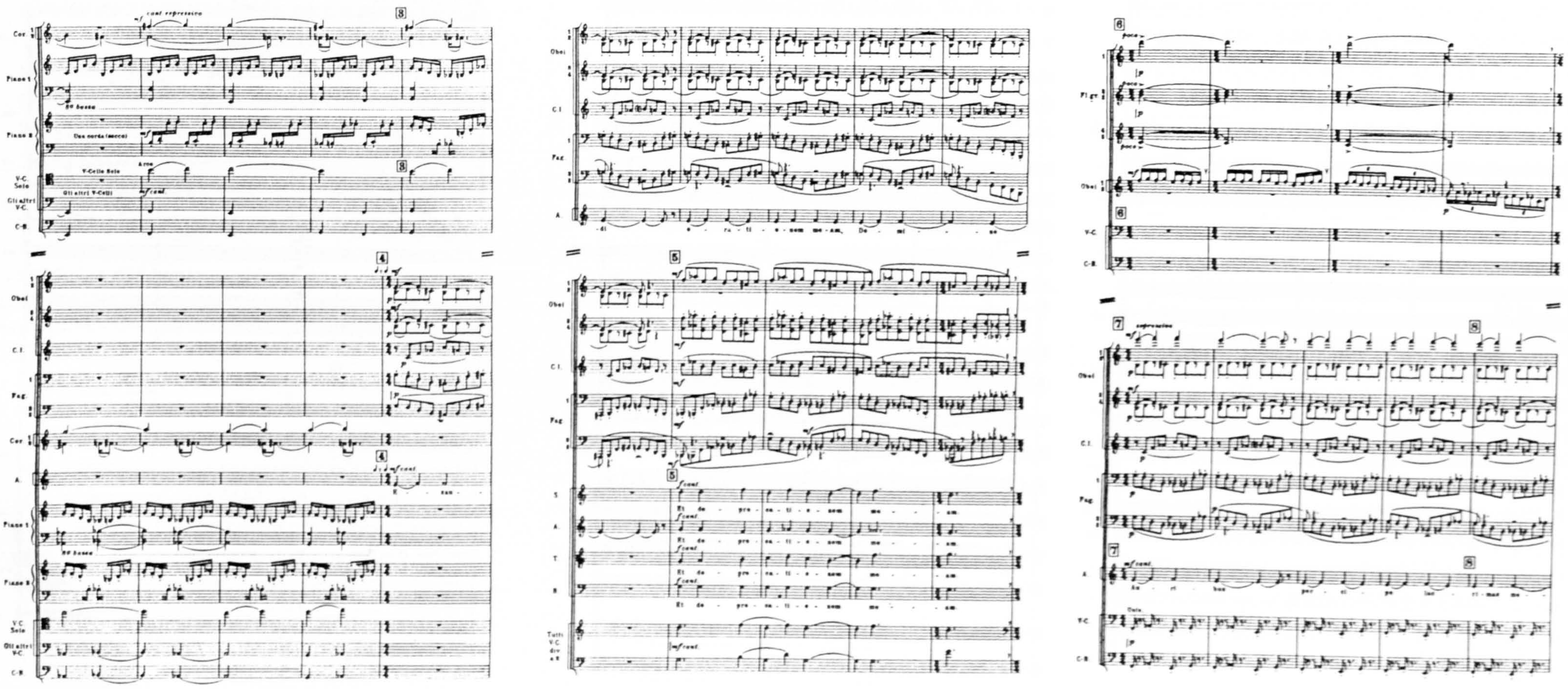
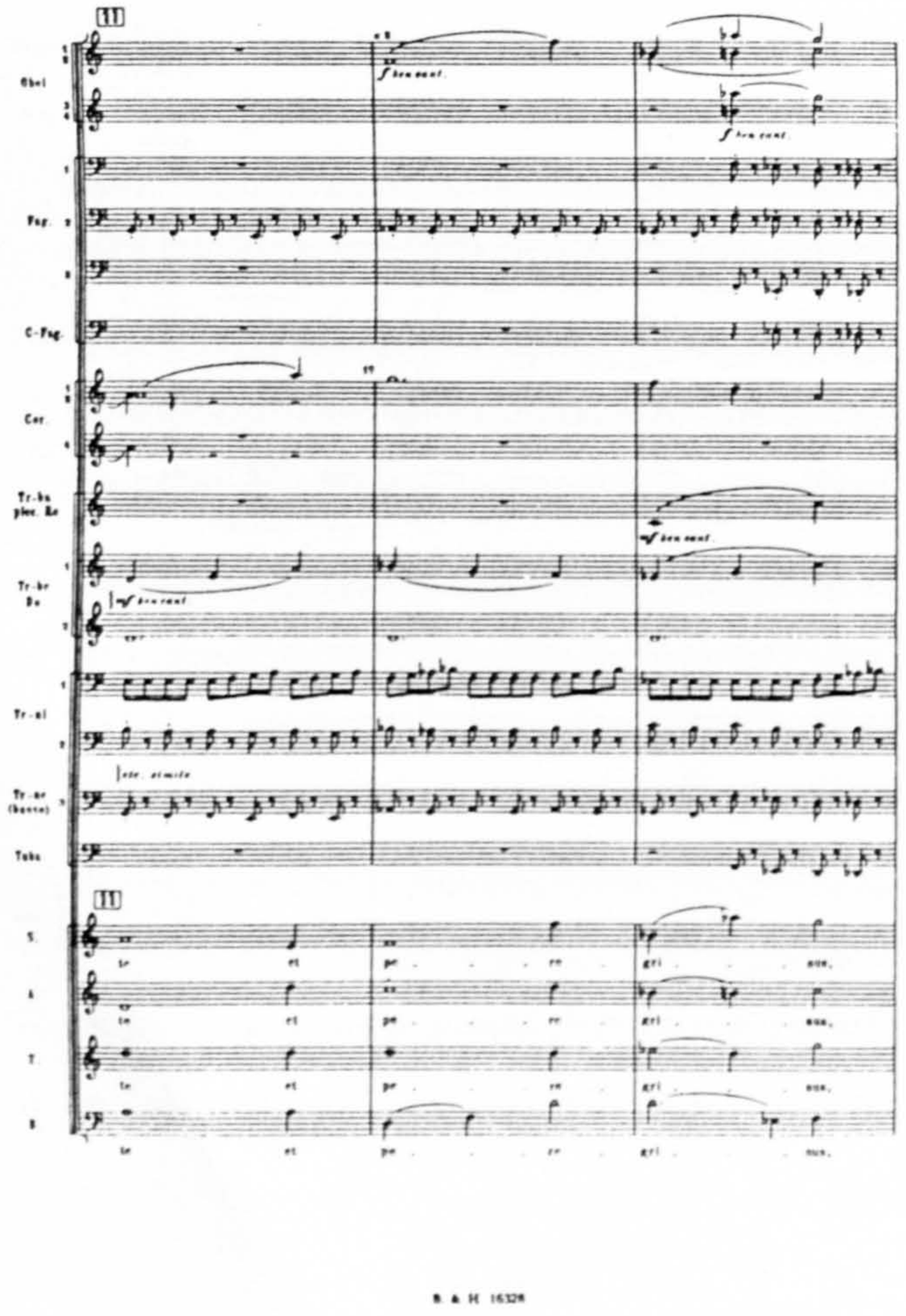
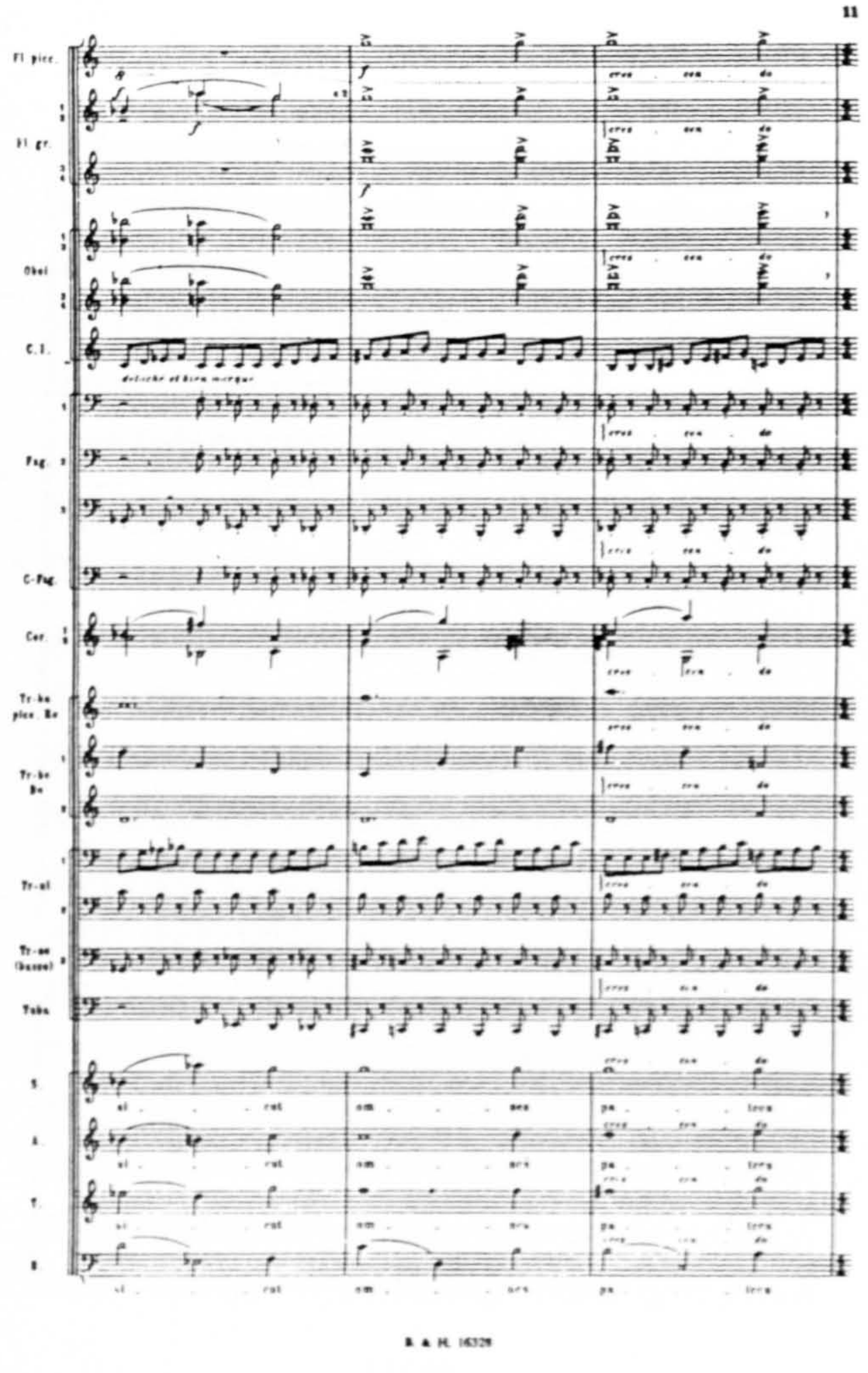
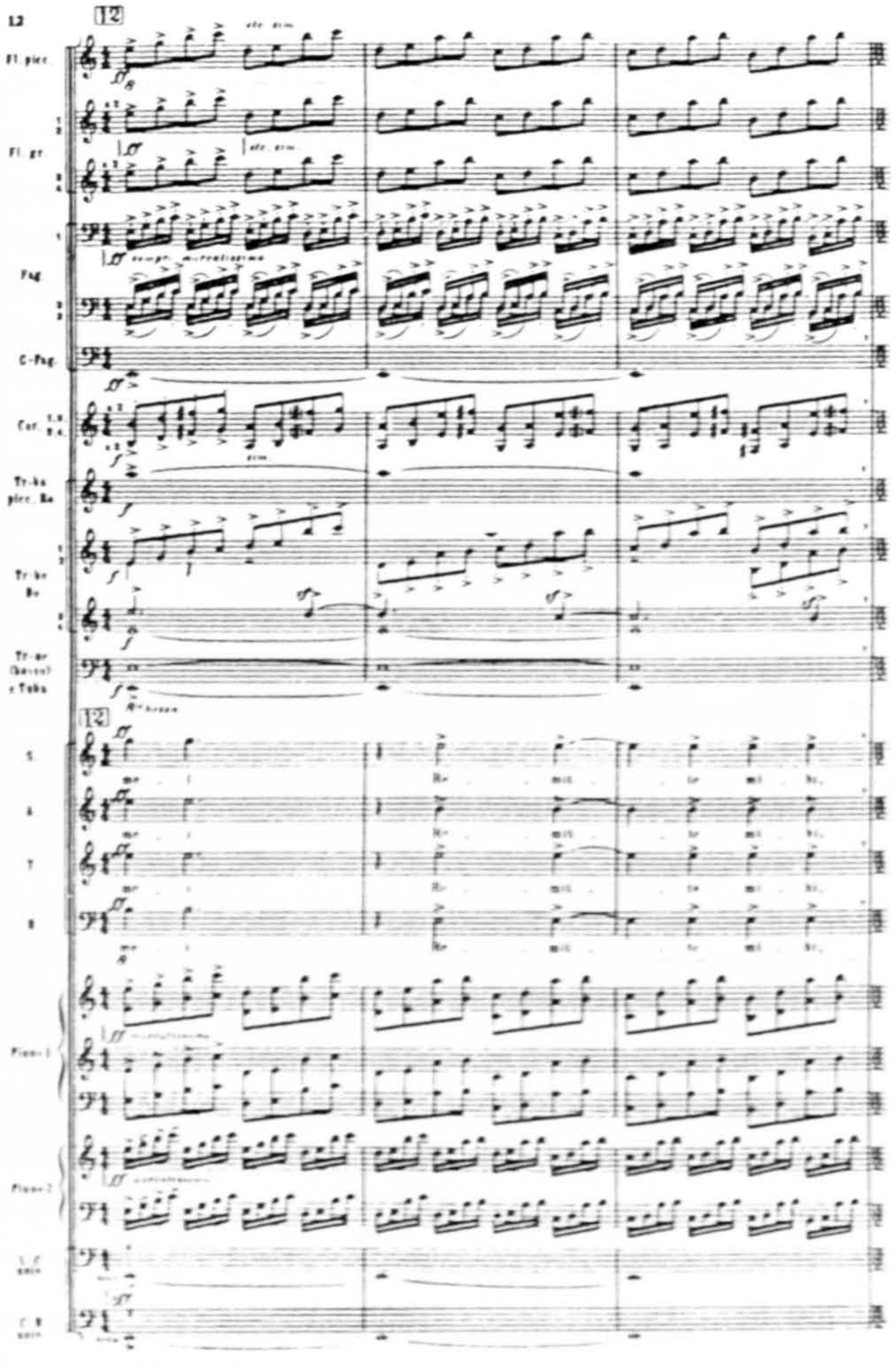
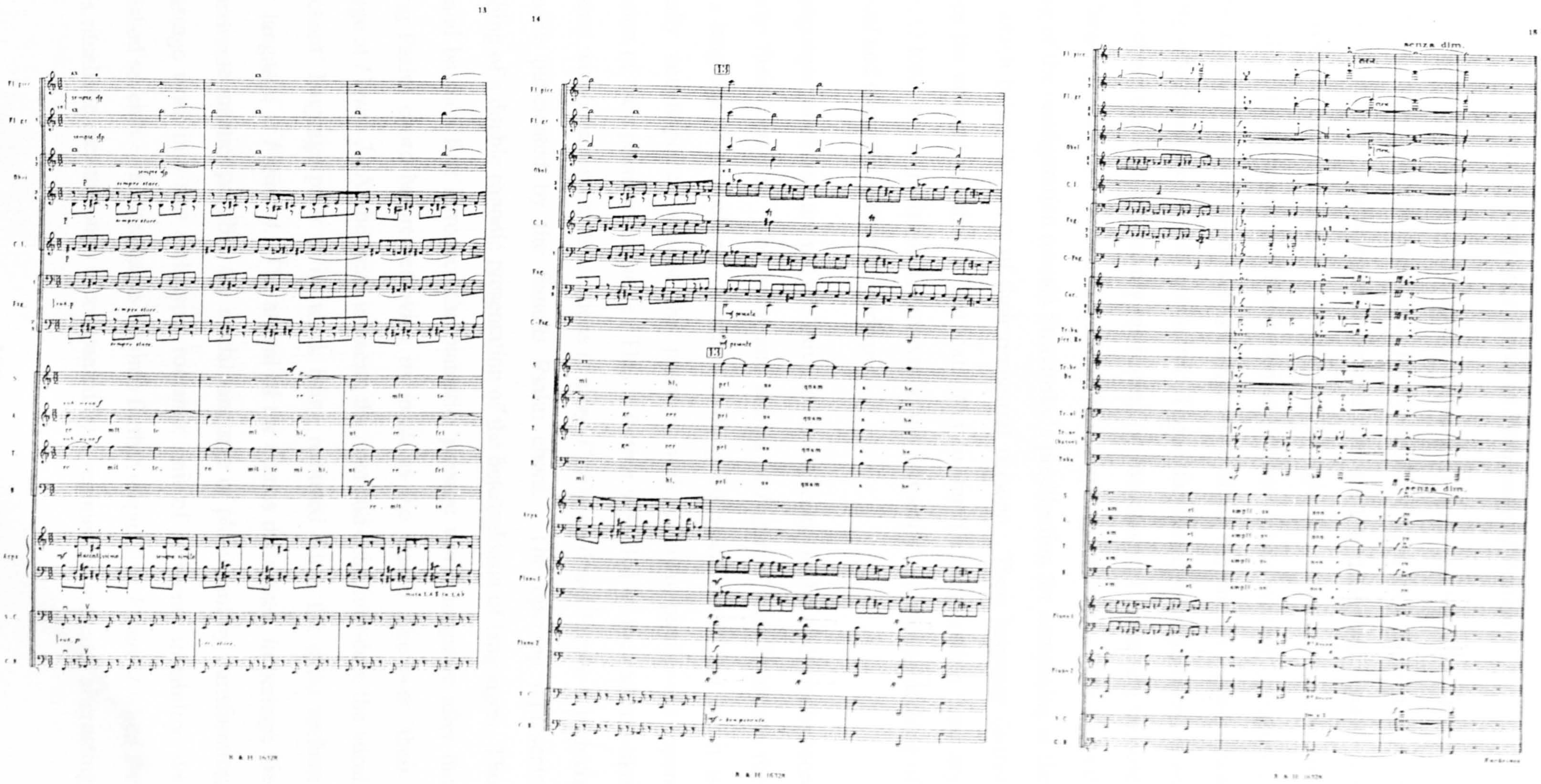
[193] Raymond Monelle, review of *Myth and music, a semiotic approach to the aesthetics of myth in music, especially that of Wagner, Sibelius and Stravinsky*, by E. Tarasti. *Music analysis* 3, no. 2 (1984): 208-14.

[194] Stravinsky et al., *Dialogues*, 28.

Example 3-7: Symphony of Psalms Movement I– Dialogical Interanimation

Example 3-7: Symphony of Psalms Movement I—Dialogical Interanimation (cont.)

Example 3-7: Symphony of Psalms Movement I—Dialogical Interanimation (cont.)

Example 3-7: Symphony of Psalms Movement I—Dialogical Interanimation (cont.)

Example 3-7: Symphony of Psalms Movement I—Dialogical Interanimation (cont.)

Opposed Language Styles in Symphony of Psalms

The opening of *Symphony of Psalms* (*Example 3-7*) finds the orchestra and choir speaking two very different languages. This immediately presents the listener with a heteroglot strategy. Furthermore it deconstructs itself as dialogized because the appropriateness of the orchestra's language is brought into dispute from the very outset. More a transcription of Beethovenian, virtuoso piano writing, juxtaposing extreme registeral chords with rapid passage work filling the middle register, than anything whose pedigree is truly orchestral. Those 'far-famed' configurations of an E minor chord are orchestrationally interesting, or 'neoclassical', precisely because their 'language' disputes the sound world of the symphony orchestra. The textural spacing of the configuration reveals Stravinsky's predilection for composing at the piano which belies the mask of their orchestral persona. Their language further disputes the ensuing narrative of the text. Not so much a supplicating 'hear my prayer, O lord' as an invitation to 'marvel at my virtuosity'—a cross-matching of medieval and romantic aesthetics, perhaps.

The languages, of course, are not exclusive to the orchestra or choir but can be seen to merge their identities. The horns and strings at *Figure 2* first introduce the choir's language of plainchant. There is nothing dialogical about that but it is ironically counterpoised against the passage work of two pianos—an open admission of their pianistic language. This is further signalled by the cadenza-like flourishes which demarcate the sections (*Figure 1*[4], *Figure 6* and *Figure 8*[3]) which are twice punctuated by the famous Psalm chord. The opening represents something of a double canonic presentation of the heteroglossia of languages. The oboe and bassoon first introduce the pianistic 'passage work' language after the opening Psalm chord before removing its mask as the pianos take over 'their' language at *Figure 2*. At the same moment, the horn and cello introduce the vocal 'plainchant' language prior to its mask being removed when the choir reclaim 'their' language at *Figure 4*. The arrival of the pianos dialogizes, in perhaps the most extreme manner possible, the modal language of plainchant by transforming the passage work into that archetypal romantic unit of harmonic instability, the diminished seventh. The languages become further disputed at *Figure 4* when the choir's ritualistic incantation is accompanied by a regimented ostinato, alternating

two diminished sevenths with such precise articulation in duple time that it assumes the character of a march. This dialogized heteroglossia could be formulated as another form of bi-isotopic opposition: modal plainchant in ritualised incantation, serving as a 'religious' isotopy in contrast to the regimented diminished seventh passage work which functions as a 'martial' isotopy. The ironic consequence of this interanimation of languages results in a strikingly triumphal setting of the text: '*O spare me, that I may recover strength: before I go hence and be no more*' (*Figure 12* to the end).

Section 3 – Dialogical Mediation of Heteroglossia

Strategies, like Tarasti's, which fail to apprehend the dialogical nature of Stravinsky's discourse are guilty of taking for granted the underlying process of mediation involved in extracting and prioritising the prototypical features of specific language types from the contexts in which they occur. It is a form of auto-metonymic reasoning in which the prototype features are allowed to stand in for the language as a whole. One can recall Lakoff's discussion of metonym from chapter one. In defining the relationship of metonym and prototype effects, he states:

> As Rosch (1978) observed, prototype effects are surface phenomena. A major source of such effects is metonymy—a situation in which some subcategory or member or submodel is used (often for some limited and immediate purpose) to comprehend the category as a whole. In other words, these are cases where a part (a subcategory or member or submodel) stands for the whole category—in reasoning, recognition, etc. Within the theory of cognitive models, such cases are represented by metonymic models.[195]

Tarasti's auto-metonymic reasoning, analysis utilises the heteroglossia of Stravinsky's languages to match posited narrative situations, without acknowledging their inherent sense of disputation generated by a discourse founded on fundamentally dialogized heteroglot languages. This auto-mediation overlooks the 'play' Stravinsky makes with these prototype effects. By reducing the dialogue to support the narrative function, Tarasti fails to acknowledge that the process of mediation has a narrative function of its own. Just as the cubist aesthetic demanded mediation by virtue of its inherent deadlocked *markedness reversal*, so too the

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[195] Lakoff, *Women, fire, and dangerous things*, 79.

neoclassic *prototypical play* strategy demands mediation because of its multivalent, dialogized heteroglossia. In denying the 'otherness' of Stravinsky's dialogized languages, analysts like Tarasti overlook the irony of Stravinsky's narrative strategy. It is a form of irony manifest in deviation from prototypical structures, and models which are inherent to languages dialogized by the multivalent contestatory, contradictory and complementary prototype constructs of other languages. The failure to embrace this 'otherness' of languages inherent in the process of prototype deviancy misses the real narrative process of the music.

Tarasti, it should be noted, is not oblivious to the notion of irony in *Oedipus Rex*. Indeed he positively advocates that the work's drama can only be understood by the introduction of 'irony' as a new seme, a proposal Monelle is quick to take issue with.

> In applying his semeanalysis to Stravinsky, this writer finds that an important feature of the drama—its curve towards the banal—can be explained only by the introduction of a new seme, that of 'irony'. It is doubtful whether irony is truly a seme in Greimas's sense, though it is undeniably present in *Oedipus Rex*; in any case it is semiotic on a different level from the nature-mythical, the balladic, the magical and so on for it dominates all of these and is in fact the distinguishing feature of Stravinsky's piece. The composer's irony could have been revealed by old-fashioned criticism; semeanalysis is not meant to speak in these terms.[196]

Tarasti's mistake is to impose irony from the outside rather than inferring it from the dialogical relations inherent in Stravinsky's heteroglot languages. The irony results as the natural consequence of playing with prototype models by obscuring their radial centres in a dialogized context. This highlights the otherness of the heteroglot languages which, in turn, invokes some form of mediation between these disputing voices. It is the resulting disputation between prototype languages and the languages of 'otherness' which demands interpretation.

Two polarised concepts, outlined by Bakhtin's discussion of language structures in the novel, are helpful to understanding the difference between Tarasti's interpretation and a more dialogized perspective. Bakhtin evaluates the centralising

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[196] Monelle, review of *Myth and music*, by E. Tarasti, 210. Monelle protests that 'it is of course possible to find mythic functions in these dramas because they are largely drawn from real myths. These functions are extrapolated with much acuteness, and matched up with the analyses of Russian fairy tales in Vladimir Propp's *Morphologie du conte*. But these functions are not necessary to explain the musical syntactics', 211.

and decentralising forces in language according to centripetal and centrifugal interpretations. Centripetal interpretations are homogenising and hierarchical, whereas centrifugal influences are decentering and de-normatising. By auto-mediating the dialogical nature of Stravinsky's heteroglossia and failing to acknowledge the 'otherness' inherent in their utterances, Tarasti asserts a centripetal interpretation of the language where a decentred, centrifugal interpretation is called for. In short, he—along with other non-dialogized analyses—normatizes the language of Stravinsky's prototypical play. Rather than exploring the interanimating relationship between prototypically defined heteroglot prototype features, these analysts base their interpretations on a metonymic reasoning which focuses on the centralising forces of Stravinsky's musical languages. This prioritises a normatized language to stand in for the multivalent dialogized heteroglot of languages which motivate the work. This can be understood in relation to the second of Bakhtin's polarised concepts, *cuzoj*.

> *Cuzoj* is the opposite of *svoj* [one's own]...and implies otherness—of place, point of view, possession or person...it is simply that which someone has made his own, seen (or heard) from the point of view of an outsider....Being cuzoj makes dialogue possible. The novel is that literary art form most indebted to cuzdost.[197]

Communication for Bakhtin involves a process of assimilation in which the voice—be it the author's, composer's, or dramatic persona—leaves his *svoj* and makes another's *cuzoj* his own. In this process of assimilation there is an inevitable 'gap' between our own intentions (*svoj*) and the other's words, or compositional language (*cuzoj*), spoken to articulate them. The 'gap' between *svoj* and *Cuzoj* depends on the 'fit' between these conflicting voices. If, for example—as Tarasti's analysis might suggest—the *svoj* of Oedipus (a powerful king) wholly assimilates the ideology of the language of *cuzoj* (the victim of fate), the 'gap' is considerably reduced and the manner of speaking is essentially non-dialogized. This occurs when the prototype constructs of one language (the language of power) metonymically stand in for the musical expression as a whole, thus sidelining the 'otherness' of Oedipus (the language of pity with Oedipus as the victim of fate). Such semantic interpretations are essentially 'centripetal'. This is because the

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[197] Holquist, *The dialogic imagination*, 423.

voice of *svoj* assimilates the ideology of the voice of *cuzoj* and the metonymic interpretation centripetally focuses on the voice of *svoj*, relegating the centrifugal tendencies of the voice of *cuzoj* which it simultaneously transmits. Such a centralising interpretation of Oedipus' manner of speaking, 'normatizes' the inherent disputation of otherness in Oedipus' heteroglot languages.

The manner of Oedipus' speaking is fundamentally dialogized, however. As a prototype among Stravinsky's neoclassic voices, he is nothing short of a 'highly conditioned oyster'. Instead of centripetally assimilating the ideology of 'another' language during its transmission, Stravinsky dramatises its non-assimilation, preserving its sense of *cuzoj*, thus preserving his 'angle' of relation to 'other' languages. This centripetal interpretation of Oedipus' manner of speaking preserves the distanciation of the 'gap' between self and other. In short, Oedipus is portrayed by a strategy of dialogized heteroglossia. Bakhtin describes this distinction between assimilation and non-assimilation of other voicedness in a manner which resonates strongly with Oedipus' opening aria.

> When we attempt to understand and make assessments in everyday life, we do not separate discourse from the personality speaking it (as we can in the ideological realm), because the personality is so materially present to us. And the entire speaking situation is very important: who is present during it, with what expression or mimicracy is it uttered, with what shades of intonation? During everyday verbal transmission of another's words, the entire complex of discourse as well as the personality of the speaker may be expressed and even played with (in the form of anything from an exact replication to a parodic ridiculing and exaggeration of gestures and intonations). This representation is always subordinated to the tasks of practical, engaged transmission and is wholly determined by these tasks....everyday episodes involving the same person, when they become linked, already entail prose devices for the double-voiced an [*sic*] even double-languaged representation of another's words.[198]

Bakhtin goes on to draw an analogy with the two basic modes of verbal disciplines taught in school, 'reciting by heart' and 'retelling in one's own words'. Both involve the simultaneous 'appropriation and transmission of another's words (a text, a rule, a model)'. 'Retelling in one's own words' represents a form of

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[198] Bakhtin, "Discourse in the Novel," 340-341.

'double-voiced narration' because 'one's own words must not completely dilute the quality that makes another's words unique' but 'should have a mixed character, able when necessary to reproduce the style and expressions of the transmitted text'. If the analyst is to make a valid interpretation of Stravinsky's neoclassicism, he must be sensitive to the fact that Oedipus' appropriation of a powerful king's language is dramatically non-assimilated through Stravinsky's 'parodic ridiculing and exaggeration of gestures and intonations' which belie his own fated, vulnerable voice. The strategy reflects Oedipus' narrative appropriation of the monarchy (killing the king and marrying the queen). It is also reflected in the 'retelling' (Cocteau uses the expression, 'recalling') narration device, which from the outset distances itself from a 'recitation' and implies a heteroglot of other voices. These voices range from public speaking ('Ladies and Gentlemen'), spoken Latin, mythology, opera, oratorio, Greek text, tragedy, epic language ('monumental'), dramatic tableau ('scenes'), parable ('story' telling), etc. Indeed one could argue that Stravinsky and Cocteau's *Oedipus Rex* is a work foregrounding dialogized heteroglossia *par excellence*. This is evident, both in the multiple transformations the libretti underwent (i.e. Sophocles–Cocteau—Stravinsky),[199] and in the opening utterances of the work, foregrounding the dialogized heteroglossia to the audience.

> Ladies and Gentlemen,
> You are about to hear a Latin version of King Oedipus.
> This version is an opera-oratorio; based on the tragedy by Sophocles, but preserving only a certain monumental aspect of its various scenes. And so (wishing to spare your ears and your memories) I shall recall the story as we go along.[200]

Otherness, Dialogue and the Preservation of *Exotopic* Positions

In arguing that Tarasti's analysis ignores Stravinsky's use of dialogized heteroglossia, I do not claim that his analysis is devoid of either heteroglossia or dialogical strategies. 'Heteroglossia' is present in his identification of 'other' languages: the language of lack, or pity, and power being his main focus.

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[199] These transformations are mapped in P. Bauschatz, "*Oedipus*: Stravinsky and Cocteau recompose Sophocles," *Comparative literature* 43, no. 2 (1991): 150-70.

[200] Jean Cocteau, Prologue to Act 1 of *Oedipus Rex*, 1926-27; Igor Stravinsky and Jean Cocteau, *Oedipus Rex: Opéra-Oratorio en duex Actes d'après Sophocle par I. Strawinsky et J. Cocteau*, Hawkes Pocket Scores, B. & H. 16497 (New York: Boosey and Hawkes, 1949), vi.

'Dialogue' between these two languages is also present in Tarasti's analysis, for—like his analyses of Wagner and Sibelius—they can be seen to start from a position of opposition (the crowd with the language of pity: compound-chromatic, Oedipus with the language of power: duple-diatonic), merge towards a position of mediation (both assuming characteristics of the other) before 'resolving' to an altered position (Oedipus the language of pity, the crowd the language of power). The fact that Tarasti's 'dialogue' 'resolves' via reversal, however, is problematic to the very nature of dialogue. The basic Wagnerian dialectic trajectory is one in which opposition merges towards concord, or the reverse, concord divides into opposition. Grey identifies these respective trajectories in *Lohengrin* II 1 (Ortrud and Friedrich's exchange) and III 2 (Elsa and Lohengrin's exchange).

> An essential premise of this evolutionary ideal of form, although not thematized at any great length in [Wagner's treatise] *Opera and Drama*, is the centrality of dialogic structure to dramatic form (hence also to the "true" musical drama) and the possibility of establishing a counterpart to this dialogue principle—as a dialectic of confrontation and resolution—in the musical form itself....Wagner's celebrated vanquishing of the closed number involved the devising of a meaningful, compelling musical grammar of motives, phrases, and paragraphs that could actively partake in the dialectic progression of a dramatic argument, rather than serving merely as emphatic underlining or sonic amplification.[201]

Invoking a Wagnerian(!) model for Stravinsky's semantic interpretation will inevitably incite the historicist Stravinsky scholar to prepare an armoury of anti-Wagnerian propaganda—mainly promulgated by Igor himself—with which to rebut such an absurd proposition. It is not my intention, however, to draw aesthetic parallels between Wagner and Stravinsky—least of all with the neoclassic style which has long been ingrained by half a century's critical thought as the clinical antidote to Wagner's operatic excesses. Instead I attempt to draw a semantic parallel based on a shared principle of expressing drama through an evolutionary conception of dialogue. This is what distinguishes my interpretation of *Oedipus Rex* from Tarasti's 'reversed dialogical trajectory' which is fundamentally paradoxical, or deadlocked, in its sense of 'resolution'. Tarasti does not allow for the evolution of the dramatic narrative because he does not take account of the fact

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[201] Thomas S. Grey, *Wagner's musical prose: texts and contexts* (Cambridge: Cambridge University Press, 1995), 212-213. [The bracketed insertion is mine.]

that each narrative position changes as a result of coming into contact with, and interanimating, the 'other'. This attitude reduces Stravinsky's languages to the role of emphatic underlining or sonic amplification of his posited narrative. It denies any evolving, emergent interanimation of languages. Although Tarasti conceives the narrative as a dialogue between Oedipus and the crowd, he does not conceive of the inherently dialogical languages through which both protagonists speak. Since this conception of the narrative is monological, in the Bakhtinian sense, Tarasti fails to apprehend the communicative mechanism of dialogue, and its resulting *exotopic resolution.* What Tarasti gains over more traditional Wagnerian analysts, is the sense that Stravinsky does not resolve by forcing one side of a dialogic opposition to colonise the other. By relegating this to an unmediated reversal, however, Tarasti simultaneously loses the sense of evolving, resolute dramatic narrative. A reversal is simply a gridlocked irresolution. It lacks any sense of changed perspectives resulting from contact with the otherness inherent to dialogical oppositions. Pechey, in his survey of Bakhtin, offers a critique of such attitudes which helps contextualize the notion of dialogical mediation into their framework of otherness. 'A Bakhtinian understanding would break beyond this polarisation of monoglot options to the notion of a multilingual field where the languages of coloniser and colonised are indelibly inscribed within each other and which oppositional initiatives should seek to exploit rather than escape.'[202]

Pechey's metaphor of colonial perspectives invokes a familiar framework for interpreting otherness, a framework developed by cultural anthropologists like Said,[203] and ethnomusicologists like Feld[204] and Blacking.[205] Their call for context-sensitive, cultural analysis resonates strongly with the inherent call of dialogized interpretations to open themselves up to an understanding of the 'other'; an understanding which approaches, without colonising, the 'other'. It is precisely for this reason that Wagnerian and Stravinskian aesthetics remain at their historicist-defined, antipodal relationship. Where Wagner resolves by *colonisation*, Stravinsky

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[202] Pechey, "On the borders of Bakhtin," 63.

[203] Edward W. Said, *Orientalism* (London and Henley: Routledge and Kegan Paul, 1978).

[204] Feld, "Sound structure as social structure," 383-409.

[205] Blacking, *Music, culture, and experience.*

resolves by, what we may call, *conversation*. Only the latter preserves an *exotopic* relationship.

The 'colonial' metaphor is a useful context in which to introduce this final Bakhtinian concept of *exotopy*. In his case study of heteroglossia in Dostoevsky's novels, Bakhtin draws a conclusion with which any anti-colonialist would be content: 'Here [in Dostoevsky's novels]...we have a *plurality of consciousnesses, with equal rights, each with its own world*, combining in the unity of an event but nonetheless without fusing....[There is] no fusion with the other but the preservation of his *exotopic* position'.[206] It is this 'preservation of the exotopic position of otherness', which most aligns Bakhtin's thought to Stravinsky's neoclassical musical language. More specifically it holds the key to a viable semantic interpretation of the process by which one can mediate the seemingly irresolute oppositions of Stravinsky's prototypical play. I have already referred to this interpretative tool of mediation in chapter one as *exotopic resolution*. *Example 1-17* contextualized this 'semantic mechanism' both as the counterpart to the legitimate cubist aesthetic interpretative tool of *metaphoric troping* (as distinct from mere *correlative* meaning) and as the legitimate dialogical interpretative tool for the neoclassical aesthetic (as distinct from traditional Wagnerian conceptions of dialogue). *Exotopic resolution*, as I advocate it for a Stravinskian semantic model, is the 'resolution' of dramatic oppositions generated by the conflation of multivalent models and languages—the inherent heteroglot of Stravinsky's neoclassicism—according to a dialogical model which preserves the 'otherness' of oppositions. It is a process which respects the distanciation of Stravinsky's oppositions by attempting to converse with, rather than colonise the apparent contradiction of other with the self. Colonising resolution is, therefore, aligned to a Wagnerian model of dialogue, while conversing resolution is aligned to Bakhtin's model. As with the discussion of 'positive' *abnegation* resulting from metaphoric troping in *Excentrique* (as distinct from 'negative' *negation* resulting from correlative meaning), I argue that a Bakhtinian *exotopic* interpretation of oppositions conversing with one another, offers a similarly 'positive' semantic understanding of Stravinsky's narrative, where countervailing *traditional*

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[206] Mikhail Bakhtin, *Problems of Dostoyevsky's poetics* (Ardis: Ann Arbor, 1973), translated by W. W. Rostel, 8-10., cited Todorov, *Mikhail Bakhtin*, 104-106. [The bracketed insertions are mine.]

interpretations offer only a negative semantic of colonised contradiction. As a preface to unpacking this notion of *exotopic resolution*, Bernard-Donals' attempt to align Bakhtin somewhere 'between phenomenology and Marxism', provides an explanation of the relationship between dialogue and exotopy which fits into the overall semiotic picture.

> dialogue...suggests the non-coincidence of the sign-as-interiorized and the sign-as-uttered: the moment a sign is uttered in a particular context, both the sign and the context are interiorized, thus producing a new context for future use. Moreover, the selves involved in such an "exchange" are also reconstructed, since their language (as ideological material for their "lives") has changed....
>
> One of Paul de Man's last essays notes...the concept of dialogism is...a "principle of *exotopy*:...the function of dialogism is to sustain and think through the radical exteriority or heterogeneity of one voice with regard to any other."[207]

Exotopy appears to be a latent concept in Bakhtin's writing; gradually emerging out of his discussions of otherness and dialogue. Tomlinson's musicological discussion gives an erudite description of Bakhtin's literary concept of 'outsideness'.

> The term Bakhtin coined for this "finding oneself outside" is, Todorov tells us, *vnenakhodimost'*; Todorov translates it as *exotopy*. This phenomenon is the opposite of a fusion of ourselves with the other....
>
> It gives a name to the mysterious relinquishment in which we comprehend ourselves by the detour of comprehending the other. And it situates this comprehension in a world of discourse created and sustained by dialogue.[208]

Exotopic Resolution

Dialogized heteroglossia parallels the paradox at the crux of the *Oedipus Rex* narrative; the inherent contradiction of Oedipus' *lux facta est*. It represents a musical paradigm of Stravinsky's tendency towards exotopic resolution in the neoclassic aesthetic. The literal translation: 'my light is put out', stands in a dialogical relationship to its dramatic situation—occurring at precisely the moment when, for Oedipus, 'suddenly all becomes light'. The narrative consequence of the *lux facta est* moment of realisation—Oedipus' self inflicted blindness—can itself

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[207] Michael F. Bernard-Donals, *Mikhail Bakhtin: between phenomenology and Marxism* (Cambridge: Cambridge University Press, 1994), 34.

[208] Tomlinson, *Music in renaissance magic*, 31-32.

be understood as an *exotopic resolution* within the dramatic narrative. He comes to understand him 'self' via the detour of understanding his 'other'. The 'self' is a king oblivious of his 'metaphoric blindness' towards his fate: a fate signalled by his swollen foot; a visual metaphor of past misdemeanours. The detour of understanding the 'other' is manifest in his self inflicted, 'literal blindness' which prevents him 'seeing the light' through his own eyes (i.e. he sees through the otherness of blindess).

Sophocles' conclusion of the tragedy in this manner can be understood as a perfectly exotopic resolution. Only in blindness can Oedipus truly see. In seeing himself through blindness, he comes to understand himself via the detour of understanding the other. Stravinsky's interpretation of Sophocles' tragedy—already dialogized through Cocteau's libretto (itself still further dialogized by Stravinsky's revisionary interferences)—is nothing short of an *etude in exotopy*. It is concerned with observing, from a position of outsideness, Oedipus' increasing awareness of his own exotopic position.

Oedipus' *exotopic resolution* occurs at his *Lux facta est* moment (*Example 3-8, Figures 167–170*). It preserves the distance between the conflicting languages of his opening aria (*Example 3-5c* and *Example 3-5d, Figures 16-24*). The aria and the *Lux facta est* are the syntagmatic extremes of Oedipus' paradigmatic instantiations; both depicting the dialogized languages of *fate/pity* and *hubris/power*. This is outlined in the upper section of *Example 3-9* (see below). The dialogized heteroglot in both instances is spelt-out in the opposition of Oedipus and his surroundings (i.e. the orchestra). Oedipus' aria has already been analysed as an opposition of march and aria styles (one might prefer to call them 'topics' to align them with Agawu's method of identifying 'plots' based on Ratner's theory of topicality:[209] the proposed methodological pedigree for *Excentrique*'s analysis). The march is defined by the regular duple meter; the aria by the sequential appoggiatura style. Their inherent dialogization is manifest in the sense of a negated march and declamation. The soft, wind/string, dotted overture rhythm distanciate the march and the lyrical aria is likewise distanciated by the declamatory nature of Oedipus' boastful hubris. This dialogization occurs within

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[209] Agawu, *Playing with signs*, à la Ratner, *Classic music: expression, form and style*.

Oedipus' opening instanciation. His *Lux facta est* instanciation is likewise internally dialogized. The military connotations of the march are transcribed to a fanfare gesture—the orchestra's rapid reiteration of chords articulated in thirds—which itself is negated by the fragmented nature of the chordal interjections, again orchestrated for soft winds and strings in place of the normative brass. The declamatory connotations of the aria are realised in the recitative nature of Oedipus' *Lux facta est* by the repetitive quasi-*secco* accompaniment and syllabic text setting. These implications are negated by the realisation of the aria's connotations of lamentation in the text. In other words, corresponding to the internal dialogized heteroglot *within* both paradigmatic instanciations, is a relationship of dialogized heteroglot *between* the aria and the *Lux facta est*. The latter realises the *recitative* and *fanfare* connotations of the former's *declamatory text* and *march* whilst the former anticipates the *aria style* and *negated march* of the latter's *lamenting text* and *negated fanfare*. These dialogized relationships are represented in the crossed lines of the upper section of *Example 3-9*.

Whilst the paradigms remain dialogized—i.e. preserve their exotopic position—, they exhibit a reversal of markedness ratings in their syntagmatic dimension. The aria's *unmarked* language was that of *hubris/power*. Although it connoted both the *literal sight* of *hubris* ('*Œdipe se vante de son adresse à deviner les énigmes*'—'Oedipus boasts of his skill in dealing with the powers of darkness') and the *metaphoric blindness* of *fate* (*Sans le savoir, 'Œdipe est aux prises avec les forces qui nous surveillent d'autre côté de la mort*'—'Oedipus, unknown to himself, contends with supernatural powers: those sleepless deities who are always watching us from a world beyond death'), it was the former which had the widest range of meaning, since the aria was one of declamation ('*Liberi, vos liberabo*'—'My children I will deliver you'). The languages of *fate* are fundamentally *marked* in relation to the message of the aria. The position reverses, however, in the *Lux facta est*. Here the language of *fate/pity* becomes *unmarked* in what is essentially Oedipus' lamentation. The *unmarked* language connotes both *literal blindess* ('*Lux facta est*'—'My light is put out') and *metaphoric sight* ('*Natus sum quo nefastum est, concubui cui nefastum est, cecidi quem nefastum est*'—'sinful was my begetting, sinful my marriage, sinful my shedding of blood'). Again it is the former which has the widest range of meaning, since the lamentation evokes empathy with

Oedipus' literal predicament, his more powerful *metaphoric sight*, as it were, comes too late. The mediation of these marked values, however, must not make the mistake of claiming that the *unmarked* value colonises the *marked*, since this overlooks the interanimation resulting from the dialogue. A parallel is found in *Excentrique*'s 'limp' paradigm (*Example 2-6*). Although the opening instantiation of the complex contained harmonic implications of both F and A, the F implications were fundamentally marked in relation to the contexts of downbeat A emphasis and reiteration in the ensuing 'timpanistic' paradigm. The position reversed, however, in the final instantiation in which F became the unmarked implication in the context of the A's downbeat usurpation and the F's reiteration in the ensuing *Cantique*. F, however, could not be said to have colonised A, since the conclusion was *abnegated* rather than affirmed. A similar resolution occurs with exotopy; not so much an abnegation of the dialogue, as a preservation of its inherent otherness in preference to colonising affirmation.

These dialogized heteroglot connotations of *sight* are made explicit to the audience at the very outset of Cocteau's libretto; all part of the stylised presentation of the opera-oratorio. Thus the audience is told that Oedipus is 'blind', that sleepless deities are 'watching' and that the audience will 'see' the snare closing. All this before the drama even begins, suggests that Cocteau and Stravinsky intend to leave the listener in no doubt about the dialogical contests motivating the drama.

> Oedipus, unknown to himself, contends with supernatural powers: those sleepless deities who are always watching us from a world beyond death. At the moment of his birth a snare was laid for him—and you will see the snare closing.
>
> Now our drama begins:[210]

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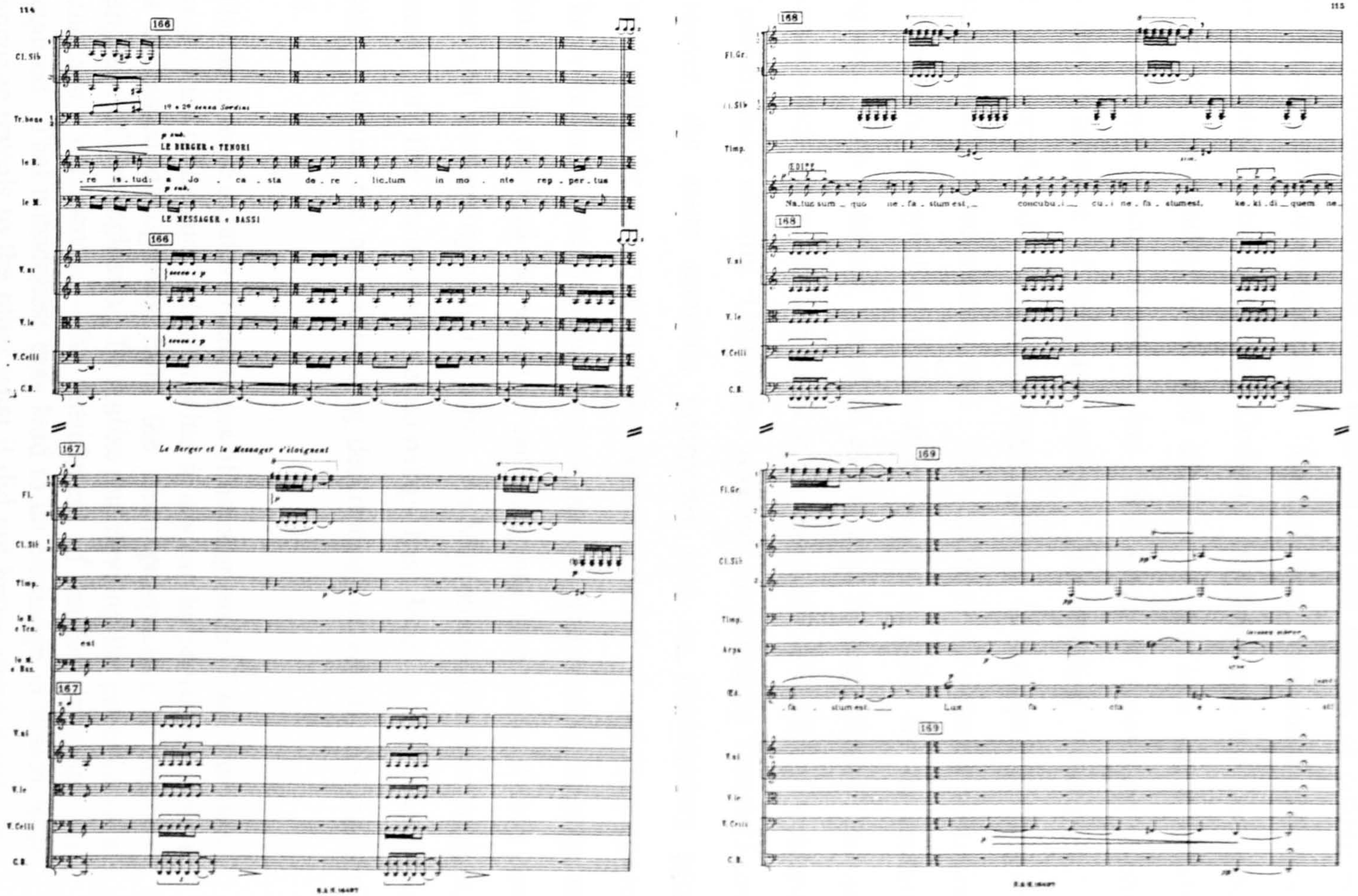
[210] Jean Cocteau, Prologue to Act 1 of *Oedipus Rex*

Example 3-8: Exotopic Resolution of Oedipus' Dialogized Heteroglossia

The contrast of Oedipus' identity at the beginning of the drama (*Example 3-5c* and *Example 3-5d*) with his identity at the end (*Example 3-8*), highlights the sense of exotopic resolution. There remains a definite sense of resolution—a sense that the music has progressed through an evolutionary dialogue to a point of repose—but the opposed languages have not been resolved by any process of colonising the otherness inherent in the contradiction. Instead, there remains a heteroglot of languages, essentially delineated into Oedipus' language and the contradictory language of the surrounding wind and strings. There is a sense of altered markedness ratings (discussed above) but little sense of colonising resolution between the misalliance of language styles. The opening 'melismatic' aria (*Example 3-5c*) employed a lamenting (appoggiatura) lyrical opera seria style for what was essentially a declamatory text. The *Lux facta est* moment compliments this by employing a 'syllabic' declamatory recitative style for an essentially lamenting text. Both instances, therefore, affirm their message through dialogized heteroglossia which undergoes a reversal at the extremes of Oedipus' syntagmatic chain of paradigmatic identity. Unlike the 'reversal' identified by Tarasti (*Example 3-5*), however, the acute semantic interpreter sees an evolutionary process incorporated within the preservation of the exotopic relation of each language to the other. The evolution is brought about because the interanimation of language styles has fundamentally changed the nature of each language as a result of their coming into contact and 'conversing with' the other. As Morson and Emerson suggest, the 'outsideness' of this heteroglot relationship has lead to an exchange (a 'conversation' to use the anti-colonising descriptive) in which new insights are produced.

> The same logic applies to languages of heteroglossia. Each has more to say than it has said; but what it has to say can be provoked when it is addressed dialogically from the alien perspective of another language of heteroglossia. To realize and develop the potential of a language, "outsideness"—the outsideness of another language—is required. That outsideness may lead to an exchange in which each language reveals to the other what it did not know about itself, and in which new insights are produced that neither wholly contained before.[211]

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[211] Morson et al., *Mikhail Bakhtin*, 310.

The musical embodiment of this linguistic process—*exotopic resolution* manifest in a *dialogized heteroglot* reversal about the syntagmatic chain of Oedipus' language—can be seen in *Example 3-8* and its complementary summary *Example 3-9*). The exotopic resolution reveals itself when considering the 'new insights' in the dialogue 'between' the heteroglot languages of each paradigm and 'within' the dialogized heteroglossia of each voice. (Respectively these insights are shown in the lower and upper sections of *Example 3-9*.)

In his opening aria, Oedipus' language was shown to be harmonically dislocated from the orchestra by the nonsynchronization of antecedent and consequent phrase structures. Thus, where Oedipus resolved to his tonic note, Bb—negating the antecedent structure—the orchestra, endorsing Oedipus' dislocation from his people, contradicted by cadencing on the supertonic note, C, of the dominant antecedent phrase. In the recitative 'reversal' of the *Lux facta est*, this harmonic distanciation of the two languages is preserved. It is reinterpreted, however, through tonal dislocation: Oedipus emphatically in B major (along with his reinterpreted swollen foot in the timpani), the orchestra alternating D major/minor. It is of course, no small coincidence that these tonalities are related by a minor third (the *Ursatz* sonority for the entire work) and have a 'relative' transpositional relationship. Their 'shared properties' (D and F#) enable the languages to give the impression of resolution by blending (we might say 'interanimating') comfortably with one another while clearly delineating their otherness. The notes A (dominant of D) and B (tonic of B), for example, are mutually exclusive, respectively to the orchestra and Oedipus (complete with his pseudo-death knell timpani). This confirms their exotopic relationship while simultaneously demonstrating their changed perspectives (a change that is from their antecedent-consequent dialogue of the opening aria). The fact that the same delineated orchestration has been preserved from the opening paradigm (timpani substituting the bassoons and full strings expanding the cellos), suggests that all differences have not been resolved.

Oedipus' 'Declamatory' Proposition (*Figure 16*) (*Example 3-6*) *Dialogized Heteroglossia 'within' paradigm* **(Orchestra) ⟷ (Oedipus)**	**Oedipus' 'Lamenting' Resolution** (*Figure 167*) (*Example 3-8*) *Dialogized Heteroglossia 'within' paradigm* **(Oedipus) ⟷ (Orchestra)**
March Regular Duple Meter	**Aria** Sequential Appoggiatura Style
vs.	vs.
Negated March Dotted Rhythm 'Overture' Wind & String not Brass Soft dynamics distanciate the March (as if heard from afar) from Oedipus' aria	**Declamation** 'I will deliver you...'
Recitative Repetitive quasi-*Secco* accomp & text style	**Fanfare** Rapid repetition of chords articulated in thirds
vs.	vs.
Lamentation 'Sinful was my begetting...marriage... shedding of blood' Text of each sin set to 'repetitive reticence' language	**Negated Fanfare** Fragmented chordal outbursts Wind & String not Brass Soft dynamics distanciate the Fanfare (as if heard from afar) from Oedipus' Recitative

(First Paradigm) → (Last Paradigm)

'each language reveals to the other what it did not know about itself.... new insights are produced that neither wholly contained before.'

Exotopic Resolution 'between' Paradigmatic Extremes of Oedipus' Syntagmatic Chain

(Orchestra) ⟷ (Oedipus)		**(Oedipus) ⟷ (Orchestra)**	
[V] Antecedent 'C' Ornate Texture Quasi–Contrapuntal Broken Chords Middle Register Gap Swollen Foot metaphor by deficient Bass Line	[I] Consequent 'Bb' Melismatic Stepwise contour	B Major Syllabic 'Interanimation' of 3 contour languages:	D Major/Minor Skeletal Texture Homophonic Chords Full Registeral Fill Swollen Foot metaphor by dislocated Timpani

Heteroglot Origins of interanimating voices → **Interanimating Voices**

• Oedipus	Fig.17	Connotes reluctance by heightening anacrusis	**1. *Repetitive Reticence*** Stressed 'anacrusis' (repeated note B) Compound & Duple
• Tiresias	Fig.69	Reluctant to speak	
• Jocasta	Fig.103	Reluctant to trust oracle	
• Oedipus	Fig.17	Boastful 'I Oedipus'	**2. *Stepwise Assertion*** Scalic rise up a mi.3rd (B–C#–D)
• Jocasta	Fig.94	Scorning 'Are you not ashamed...?'	
• Messenger	Fig.172	Announcing 'Jocasta the queen is dead'	
• Creon	Fig.27	'The God's have spoken'	**3. *Triadic 'Speech'*** Leaping in thirds (D–B–F#)
• Tiresias	Fig.70	'Oedipus, I cannot speak'	
• Jocasta	Fig.95	'To raise your voices in a stricken city'	

Example 3-9: Exotopy in Oedipus' Heteroglot Voices

There is, however, strong evidence of resolution. The fit between the dialogized voices is clearly a happier one than the clash in the opening aria. Antecedent against consequent, dominant against tonic, C against Bb, March against Aria, mechanical gesture against lyrical gesture, all foretold a level of dramatic tension which has been resolved, not only by the tranquil spatial effect of the *Lux facta est*, but, more significantly, by the quiescent conflation of the music's other-voicedness, preserved in the dialogue of languages. This is not resolution by colonising the other but *exotopic resolution* which preserves the distance of the other. It is not, therefore, an anti-dramatic climax, as most commentators argue but an ironic climax: an irony resulting from the metaphor's inherent otherness, preserved by an exotopic resolution.

An interpretation, such as this, casts new light on two, often over-cited, comments Stravinsky made in relation to the objective stylisation of *Oedipus Rex*. One reveals an *exotopic* propensity because our relationship to Oedipus, as the subject of fate, is entirely other than, or outside, ourselves: 'My audience is not indifferent to the fate of the person, but I think it far more concerned with the person of the fate, and the delineation of it which can be achieved uniquely in music'.[212] The other reveals a similar proclivity in Stravinsky's attitude towards monumentality and immunity in the use of Latin: 'a medium not dead but turned to stone, and so monumentalized as to have become immune from all risks of vulgarization'.[213] Thus the medium itself is clearly a device employed as a deliberate means of establishing an exotopic relationship between the audience and the opera-oratorio (itself an inherently exotopic genre!). One can understand Stravinsky's exotopic perspective, required of the listener, by adopting a similar Galilean linguistic consciousness[214] to that underlining Bakhtin's conception of the novel.

> The novel is the expression of a Galilean perception of language, one that denies the absolutism of a single and unitary language—that is, it refuses to acknowledge its own language as the sole verbal and semantic center of the ideological world. It is a

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[212] Stravinsky et al., *Dialogues*, 24

[213] Stravinsky, *An autobiography*, 125.

[214] Morson and Emerson refer to the Galilaen linguistic consciousness of Bakhtin's heteroglossia in the sense that 'the universe in which the language lives...is no longer Ptolemaic but Galilean. Like the earth, the language has ceased to be at the center, and has become one of many planets. It "knows" that different languages understand the world differently, and that each must compete with the others.' Morson et al., *Mikhail Bakhtin*, 311.

> perception that has been made conscious of the vast plenitude of national and, more to the point, social languages—all of which are equally capable of being "languages of truth," but, since such is the case, all of which are equally relative, reified and limited, as they are merely the languages of social groups, professions, and other cross-sections of everyday life. The novel begins by presuming a verbal and semantic decentering of the ideological world, a certain linguistic homelessness of literary consciousness, which no longer possess a sacrosanct and unitary linguistic medium for containing ideological thought; it is a consciousness manifesting itself in the midst of social languages.[215]

From this perspective, Stravinsky's 'angle' can be understood as an aesthetic decentering of the ideological 'German stem', a certain syntactic homelessness of musicological consciousness. This resonates strongly with the type of radial structures with which Stravinsky plays, since the 'decentering of the ideological world' could serve as a metaphor for the (decentred) 'radial' nature of prototype constructs.[216] Lakoff, after all, premises his advocation of prototypicality with the caveat that it brings with it profound implications which undermine the ideological basis of Western intellectual thought, something suggesting:

> a shift from classical categories to prototype-based categories defined by cognitive models....a change that implies other changes: changes in the concepts of truth, knowledge, meaning, rationality—even grammar. A number of familiar ideas will fall by the wayside....
>
> These ideas have been part of the ['ideological'] superstructure of Western intellectual life for two thousand years. They need to be replaced by ideas that are not only more accurate, but more humane.[217]

Perhaps the greatest irony of Stravinsky's so-called 'objective' neoclassical aesthetic is that far from comprising objectivized, deviant syntax, his prototypical play constitutes a more humane decentering of musical ideolect.

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[215] Bakhtin, "Discourse in the Novel," 366-67, cited Morson et al., *Mikhail Bakhtin*, 311-312.

[216] The reader will recall from chapter one's discussion of Dixon's Dyirbal classifications (*Example 1-11*) that concepts like 'women', 'fire' and 'dangerous things' functioned as central members of radial categories from which a plethora of 'decentered' members are linked. A classification theory, based on prototypicality represents such an attempt to replace more traditional theories of ideological constructs, like Weber's *ideal types*.

[217] Lakoff, *Women, fire, and dangerous things*, 9.

The Open Work

This thesis has argued that Stravinsky's cubist and neoclassic aesthetics exhibit a musical salience of negation, generated by deadlock and multivalency. Both comprise masquerading tricks, concealing the reality of the musical work. This underlying 'reality' can be understood by exploring Eco's notion of the 'open' work; perhaps a viable countervailing descriptive to the aesthetic effects of 'deadlocked opposition' and 'multivalent conflation'. The term 'open' emerges in Eco's discussion of *serial thought*. This should not be confused with the musical understanding of 'serial', i.e. a composition exhibiting note row procedures. Eco's descriptive distinguishes forms of linguistic communication. Works exhibiting *serial thought* (one might say, serial 'aesthetics') are referred to as 'open' because they comprise forms whose meaning resides in new codes which are allowed to evolve historically. This is distinguished from *structural thought* (or aesthetics) which are designated 'closed' because they comprise forms of linguistic communication whose meaning is decoded according to pre-established codes. Eco outlines this distinction in his book, *The Open Work*, much of which is given over to deconstructing Lévi-Strauss' critique of structuralism explored in his essay, *The Raw and the Cooked*.[218] A more detailed consideration of Eco's deconstruction of Lévi-Strauss appears in the conclusion to this thesis, to avoid breaking the continuity of this chapter. For now, it will suffice to know that the essence of the 'open work', as defined by Eco, resonates strongly with the notion of multivalency in Stravinsky's neoclassic aesthetic.

Eco could be describing a legitimate referential framework for interpreting the neoclassic aesthetic when he describes his notion of 'polyvalence' (a substitutable term for 'multivalence') as the essence of an 'open' work: 'the linguistic unit extracted from a different context and inserted, as a new unit of articulation, within a discourse where what matters are the meanings that emerge out of the conjunction and not the primary meanings of the syntagmatic unit in its natural context'.[219] The most obvious 'linguistic unit' of Sonata's theme is derivative of the C major, diatonic scale. Ten bars in complete absence of any accidentals before the sudden

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[218] Claude Lévi-Strauss, *The raw and the cooked* (New York: Harper and Row, 1969).

[219] Umberto Eco, *The open work* (Cambridge, Massachusetts: Harvard University Press, 1989), 220.

appearance of C# and Bb, which merely serve a modulatory function to an equally diatonic passage in D major. Evidence that this diatonic scale has been extracted from a different context, resides in the demonstrable redundancy of Schenkerian analysis for the passage. Although the melody is pregnant with voice leading implications it is impossible to identify any legitimate *Urlinie* or *Ursatz* under which possible *Züge* relationships may be accounted. The most obvious *Urlinie* presented by the theme is that of a melodic descent of the octave from C. It is, however, incomplete, terminating, one note short, on D, the source of a local diatonic diversion. This posited *Urlinie* is outlined in *Example 3-1*, at the beginning of this chapter.

The 'posited' *Urlinie* must be regarded as illegitimate, because the 'structural pitches' are too far divorced from their requisite harmonic definition (a similar problem to the *Urlinie–Ursatz* dislocation previously identified in Oedipus' aria (*Example 1-7*)). The listener is presented with a 'polyvalent' conflation of 'units' (occurring at the *model* level of musical syntax) which are 'extracted from different contexts'. Hierarchic analytic tools, such as Schenkerian analysis, are geared only towards interpreting the primary meanings of these units and cannot make sense of 'meanings that emerge out of the conjunction'. What is required is the replacement of reductionalist hierarchic analysis (epitomised in the Schenkerian tradition), with more multivalent-sensitive analyses, such as the network structures advocated by Narmour and Gjerdingen.

The aesthetic problem of Stravinsky's neoclassicism, arises when prominent voice leading implications are divorced from their legitimate harmonic definition. To accredit such implications with structural weight, is contextually problematic because an interanimating 'multivalence' of other voice leading possibilities contends for structural weight. Perhaps Sonata's theme is actually a rise from tonic to dominant embellished by lower and upper neighbour notes, occurring with the B *quasi trillo* and pronounced octave A at m. 18, respectively? But where does the dominant occur? There is an initial rise to G at the end of the first phrase but it is supported by, at best, a tenuous second inversion of chord V^7. This can scarcely outweigh the fact that melodically the G's natural home lies with the tonic chord, coupled with its linear intervallic third, E. A similar problem occurs with the G in

m. 20. The most likely candidate for the dominant would be the off-beat triplet quaver in m. 19, coupled with its dominant third of B. The leading note implications of this B, however, are simply not addressed, thus any structural weight this rhythmically innocuous, neighbour note might otherwise posses, is negated. The interpretant appears to be lost in the midst of interpretative sadism towards the Sonata. Whichever model is proposed appears to be lacking to some degree or another. Where the models appear to function linearly, they are negated vertically by mismatched harmony, and where they appear to function harmonically, they are negated by discontinuous voice leading implications.

The interpretative problem, therefore, is one of mediation. Some of the possibilities appear more legitimate than others and there appears to be no valid criteria for rating these possibilities. Traditional views of cognitive science—such as those contested by Lakoff's prototypicality theory[220]—and hierarchic musical reductionalist strategies—such as Schenker's—are unable to provide these criteria. The former's *common properties* theory of categorisation, is inappropriate for making validity ratings about these possibilities in much the same way that the latter dictates that a single overarching (musico-linguistic) unit governs the categorising rationale for all other units. 'Other' possibilities are simply not permitted to coexist as alternative category units. The focus of hierarchic strategies is always on the phenomenological 'model' at the expense of the psychological 'deviation'. Analytically this is inappropriate for a composer whose narrative focuses on 'deviation' at the expense of the 'model'. This is precisely what Schenker overlooks in his discussion of Stravinsky's Concerto for piano and wind instruments. Having identified a recognisable 'linear progression' at *Figure 11* (reproduced in *Example 3-10*), Schenker asserts three, already familiar, syntactic devices by which Stravinsky deviates from this 'plan': thwarting bass articulation, nondifferentiation of motives and 'dissonance'.

> Is it not the case, however, that Stravinsky contradicts this plan where he is able to? First his treatment of the outer-voice counterpoint, especially the bass, thwarts any articulation into linear progressions. Second, he makes no differentiation among the motives that would allow the linear progressions to be recognized in their individuality. Finally, while neglecting the progressions he

[220] Lakoff, *Women, fire, and dangerous things*, xii.

m. 20. The most likely candidate for the dominant would be the off-beat triplet quaver in m. 19, coupled with its dominant third of B. The leading note implications of this B, however, are simply not addressed, thus any structural weight this rhythmically innocuous, neighbour note might otherwise posses, is negated. The interpretant appears to be lost in the midst of interpretative sadism towards the Sonata. Whichever model is proposed appears to be lacking to some degree or another. Where the models appear to function linearly, they are negated vertically by mismatched harmony, and where they appear to function harmonically, they are negated by discontinuous voice leading implications.

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[220] Lakoff, *Women, fire, and dangerous things*, xii.

> makes the notes constantly coincide in dissonances, a procedure which serves him as a substitute for content and cohesion.
>
> Finally, a setting like Stravinsky's is insufficient even for certifying dissonances, because the only surety even for dissonances—and this is the crux of the matter—is the cohesiveness of a well-organized linear progression: without cohesiveness, dissonance does not even exist!...It is futile to masquerade all the inability to create tension by means of appropriate linear progressions as freedom, and to proclaim that nothing bad exists in music at all....
>
> Stravinsky's way of writing is altogether bad, inartistic and unmusical.[221]

Straus correctly infers the inappropriateness of this ideological propaganda. Asking whether Schenker's 'standard of organic unity' can 'be meaningfully applied to Stravinsky', he concludes that his 'use of classical voice leading as a stick with which to beat modern composers can seem a bit beside the point'.[222] Schenker's insistence on the phenomenologically prioritised model ('plan') is perhaps 'the' *locus classicus* of desensitised interpretation of the neoclassic aesthetic. By pejoratively describing the deviation as 'bad, inartistic and unmusical', Schenker absolutely fails to approach the 'otherness' of the music. He may well perceive the music as a quasi-dialogue between model implicative (*consonant*) and model negatory (*dissonant*) aspects but whole-heartily *colonises* the former over the latter. If Schenker even consciously conceives of a such a dialogue, its trajectory is unquestionably *traditional* Wagnerian, rather than *exotopic* Stravinskian: since Wagner's music fairs considerably better under Schenkerian scrutiny, this comes as little surprise.

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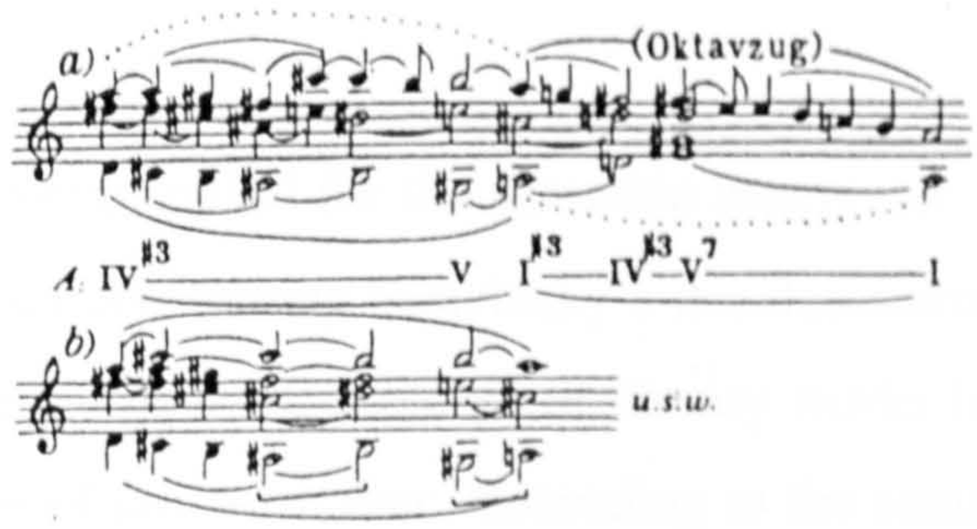
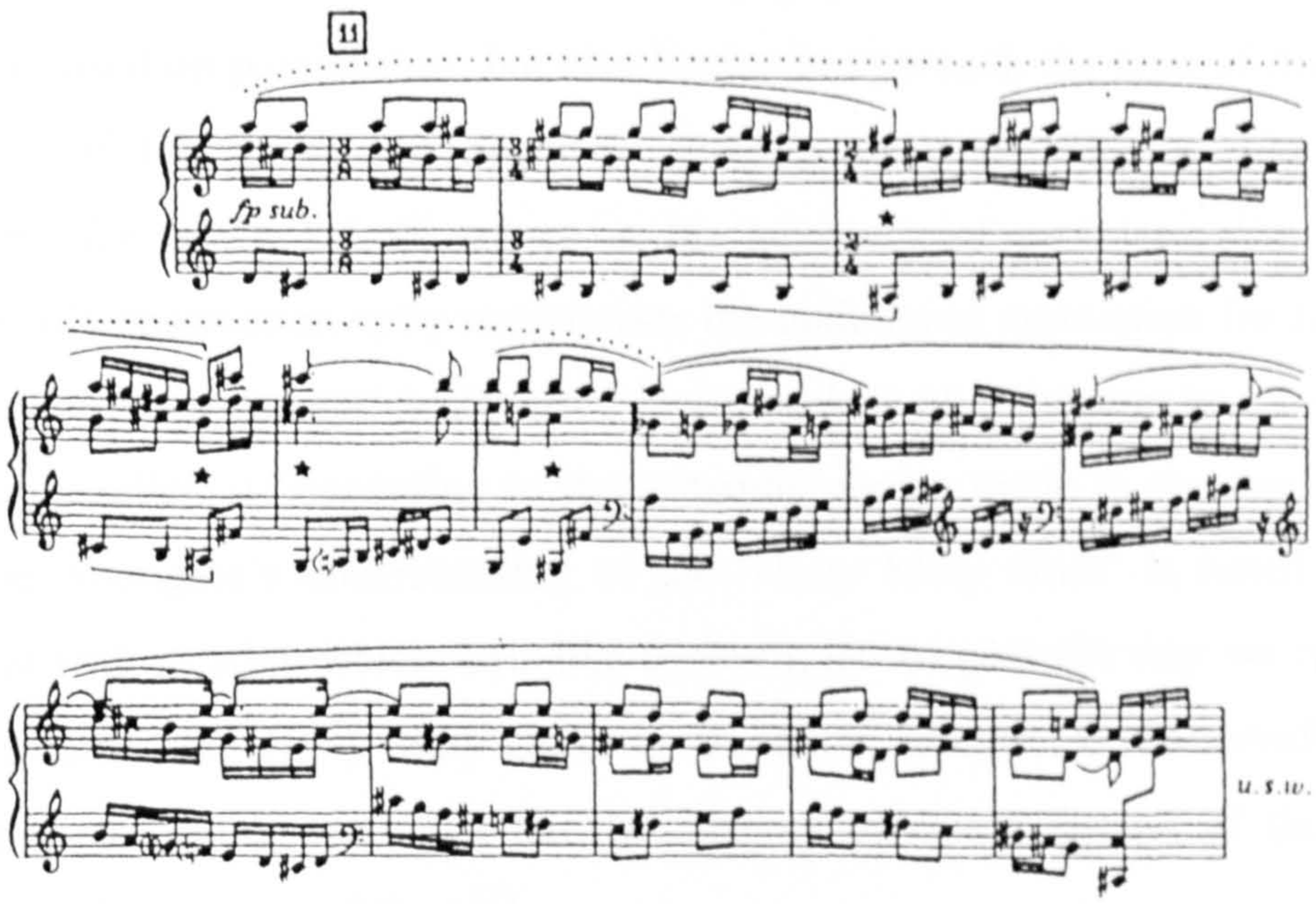
[221] Heinrich Schenker, *Masterwork in music*, Cambridge studies in music theory and analysis, William Drabkin ed., vol. 2. (Cambridge: Cambridge University Press, 1996), 17-18.

[222] Straus, "Sonata form in Stravinsky," 145.

Example 3-10: Drabkin's Reproduction of Schenker's Reduction of Stravinsky's Piano Concerto

In the light of Schenker's damning, ideologically motivated, criticism—akin to Andrey Rimsky-Korsakov's 'throwing the baby out with the bath water' criticism of cultural negation, cited in chapter one (see *footnote 11*)—the need for prototypical categorisation as the mediating tool for multivalent possibilities is evident. The advantage prototypicality has over traditional categorisation is that it permits a context of emergent meanings out of conjunct possibilities, rather than focusing on the primary meaning of a single overarching unit. Lakoff's radial structures, therefore, provide a useful mediating guide by which one can interpret the 'more legitimate' units from the 'less legitimate' ones, without having to sacrifice the '(prototypical) play' these latter units contribute. In music analytic terms, a step in the right direction would undoubtedly be to replace Schenkerian hierarchic notation

with the type of non-hierarchic networks of possibilities, advocated by Narmourian graphic conventions.[223]

A parallel to the potential pitfall for the semantic interpreter of prioritising a single semantic choice when confronting Stravinsky's neoclassicism, is identified by Eco as the interpretative problem encountered in literary works like Joyce's *Finnegans Wake*. Eco observes of this work that: 'according to the semantic choice which we make in the case of one unit, so goes the way we interpret all other units in the text'.[224] This is an observation which not only permits the notion of emergent meanings based on possibilities, but also begins to approach the type of decentred awareness of less traditional cognitive theories of categorisation—like radial structures—for which Lakoff argues in his advocacy of prototypicality theory. Indeed Eco's observation aptly summarises the underlying motivation for Lakoff's principles of radial categories discussed in *Example 1-11*. This can be seen in the following parallel: i) 'According to the semantic choice made in the case of one unit': the Aborigine's understanding of the 'Hairy Mary Grub' is based on his encounter with its sting which feels like sunburn; ii) 'so goes the way we interpret all other units': the 'Hairy Mary Grub' is, therefore, interpreted, decentrally, as a fiery dangerous thing under the female category of *Balan* instead of the, more centered, male category of *Bayi*.[225]

What is required in semantically decoding Stravinsky's neoclassic music is not that one actually makes this semantic choice but that one apprehends the multivalency of alternatives through a radial mechanism of prototypical play. To side with any particular choice, in deference to all others, would necessitate the contrivance of all other units into that initial choice, regardless of any competing implications. This would require the interpreter belligerently to reject alternative choices, no matter how compelling they may be. It would be tantamount to rejecting the cadential

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[223] See Narmour's chapter, "Of trees and networks, systems and hierarchies," in Narmour, *Beyond Schenkerism*, 96-107.

[224] Eco, *The open work*, 10.

[225] The reader will recall the Dyiribal framework in which I use the terms centred and decentered. The Hairy Mary Grub is radially decentered to the *Balan* category because it is chained to one of its central members, 'Fire', by the links of heat–sun–sunburn–pain/sting–encounter with 'Hairy Mary Grub', hence the decentered encountered sting metonymically stands in for the 'Hairy Mary Grub' as a whole via a chain linking it to its centre. It would, however, be more central to the male category of *Bayi* with incorporates animals as a central member.

opposition of *Excentrique's* opening 'theme', preferring instead to deny the opposed relationship, accommodating it solely as either a cadential or a thematic function. What is required is a radially graded interpretation of multivalent possibilities.

What, then, appears to be an 'open' work according to Eco's criteria, is in fact as 'closed' on the surface as any cubist work. If these works are interpreted according only to traditional cognitive category theory (which seeks one hierarchically correct, centred, interpretation) then they will remain closed. If, however, as with the shift to markedness theory for the cubist aesthetic, one makes a shift to radially decentred prototypicality theory for interpreting the neoclassical aesthetic, the work can be understood as fully 'open' at a deeper level underlying its surface facade. One can see this musical interpretation in the way that certain Schenkerian graphic interpretations can be regarded as radially graded according to degrees of centrality. If de-centred radial deviations can be linked to more central interpretations, as hierarchic structures give way to networked structures, perhaps the 'open' multivalency of Stravinsky's work can be apprehended in a manner similar to Eco's apprehension of Joyce's 'polyvalent' work.

The fundamental problem is that Schenkerian analysis cannot differentiate between the vertical and horizontal axes in the way Stravinsky's Sonata demands. The *Urlinie–Ursatz* relationship is, after all, nothing more than a composing-out of the fundamental triad/set; the horizontal projection of a vertical sonority. One is drawn into employing the wrong analytical method because Schenkerian tools hierarchically subsume rather than radially rate the different contexts from which Stravinsky has extracted his 'linguistic unit'. Consequently, one turns to the 'primary meanings of syntagmatic units in their natural context' far more readily than one is prepared to consider the 'meanings that emerge out of the conjunction' of these contextually misplaced, 'units of articulation'. In Eco's terms, this is mistakenly to interpret the work according to *structuralist* thought (meaning decoded according to pre-established codes) where *serialist* thought (meaning allowed to evolve historically) is called for. As culturally encoded beings who seek to refer always to the 'primary meaning' of units (be they linguistic or musical), a traditional hierarchic interpretative strategy of Stravinsky's neoclassicism would be incapable of apprehending the deviations and assertions of individual models; it

leads to nothing short of analytical sadism. The failure to apprehend the 'emergent meanings' of the contestatory models in this manner, is a failure to interpret their inherent sense of heteroglossia, brought about by a reluctance to replace traditional theories of cognitive categorisation with the type of prototypical theories for which Lakoff argues.

CHAPTER 4

SERIAL SINCERITY AND STRAVINSKY'S PARADOX

> As for myself, I experience a sort of terror when, at the moment of setting to work and finding myself before the infinitude of possibilities that present themselves, I have the feeling that everything is permissible to me. If everything is permissible to me, the best and the worst; if nothing offers me any resistance, then any effort is inconceivable, and I cannot use anything as a basis, and consequently every undertaking becomes futile.
>
> Stravinsky, *Poetics of music*

Section 1 – Dialogical Structures: *The Rake's Progress* Act 2, scene ii Trio

The Rake's Progress is generally accepted as the landmark signalling the end of neoclassicism. Since it is also generally accepted that this aesthetic watershed began with Stravinsky's only other opera buffa, *Mavra*, it is reasonable to presume that the composer, whether inadvertently or not, expressed an aesthetic empathy with the connotations of the genre. If that empathy can be identified with any one factor, I would suggest it is found in the neoclassic aesthetic and buffa genre's dependency on *dialogue*. The semantic implications of dialogue as a mediating tool of Stravinsky's multivalent syntactic deviation were disclosed in the previous chapter, particularly in relation to *Oedipus Rex*. No discussion of this mediating tool, however, should overlook what is perhaps Stravinsky's most overtly dialogical work, *The Rake's Progress*, and since—at least a very minute part (Act 3, scene ii)—of this work looks forward to the serial aesthetic, its inclusion at this transitional point in the thesis seems entirely appropriate.

The Trio of Act 2, scene ii makes for a particularly interesting case study of dialogical interpretation. To begin with, there is the irony—one might even say, the dialogized heteroglossia—of evaluating the syntax of a Trio through the advocated semantic mechanism of dialogue. It raises the question of who, or rather which, language motivates the drama. Since the dramatic premise of the scene is the establishment of Baba's ascendancy, one might expect her privileged status to be reflected in a conventional dialogue trajectory, such as those identified by Grey (see

below) or Newcomb (see chapter one). From the claustrophobic environment of her sedan chair, Baba impatiently awaits Tom's attention which is distracted by Anne, his forsaken country love. Such a narrative premise might lead one to expect that the opposition of her attention-seeking impatience and Tom's distraction would be resolved by a process of merging with, and 'colonising', Tom's, thus rendered, supplicating position; no such trajectory, however, is salient. The semantic interpreter must therefore ask, first, whether a dialogical strategy constitutes an appropriate contextual framework for what is after all a Trio, and second,—if it is deemed appropriate—whether its lack of salience can be attributed to an *exotopic*, rather than conventional, resolution.

Interpreting a Trio through a dialogical model is less ironic than it sounds. Although three characters participate in the drama, the real drama resides in a sub-textual collective dialogue between natural virtue and mechanical artifice, between country love and metropolitan actes gratuits,[226] and between prospective impatience and retrospective reminiscence. These oppositions are encoded *musically* in opposed language styles and *narratively* in Anne and Baba's respective functions as prototypes of (descendant) nature and (ascendant) artifice.[227] *Example 4-1* sketches a possible framework for interpreting the encoded dialogue structures of the Trio (the dialogue trajectory is outlined in the left-hand side of the diagram). The musicological precedence for this framework is found in the priority of 'psychological trajectory' over 'formal design'; a preference articulated by Grey's analysis of *Die Walküre* Act 2, scene iv (the "annunciation of death" scene).

> The co-ordination of dramatic and musical dialogue in this scene can...serve as one exemplary instance of how a mature Wagnerian dialogue scene might (still) be construed in terms of "poetic-musical periods," as an evolving series of textual and musical units whose coherence lies not so much in any perceptible, diagrammable formal design, but in the psychological trajectory mapped by an escalating conflict of wills leading to a climactic resolution.[228]

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[226] The notion of 'actes gratuits' in *The Rake's Progress* is identified in Walsh, *The music of Stravinsky*, 212. It is discussed at length later in this chapter. (The reader is referred to *footnote 271*.)

[227] The subtextual dialogue of language styles is communicated through the direct dialogues of the prototype female characters with Tom. Interestingly these 'dialogues' exhibit considerable irony in the relationship between the characters and their narrative predicament: Baba is ignored despite her ascendant position, whilst Anne is addressed despite her descendancy.

[228] Grey, *Wagner's musical prose*, 230.

Substituting the words 'Wagnerian' and 'climactic' with 'Stravinskian' and 'exotopic', renders Grey's argument for *Die Walküre* appropriate to *The Rake's Progress' Trio.* The two composers' works are unified by the underlying principle of dialogical trajectory as semantic conveyor, and by their semiotic basis in textual and musical units. A comparable tripartite structure of poetic periods to that which Grey identifies for Siegmund and Brünhilde's dialogue[229] is mapped out for the Trio in *Example 4-2*; this can be read in tandem with the right hand side of *Example 4-1* to articulate the poetic-musical period structure.

The left hand side of *Example 4-1* represents the dialogue encoded in the libretto in the form of a reduced dialogue trajectory (the fuller trajectory being stated in *Example 4-2*). This indicates that encoded within the libretto are two simultaneous dialogue trajectories (here titled 'dialogue' and 'monologue'). The real dialogue of the Trio's libretto occurs between these two opposed trajectories and their corresponding communicative styles. The first trajectory ('dialogue') occurs *explicitly* between Tom and Anne: they move from an initial state of opposition (Anne's disbelief that their love is over versus Tom's assurance that it is) to a final state of agreement (forming a pact to affirm that their love will never reawaken). The tripartite trajectory through which this evolves is summarised in the poetic periods. First, the initial conflict of wills is conveyed through the first period—*mourning*—by two metaphors. The metaphor of 'seasons' opposes Anne's language of spring with Tom's wintry language, whilst the metaphor of 'beds' opposes Anne's talk of love—metaphorically conveyed through imagery of the 'bridal bed'—with Tom's talk of death—metaphorically conveyed through imagery of a grave: the ultimate 'death bed'.

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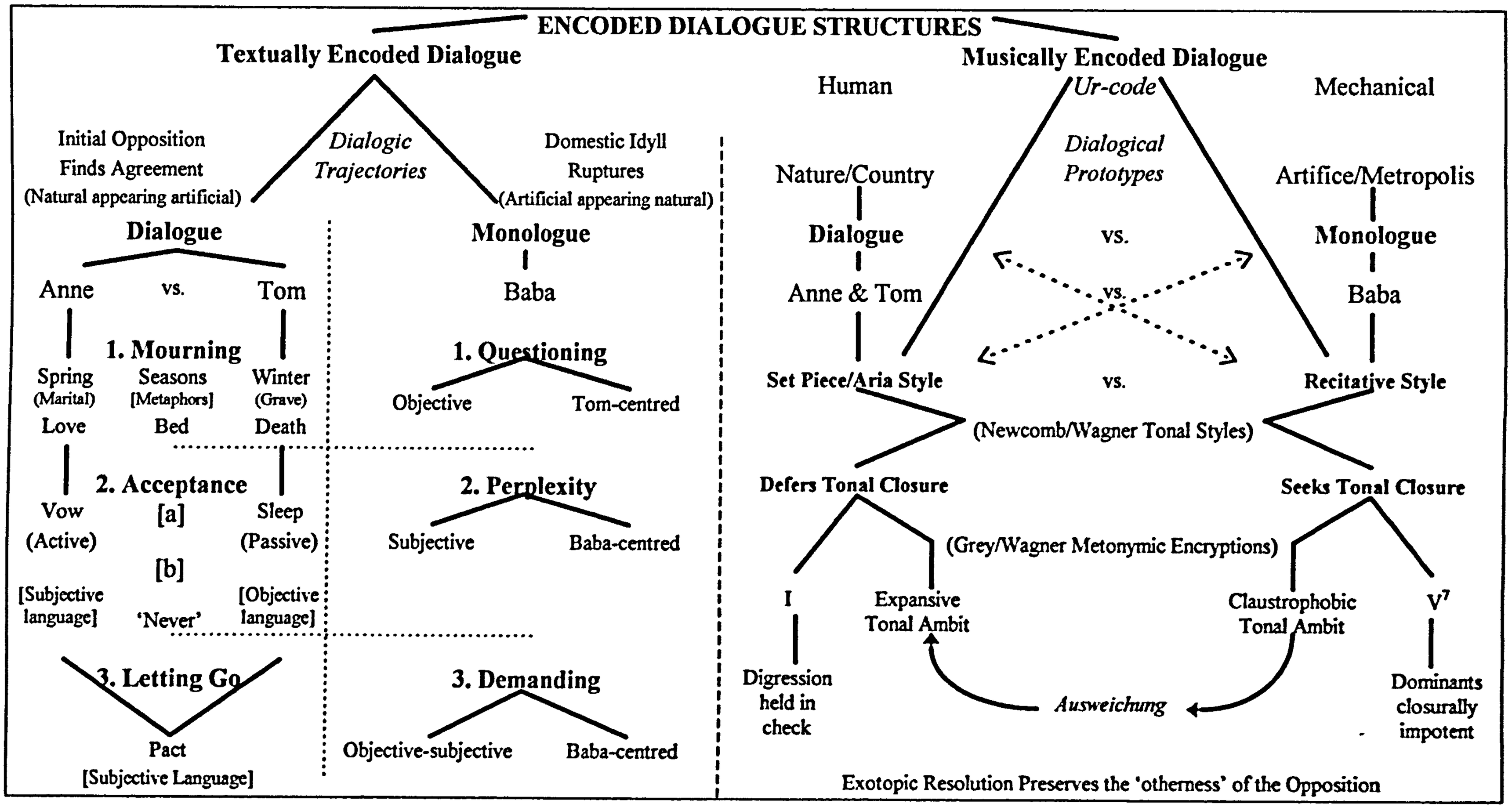
[229] Grey, *Wagner's musical prose*, 233-41. (Grey's categories closely correspond to the 'periods' for the scene identified by Lorenz.)



Example 4-1: Decoding the Dialogue Structure of The Rake's Progress Act 2, scene ii Trio

	Anne	Tom	Baba	
1	Could it then have been known When spring was love, and love took all our ken, That I and I alone Upon that forsworn ground Should see love dead?	It is done, it is done I turn away, yet should I turn again, The arbour would be gone And on the frozen ground The birds lie dead.	Why this delay? Away! Oh! who is it pray, He prefers to his Baba on their wedding day?	Q U E S T I O N I N G
2a	O promise the heart to winter, swear it bound To nothing live, and you shall wed;	O bury the heart there deeper than it sound, Upon its only bridal bed;	A family friend? An ancient flame?	
2b	But should you vow to love, O then See that you shall not feel again Say never, never, never, never Say never, never, never, never...	And should it, dreaming love, ask: When Shall I awaken once again? O never, never, never, never O never, never, never, never...	I'm quite perplexed And more, I confess, than a little vexed.	P E R P L E X E D
3	Lest you, alone, your promise keep, Walk the long aisle, and walking weep Forever.	We shall this wint'ry promise keep: Obey thy exile, honour sleep Forever.	Enough is enough! Baba is not used To be so abused; She is not amused. Come here, my love I hate waiting. I'm suffocating. I'm suffocating. Heavens above! Will you permit me to sit in this conveyance forever?	D E M A N D I N G

Example 4-2: Poetic Period Structure in The Rake's Progress Act 2, scene ii

The oppositions begin to merge in the second, period—*acceptance*—as the metaphors exchange between protagonists. At the same time the metaphors transform into oppositions of 'active' and 'passive' as the bridal bed becomes associated with the language of marital 'commitment' (*vow*, *promise*, *love*, *honour* and *obey*) and the death bed becomes associated with its sub-metaphor of 'sleep' (*dreaming* and never *waking*). Although unified 'agreement' is reached on the word 'never', prior to this both protagonists are characterised by *heteroglot* language styles; Anne speaks subjectively ('you/I') whilst Tom speaks objectively ('it'). The final period—*letting go*—merges these language styles and brings resolution in the form of a promise, or pact, to part. The merged metaphors have not so much negated love as affirmed its unobtainability—a thoroughly *abnegatory* ending. The trajectory, therefore, incorporates 'merger' of sorts but their dialogue

is better understood as a colloquy which reinforces their exotopic positions: a dramatic *locus classicus* of each protagonist 'conversing with' rather than 'colonising' the other. Nowhere are these exotopic positions confirmed more than in their next and final tragic meeting in Bedlam, where, as a result of Tom's insanity, their positions are so far removed from each other that they can only communicate through their adopted facades of Venus and Adonis: another, typically Greek, mechanism for reinforcing Stravinsky's exotopic inclinations.

Complementing Tom and Anne's *explicit* dialogic trajectory is the *implicit* one between Tom and Baba. The fact that Tom never addresses his wife, however, relegates this 'dialogue' to the status of 'monologue'. It is the antagonism between these two communicative styles that forms the real, sub-textual dialogue of the Trio. The poetic periods of Baba's 'monologue' roughly coincide with Anne and Tom's tripartite structure but her trajectory is reversed. The initial state in which we find the Rake and his metropolitan bride is one of orderly domestic idyll in which Baba awaits Tom's escort from her chair, *questioning* him as to the cause of his delay. Her language is objective and Tom-centred ('*Why* this delay?...*who* is it pray? *He* prefers to *his* Baba on *their* wedding day?'). The idyll is ruptured by Baba's increasing *perplexity* at Tom's unfolding dialogue with Anne and his consequent ignorance of her predicament. This is reflected in the complementary subjective and Baba-centred language ('*I'm* perplexed...*I* confess'). Finally her frustration boils over as she becomes *demanding* of Tom's assistance with language which shifts from objective ('*Baba* is not used to be so abused, *she* is not amused'), to subjective ('Come here *my* love. *I* hate waiting. *I'm* suffocating....Will *you* permit *me*...'). The language, however, remains Baba-centred, thereby endorsing her ascendant position.

The left hand side of *Example 4-1*, summarises the means by which the libretto alone encodes the narrative of the Trio: a narrative dialogue between 'dialogue' and 'monologue'. This shows that the opposed communicative devices can be understood as metaphors of 'nature' and 'artifice', respectively. There is something intrinsically artificial about Baba's interjections, an artificiality which stems from the generic contrivance of verbalising thoughts. Baba is thinking aloud rather than actually addressing anyone. As the only means of communicating these thoughts is

to verbalise them, they are heard, as it were, at one remove from their natural environment. This is precisely what Bakhtin labels 'heteroglossia'. Baba's thoughts are communicated through the other voicedness of monologue. Indeed, an example like this demonstrates exactly why Bakhtin regards the novel as the supreme genre: unlike opera, the novel is capable of communicating thoughts without recourse to the artificial manner of verbalisation. The double irony employed in *The Rake's Progress*, of course, is that Baba represents artificiality personified and the genre of opera buffa is replete with artificial conventions. Baba, therefore, is precisely the type of character who *would* actually verbalise such impertinent thoughts and furthermore she is situated in a buffa environment in which conventional artifice *is* perfectly natural!

Standing in stark opposition to Baba's monologue—the epitome of artificiality—is the natural dialogue between Tom and Anne. This too has the ironic twist that rather than being an entirely *natural* dialogue it is more an *exotopic* dialogue of two superimposed colloquies. Encoded in the libretto alone, therefore, is the dialogized heteroglossia of a 'natural dialogue appearing artificial' and an 'artificial monologue appearing natural'. The lower half of the right hand side of *Example 4-1* summarises just how Stravinsky encodes this dialogized heteroglossia in his musical lexicon. The two fundamental methods of musical encryption belong to the same Wagnerian dialogue antecedents outlined in chapter three: Newcomb's opposed language/tonal styles and Grey's metonymic relations to the text.

Opposed Language/Tonal Styles as Conveyor of Narrative Meaning

Before one can attempt to musically decode the opposition outlined above, it is important to acknowledge that the motivation behind the opposition of *natural* dialogue and *artificial* monologue resides in the now familiar cultural *Ur-code* of the personal–depersonal/human–machine dichotomy. Manifest in *Excentrique* as a gesture-encoded opposition between mechanical and lyrical gestures, it re-emerged in *Oedipus Rex* as the opposition between the 'infernal machine'[230] of 'fate' and the

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[230] The term is a reference to the title of Cocteau's play, based on the Oedipus story, which connotes the machine-like unravelling of fate. Given the play's standing in contemporary chic Parisian society, it adds further weight to the cultural validity of a semantic *Ur-code*, opposing human and mechanical gestures. Jean Cocteau, *La machine infernale: Pièce en 4 actes* (Paris: Bernard Grasset, 1934), cited Bauschatz, "*Oedipus*: Stravinsky and Cocteau recompose Sophocles," 152.

humanity encapsulated in 'hubris'. It is this same *Ur-code*—referred to in the final chapter as the 'Petrushka Syndrome'—which re-emerges in *The Rake's Progress* as an opposition between metropolitan artifice and country nature. It is starkly conveyed in a musically encoded relationship between contrasting language and tonal styles. Humanity–as–nature–as–dialogue, conveyed by Anne and Tom, finds its musical language in *set piece/aria style.* The mechanical–as–artifice–as–monologue, conveyed by Baba finds its musical expression in the language of *recitative.* As with the narrative encryptions of monologue and dialogue, there is a dialogized heteroglossia evident in the musical encryptions. Set piece/aria is more typically associated with individual monologue, whereas recitative is an operatic contrivance—nowhere more so than the opera buffa tradition to which *The Rake's Progress* belongs—conventionally associated with dialogue between characters. Thus the narrative confusion in the dialogized heteroglot relationship between natural and artificial connotations of dialogue and monologue are mirrored at the musical level in a confusion of aria and recitative convention.

Attributing these language styles to the individual protagonists is easily justified. The expansive lyrical style of Anne and Tom's colloquies articulate their aria style (see *Example 4-5*). Note particularly the melodic contours of appoggiatura neighbour notes and striving gap-fill structures which mark their respective entries in the first two periods (*Figure 131* and *Figure 134*). The status of superimposed colloquies is further conveyed in the relationship between the two voices. With the exception of Tom's first interjection ('It is done, it is done')—an encoded allegiance to Baba's language style—, the two voices unravel their own arias which from time to time appear to merge. The exotopic relationship between the two voices is maintained in the first period by predominant contrary motion and in the second (*Figure 134*), first by a canonic, then by an inversion, relationship (*Figure 136*). The second half of the second period, *Figure 138* represents their attempted merger and after their parallel-third unity and awkwardly synchronised contrapuntal drive (all on the repeated word, 'never'), the reprise (*Figure 139*) reflects the new found unity of their pact, as Tom literally accompanies Anne's line (i.e. the words 'We shall this' actually replace the flutes' first period accompaniment of Anne (*Figure 131*$^{2\text{-}3}$)). At this point, Baba's furious interjection is sufficient to return the voices to their more distanced perspectives.

In contrast, Baba's language style is consistently one of recitative. Her basic syntactic unit is the excessively repeated note, invariably expressed through a compound rhythm to distinguish itself from the surrounding duple metre. The conventional artifice of her recitative,[231] is manifest in the harmonic function of her interjections. These assert a dominant seventh function which literally seeks tonal closure by resolution to its tonic. These dominants occur at strategic landmarks, demarcated by their subsequent 'resolutions' at *Figures 134*, *136*, *138* and *141*. Much of the skeletal harmonic 'progressions' of the Trio are defined by the closural and modulatory potential of Baba's dominant interjections. The overwhelming sense of closural functionality conveyed by these dominant sevenths empowers, Baba's language with a strong sense of mechanical artifice in stark contrast to the lyricism of Tom and Anne's aria style, whose tonal digressions are kept from wandering too far. (Baba's narrative function, after all, desires the abrupt termination of Tom's distracting dialogue.) Given that the conventional function of recitative is to convey narrative situations quickly by an artificial mechanism of syllabic, speech patterns, both the function and style of Baba's interjections in the Trio fully befit her narrative purpose.

The fundamental opposition of tonal styles governing the Trio, therefore, can be summarised as follows: Anne and Tom seek tonal expansion/deferred closure through the dialogized language of Aria–dialogue, whereas, Baba seeks abrupt tonal closure within a claustrophobic tonal ambit through the dialogized language of recitative–monologue. (The dialogized nature of these languages is represented by the crossed, dashed arrows of *Example 4-1*; i.e. a non-dialogized heteroglot presentation would normally communicate—or be *unmarked* by communicating—

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[231] Interestingly Griffiths adopts a contrasting perspective of Baba's language. He argues that Baba has 'little recourse to the less artificial style of recitative' (in relation to the 'world of aria and ensemble') and claims that 'she is the only character who has none of the secco sort.' (Paul Griffiths, *Igor Stravinsky: The rake's progress*, Cambridge Opera Handbooks (Cambridge: Cambridge University Press, 1982), 93.) Griffiths clearly discounts Baba's uncompromisingly 'secco' demand for Tom to 'Finish, if you please, whatever business is detaining you with this person' (*Figure 129*[4]). Nonetheless his claim that recitative is 'less artificial' than set piece finds some validity in the relative extravagance of the latter and 'the impression of greatly enlarged freedom' that recitative conveys because it 'indicates an exit from the formal progress of the opera'. The disparity between my interpretation of recitative as artificial and Griffiths' as natural, however, can be attributed to cultural sensitivity. To the twentieth century western listener, recitative primarily connotes an artificial break for the dramatic purpose of narrative advancement, usually by modulatory transition. To the contemporary Buffa listener this artificiality would be less marked without the hindsight of its cultural redundancy in the wake of Wagnerian evolving musical drama. Nonetheless, the degree of *naturalness* and *artificiality* of recitative and aria is a complex historical issue. For example, Recitative might readily be traced back to its origins in Greek speech-song, thus predating aria style.

through monologue in a set piece/aria style and dialogue in a recitative.) The parallels with Wagnerian tonal styles can now readily be perceived. Tonal and gestural levels underscore the narrative *Ur-code*, independent of the libretto, by the same type of tonal styles which Newcomb identifies motivating the drama in *Siegfried* Act 2, scene i. This can be seen by recalling Newcomb's hypothesis for connoting Wagnerian drama (discussed in chapter one) in the following summarising quotation, re-contextualized with *The Rake's Progress' Trio* in mind.

> The tonal contrast shaping the altercation between these antagonists [read 'protagonists'] is not the contrast between any specific two (or three) keys; it is between Erda's [read 'Baba's'] tonal style, wherever it may occur, and Wotan's [read 'Anne and Tom's']....
>
> ...The articulating forces of thematic material, cadential preparation, and contrast of stable [read 'closural'] and unstable [read 'deferring'] tonal styles make clear to us a tonal shape that we might not have been able to follow without them.
>
> Wagner developed his anti-conventionality of form precisely for its ability to embody such metaphorical, musico-dramatic meaning.[232]

A brief glance at the tonal regions encroached by the protagonists, summarised in *Example 4-3*, allows one to further assign *claustrophobic* and *expansive* attributes to Baba's *closural*, and Tom and Anne's *deferring*, tonal styles respectively. Baba confines herself to dominants in either the tonic minor, E, or relative major, G. Her counterparts distinguish themselves by a very pronounced diversion in Eb minor, along with more localised features which implicate F and Bb. Given that the respective protagonists can now be attributed with *closural–claustrophobic* and *deferring–expansive* tonal styles, it is easy to infer how these might function in a commensurate manner to the *stable* and *unstable* tonal styles which Newcomb aligns to Wotan and Erda. It follows, therefore, that for Stravinsky, just as for Wagner, these tonal styles are more significant in defining the musical dialogue than any specific landmarked tonal regions. Thus the methodological similarities of these two ideologically polarised composers becomes apparent. Musically articulated language styles embody metonymic relations to the text and the general ascendant/descendant narrative functions of the protagonists. Baba demands with

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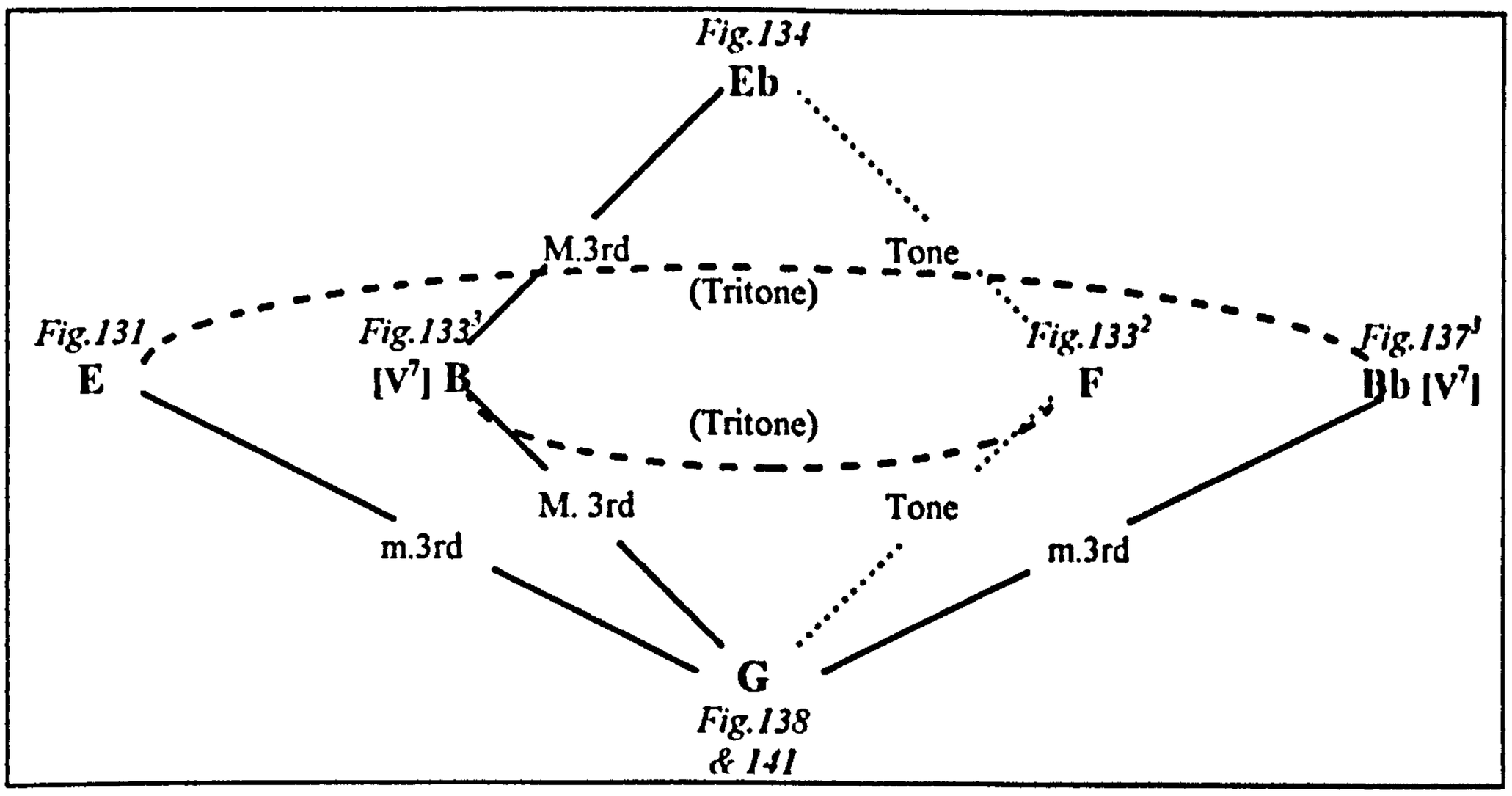
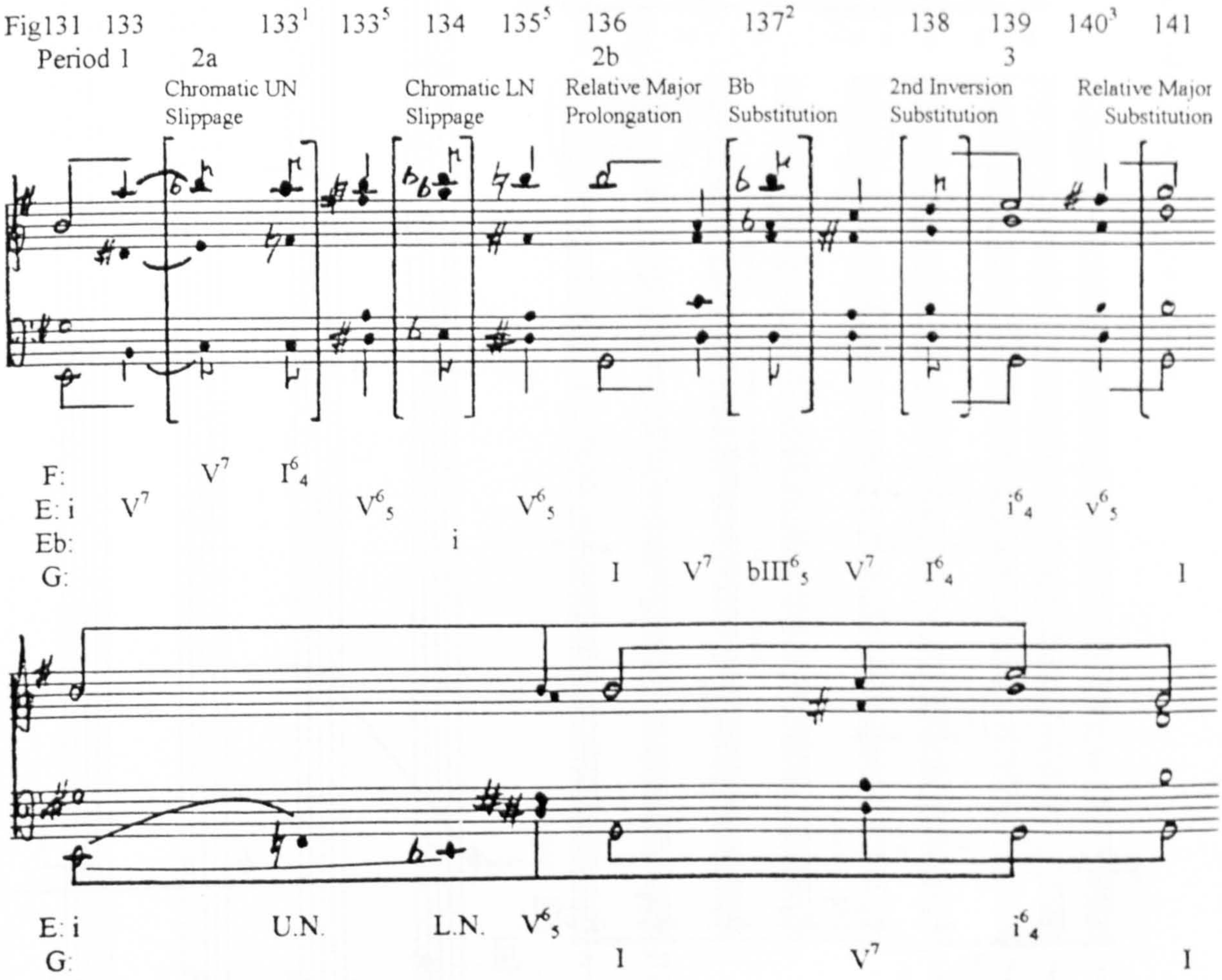
[232] Newcomb, "The birth of music out of the spirit of drama," 59, 43. [The bracketed insertions are mine]

claustrophobic dominants whilst Tom and Anne resolve into digressive tonal regions.



Example 4-3: Pitch Centres about a Tritone Axis in the Trio

Cutting somewhat against this opposition of tonal/language styles (Baba's claustrophobic demand for closure versus Anne and Tom's expansive digression) is a marked example of dialogized heteroglossia which conflicts with the dialogized heteroglot relationship of aria-dialogue and recitative-monologue outlined above (*Example 4-1*). It is similar to that found in the orchestral groupings of the *Symphony of Psalms* example of chapter three (*Example 3-7*). In *The Rake's Progress*, the dialogized heteroglossia is found in the relationship between the orchestra and soloists. The first, E minor, period embodies a diachronic opposition between the fundamentally mechanical language style of the solo voices and the lyrical style of the orchestra. Syllabic triplet note repetition, mechanically clichéd arpeggios (*Figure 133*: 'forsworn/frozen ground') and contrived, contrary motion between Tom and Anne's voices, espouse a manufactured sound-world, whether in Baba's language of recitative or Tom and Anne's awkward contrapuntal relations in their, otherwise lyrical, aria language. The orchestra (particularly at *Figure 133*) distances itself from this artificial environment with notably lyrical, expansive, legato gestures in the strings, flutes and clarinets (interestingly the same 'human' instruments inverted to mock Oedipus' aria with uneasy mechanisation—see *Example 1-7*). This diachronic opposition of language styles reverses with the synchronic shift to the second period in Eb. Anne and Tom's voices are decidedly

more lyrical (reminiscent of the melismatic contours of Oedipus' '*Liberi vos*') while the orchestra exhibits constant mechanisation with an awkwardly monotonous phrase, syncopated by semiquaver displacement. Not even the pseudo-folksong meander over the word 'never' at *Figure 138* mediates this diachronic opposition. Far from connoting the supremacy of lyrical voice over mechanical instrument, the strict contrapuntal parallel-third motion—and absence of musette bass drone connotations—speaks more of conventional contrivance than pastoral fluidity: something which is uncompromisingly confirmed at *Figure 139* when the voices work in tandem through a series of contrapuntal-driven modulations to the reprise. It is intriguing to note, therefore, that Stravinsky diachronically encodes two simultaneously conflicting dialogized heteroglot relationships: one between voice and orchestra, the other between *musical* (set-piece/recitative) and *language* (dialogue/monologue) means of communication. (See the analysis of *The Rake's Progress' Trio*, *Example 4-5*, and its Schachter-style summary, *Example 4-4*.)

Example 4-4: Modulation Graph Summary of Example 4-5

Period 1 [Questioning]

[E]

i VT⁶₄ v⁴₃ iv⁶₄ v⁰⁶₄ V⁶₄ iv² VT⁶₄

131

Fl. I, II

Cl. I, II in Sib

Anne

Could it then, could it then have been known Rakewell

131

I Vl. II

Vla.

Vc.

Cb.

132

Fl. I, II

Cl. I, II in Sib

A.

When love was spring and love took all our ken, That

R.

done, it is done. I turn a way, yet should I turn a gain,

132

I Vl. II

Vla

Vc.

Cb.

Example 4-5: The Rake's Progress Act 2, scene ii Trio

Chromatic upper neighbour slippage

Chromatic lower neighbour slippage...

[F] V^7 $I^6{}_4$ V^7 I

v^0 i^6 iv^7 $i^6{}_4$ V^7 $i^{\flat 6}$ $iv^6{}_5$ $bII^6{}_4$ $i^{\flat 2}$ $bII^6{}_4$ $i^{\flat 2}$ $IV^6{}_5$ $v^6{}_5$ $V^6{}_5$

138

Fl. I, II

Cl. I, II in Sib

A. I and I a - lone U - pon that for - sworn ground (she sees Anne) should see, should see, should see love dead?

Baba the Turk (poking her head out of the curtains for each remark) Why this de-lay? A - way... O!

Baba Who is it, pray, He pre-fers to his Ba - ba on their wed-ding-day?

R. The ar - bour would be gone And on the fro - zen ground The birds lie dead.

139

I Vl. II

Vle.

Ve.

Cb.

Example 4-5: The Rake's Progress Act 2, scene ii Trio (cont.)

Period 2a

...Chromatic lower neighbour slippage

[Eb]

i *v*^{6} *i*^{6} *v*$^{4}_{3}$ *ii*^{0} *v*$^{0\,4}_{3}$ *IV*$^{6}_{4}$ *iv*$^{6}_{4}$ *i*

134

Fl. I, II

Cl. I, II in Sib

Cor. I in Fa

A.

R.

O pro-mise the heart to

O bu - ry, O bu - ry the heart there dee - per than it

134

I

VI. II

Vle.

Va.

Cb.

135

Fl. I, II

Cl. I, II in Sib

Cor. I in Fa

A.

win-ter, swear it bound to no-thing live, and you shall wed.

Bass.

A fa-mi-ly friend?

R.

found, U - pon its on - ly bri - - - dal bed;

135

I

VI. II

Vle.

Va.

Cb.

Example 4-5: The Rake's Progress Act 2, scene ii Trio (cont.)

Period 2b

Relative major prolongation

[Perplexed]

Bb substitution

[E] $v^6{}_5$ [G] *I* *ii* vii^6 *bv* iii^6 *vi* V^7 $bIII^6{}_5$

136

Fl. I

Cl. I, II in Eb

Cor. I in Fa

A.

Babs.

R.

But should you, should you vow to love,

an ancient flame?

And should it, dream - ing, dream-ing love, ask when shall I

136

I

VI.

II

Vle.

Vc.

Cb.

137

Fl. I, II

Cl. I, II in Eb

A.

Babs.

R.

O then see that you shall not feel a-gain, Say ne - ver,

I'm quite per - plexed And more, I confess, than a

a - wa - ken once a-gain? O ne - ver,

137

I

VI.

II

Vle.

Vc.

Cb.

Example 4-5: The Rake's Progress Act 2, scene ii Trio (cont.)

Second inversion substitution

Period 3 [Demanding]

[G] iv^0 V^7 I^6_4 iv v [E] V i^6 iv i^6_4 V^6_5 i^6 vi^6_4 v^4_3 iv^6_4 v^{06}_4

138

Fl. I, II

Cl. I, II in Sib

A. ne - ver, ne - ver, ne-ver, Say ne - ver, ne - ver,

Baba lit - tle vexed.

R ne - ver, ne - ver, ne-ver, O ne - ver, ne - ver,

138

I, VI., II

Vle.

Vc.

Cb.

poco allarg.

139 a tempo

Fl. I, II

Cl. I, II in Sib

A. ne - ver, ne-ver, ne-ver. . . Lest you, you a - lone, your promise keep,

Baba E-

R ne - ver, ne-ver, ne-ver. . . We shall this

poco allarg.

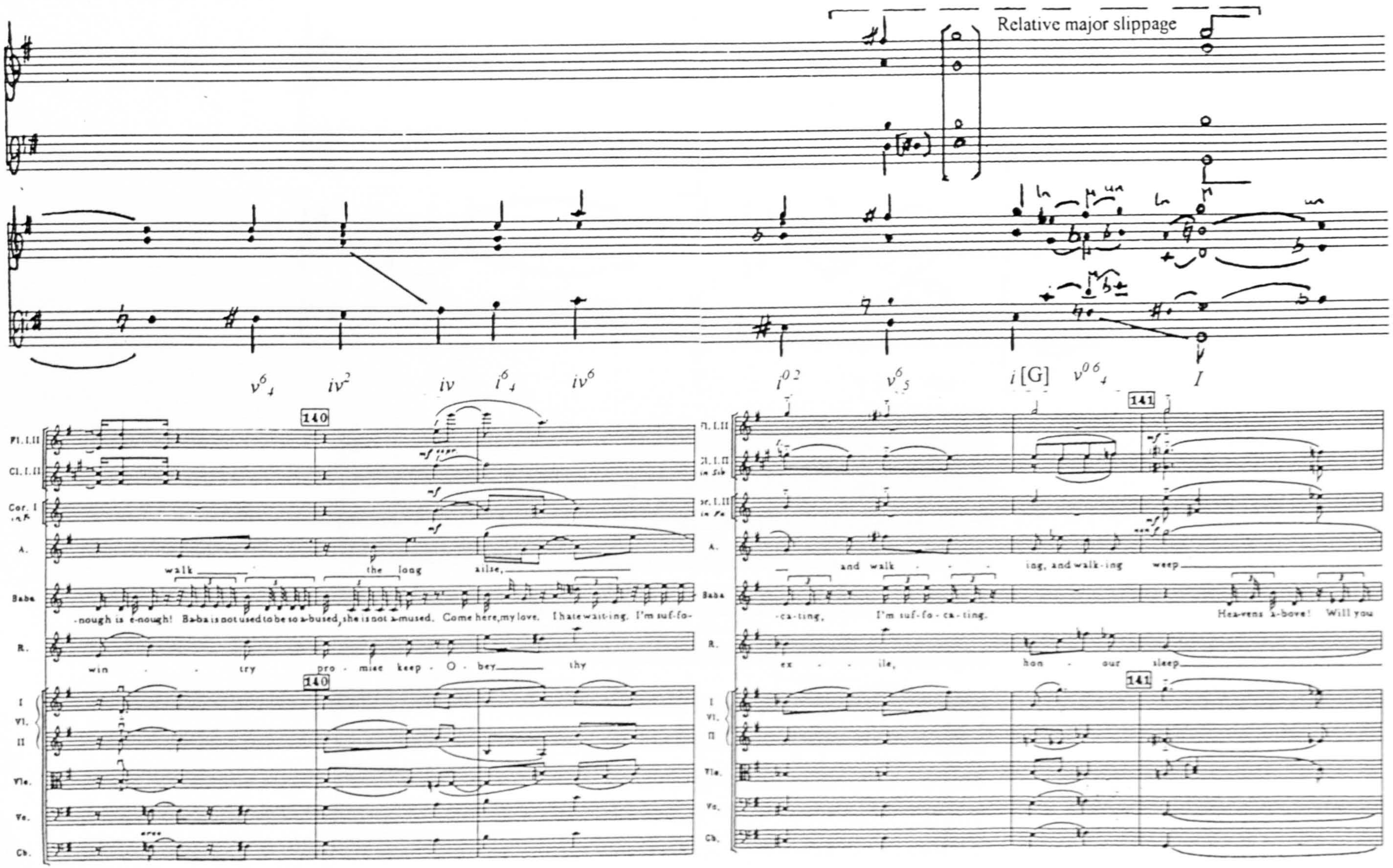
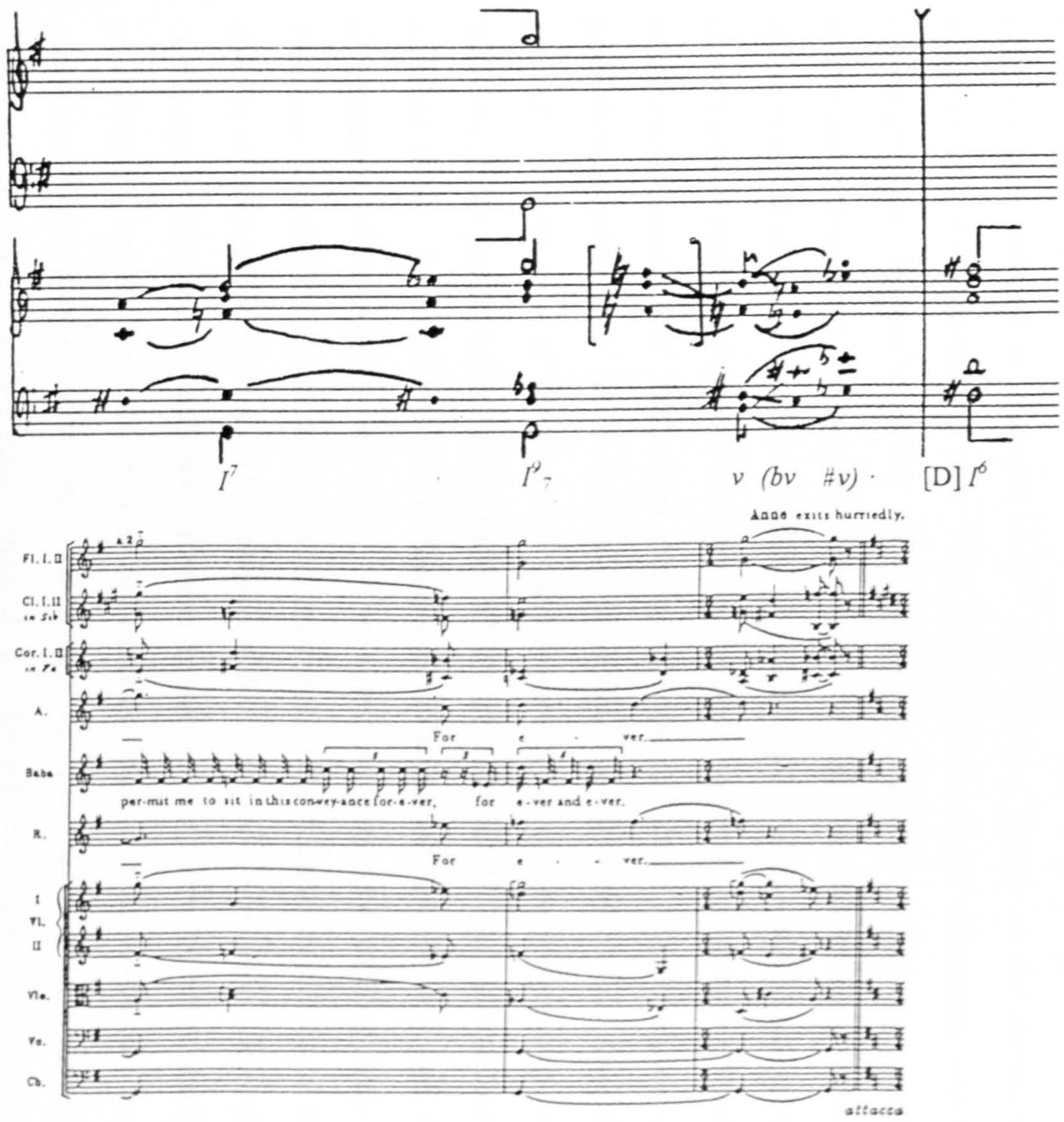
139 a tempo

I, VI., II

Vle.

Vc.

Cb.

Example 4-5: The Rake's Progress Act 2, scene ii Trio (cont.)

Example 4-5: The Rake's Progress Act 2, scene ii Trio (cont.)

Example 4-5: The Rake's Progress Act 2, scene ii Trio (cont.)

Metonym as Conveyor of Narrative Meaning

Example 4-5 outlines the harmonic context in which the musical dialogue unfolds its tonal styles. The 'graph' comprises three layers: the actual musical foreground of the score, an inferred summary of the harmonic contour at the middleground and a background crystallisation of the dominant seventh landmarks (described above). I use the term 'inferred summary' to distance the graph from strict Schenkerian principles and align it more closely with Schachter's style of graphing modulation (like the one outlined in *Example 4-4*). Any cursory glance at the harmonic structure reveals Stravinsky's play with prototype harmonic constructs which challenges the listener's ability to categorically identify exact harmonies consistently throughout the passage. His favourite tools of predominant second inversions, missing roots and thirds, synchronically disjointed harmonies, superimposed pedal points, dominant chords rendered impotent by flattened thirds and general 'wrong note' infiltration, make harmonic definition a multivalency of possibilities rather than a categorically hierarchic determinant. The 'middle ground'—as with most of the so-called 'middlegrounds' in this thesis—is inferred, therefore, from psychological implications which are informed by the gestural level of tonal styles. It should not be confused with Schenkerian determinacy and its connotations of ideological hierarchy. The harmonic definition of *The Rake's Progress* is radially defined according to prototypes which assume priority in the context of gestural sensitivity. The purpose of *Example 4-5*, is to make clear the 'tonal styles' defining the dialogue structure, hence the suitability of Schachterian modulation graphing conventions over Schenkerian linear—some might say anti-modulatory—graphing conventions.[233] Consequently the multivalent possibilities offered by the harmony have been 'reduced' to inferred prototypes. It represents the process of decoding *prototypical play* according to a dialogue trajectory which is defined at the gestural level as a means to uncovering the semantic mechanism underlying the multivalent possibilities.

Baba's claustrophobic preference for remaining in the home tonal regions can be seen by her impatient demands for resolution with interjecting dominant sevenths in E minor (*Figure 133*$^{4\text{-}5}$ and *Figure 140*^{3}) or the relative major, G (*Figure 137*^{2}).

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[233] See Schachter, "Analysis by key: another look at modulation."

These dominant sevenths are summarised in *Example 4-6* within the context of their dialogical trajectories, highlighting certain metonymic relations between the music and text which Baba's interjections bear-out. These can be summarised both musically and narratively as *suffocation*—resulting from a claustrophobic *tonal* and *stage* environment—and *impotence*—resulting *musically* from ineffectual, or unanswered dominant sevenths, and *narratively* from monologue interjections. The tonal claustrophobia can be seen in the 'demanded resolution' line of *Example 4-6*. Baba makes three prominent demands for closure in the tonic minor and one demand for closure in the relative major. All four instances are negated, however, by tonal regions which compound the antagonistic relationship between opposed closural E centred demands and digressive Eb, F, Bb and G centred deferred closure (see the line titled 'Tom and Anne's resolutions' in *Example 4-6*). Baba's 'suffocating' musical environment, therefore, conveys a metonymic relation to the enclosed narrative environments of metropolitan artifice conveyed through the metaphoric staging devices of her 'sedan chair conveyance' and 'elaborately coifed' beard, ornately 'veiled in the Eastern fashion'. Baba is 'not in the habit of stepping from [her] sedan unaided', so her claustrophobic *tonal syndrome* (confinement to the tonic minor or relative major) coincides with her narrative predicament (refusal to move from her sedan).

The metonymic relationship defining the musical and narrative *impotence* is seen in the contrast of Baba's 'demanded resolution' and 'Tom and Anne's resolutions'. At *Figure 135*^{5}*-136*, for example, Baba's dominant demand for the reprise in E minor is ineffectual as Tom and Anne 'prolong' her dominant seventh over a bass rise from G (this rising bass line is sketched in *Example 4-5*). This only ascends back to a tonic E chord (*Figure 137*^{2}) in Baba's absence, at which point her 'perplexity' is justified as the chord functions as vi in G. Another impotent demand occurs at *Figure 137*$^{2\text{-}3}$. Her 'perplexity' is stated on the relative major dominant seventh (complete with suspended fourth) but the demanded resolution to G is 'substituted' with Tom and Anne's Bb chord. This might have been revealed as 'prolongation' when, at *Figure 138*, they find deferred unity on the demanded G in Baba's absence but this G is poorly defined in second inversion—another 'substitution' in its own right.

Figure Number	132^{4}-133	133^{4}-134	135^{5}-136	137^{2-3}	137^{4}-138	140^{3}-141
Dialogic Trajectory		1		2		3
Baba's Narrative State		*Questioning*		*Perplexity*		*Demanding*
Baba's Dialogue	'Why this delay?'	'Who is it pray, he prefers to his Baba on their wedding day?	'An ancient flame?'	'I'm quite perplexed'	'little vexed'	'I'm suffocating. Heavens above!'
Baba's Dominant		B7		D7		B7
Demanded resolution		(E)		(G)		(E)
Deviated Resolution	Tritone Slippage	Major 3rd Slippage	Prolongation Major 3rd	Major 3rd Substitution	Second Inversion Substitution	Slippage Major 3rd
Tom & Anne's resolutions	F	Eb	G	Bb	G^{6}_{4}	G
Tom & Anne's Dialogue	'Upon that forsworn ground'	'O bury the heart'	'And should it dreaming'	'O never'	'never'	'and walking weep' 'honour sleep'
Tom & Anne's narrative state	*Mourning*			*Acceptance*		*Letting Go*
Dialogic Trajectory	1		2a	2b		3

Example 4-6: Tonal Slippage and Prolongation via Baba's Impotent Dominants

Metonymic encryption of Baba's impotence also occurs by tonal 'slippage'. This is pronounced at *Figure 133[4]-134* when Baba's dominant demand for E minor is completely ignored when Tom slips to an Eb flattened tonic. On the middle ground of *Example 4-5*, this tonal region constitutes a form of *chromatic lower neighbour*—to coin a helpful Schenkerian term in an otherwise Schachterian environment—which is complemented by the preceding tonal slippage to a *chromatic upper neighbour*, F at *Figure 132[4]-133*. This more localised modulation[234] deviates from the first root position dominant seventh of the first phrase, by slipping up a semitone to the dominant of F which twice resolves to second inversion F chords—much to Baba's annoyance ('Why this delay?'). Thus the opposition of Tom and Anne's tonal digression/evasion of closure and Baba's claustrophobic/tonal closure is embodied in the micro level of the first phrase. (This is represented in *Example 4-7*, which also highlights some of the deviant 'alien note' clashes, lost from the middleground of *Example 4-5* in the process of harmonic reduction.) The other notable, example of slippage occurs at *Figure 140[1]* on Baba's longer range dominant seventh ('Enough is enough!'). Initially the dominant appears to resolve to E minor ('Come here my love') but its second inversion definition is weak. When it eventually finds root definition (*Figure 140[4]*), its bichordal implications with the relative major are seized upon and, at *Figure 141*, Baba exasperatedly confirms that the resolution has slipped to G ('Heavens above!). Fundamental to all these metonymic relations is not the tonal regions they prescribe, so much as the changes in narrative predicaments they signpost and the resulting dialogical trajectories they define.

Some of the antecedents for Stravinsky's metonymic models are a little too close to Wagner for ideological comfort. Grey defines three functional musical-textual signs operating in the questioning dialogue of *Die Walküre*'s "annunciation of death" scene. These signs are i) modulating to relative tonal regions for answering questions, ii) slipping to third-related tonal regions for evading questions and iii) semitone flattening of tonal regions for yielding negative responses. Grey summarises these signs and gives an indication of their metonymic functions in the following passage:

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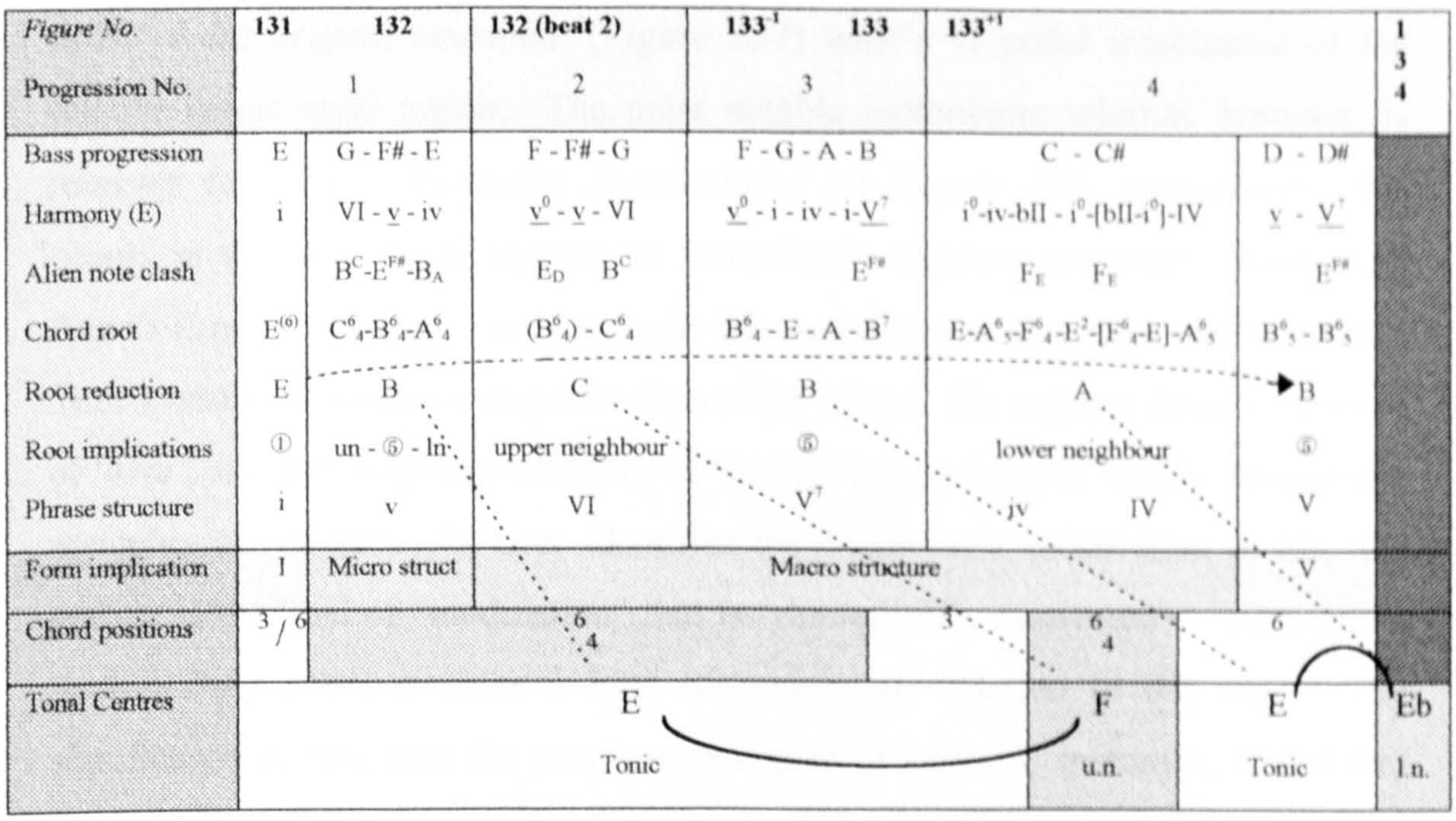
[234] The modulation is so localised that it can be accounted for harmonically in the E minor tonic framework as iv^6_4–bII^6_4.



Example 4-7: Upper and Lower Neighbour Note Regions in Period 1 of the Trio

> Brünhilde answers Siegmund's first F# minor refrain in the relative major and its dominant. When she seeks to evade his question about the female inhabitants of Valhalla, Brünhilde slips from V^7 of A into Db (bIII)...the tonal evasion is...an apt reflection of this stage of the dialogue process (Brünhilde's evasive response). Similarly, the striking tonal disjunction of Brünhilde's last, negative response ("Erdenluft muß sie noch atmen"), created by the substitution of Eb minor for E, constitutes a six-measure "period" in Eb minor...The immediate gesture is the kind of "modulation" (or *Ausweichung*) that could only be dramatically motivated, according to Wagner. It is one of many cases in the *Ring* where such a harmonic *Ausweichung* - literally "evasion" - assumes a kind of metonymic relation to the text.[235]

Comparable metonymic relations are found in *The Rake's Progress'* Trio. Modulation to a relative tonal region, as a metonymic sign for answering a question, occurs at *Figure 138*. The reprised E minor question ('When shall I [the buried heart] awaken once again?') is answered categorically with mellismatic runs of parallel-thirds in the relative major ('never'). Evading a question by slippage to a third-related region, finds its parallel at *Figure 136*. The enharmonic-spelt, dominant seventh questions which conclude Baba's first period ('A family friend? An ancient flame?') are ignored; consistent with Stravinsky's strategy for alienating/lampooning Baba by downgrading her speech to monologue. The ambiguous 'reprise' which follows refutes the dominant, replacing the strong tonic

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[235] Grey, *Wagner's musical prose*, 235.

pedal of the original statement (*Figure 131*) with a G pedal implicative of the relative major tonal region. The most notable metonymic relation, however, is reserved for Tom's 'harmonic *Ausweichung*' at *Figure 134*; interestingly, this occurs in the same tonal regions as Brünhilde's negative response. Answering Anne's E minor question—a rhetorically phrased disbelief that their love is dead—Tom's resolutely negative response slips to Eb minor. He negates Anne's question of 'love', asked through the metaphor of 'spring' by speaking of 'death' through the metaphor of 'winter'. As Grey identifies for Brünhilde's substitution of Eb, 'the gesture is the kind of "modulation" that is...dramatically motivated'—'a harmonic *Ausweichung* [that] assumes a kind of metonymic relation to the text'. The significance of this, and the previous examples of encoded metonym, is not that Stravinsky *employs* a prototypical model for musico-dramatic 'evasion', 'negative responses' or 'answers', but that he *exploits*, or plays with these Wagnerian antecedent sign posts—and who or what (model) could be more prototypical of dramatic evasion than Wagner, whose entire musical language revolves around a series of chromatic *Ausweichungen* of a diatonic *Ursatz*?

It is precisely this ability to play with metonymic signposts that elevates the present discussion of *The Rake's Progress* above mere arbitrary ascriptions, or impositions, of token 'labels' to tonal schemes. A classic example of ascribed association over decoded metonymic relations is found in Mellers' discussion of *Oedipus Rex* as twentieth century hero. Meller maps-out the tonal plan with designated categories ('Light', 'Hope or Acceptance', 'God', 'Man' and 'Destiny') and dynamic relations ('dominating', 'frenzy' and 'exultation') which appear to be appended to the narrative à la Tovey. The following quotation is a fair summary.

> Gradually the thudding minor thirds of the fate-motif take over, now pulled down by the weight of sorrow from B-flat minor to G minor—dominant of the god-key C, as B-flat is dominant of the man-key E-flat. As the minor thirds fade out on 'cellos, double basses, and timpani, the opera tells us that, though man is "dominated" by destiny, he may find his divine redemption. G minor is the relative of B-flat: but also the gateway to light, which is D.[236]

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[236] Wilfrid Mellers, "Stravinsky's Oedipus as 20th-century hero," in *Stravinsky: a new appraisal of his work*, ed. Paul Henry Lang (New York: W. W. Norton & Company, Inc., 1963), 44.

This form of narrative 'analysis' serves as a warning of the pitfalls awaiting the semantic interpreter and compounds the importance of decoding narrative signs according to legitimately grounded metonymic relations between music and text. Semantics is necessarily a subjectively informed process of interpretation but Meller locates himself at an extreme of the semantic picture where objectivity has all but disappeared.

How then does Stravinsky 'play' with his narrative prototypes? A central argument of this thesis is that prototypical play occurs on numerous multivalent levels. Tom's *Ausweichung* is no exception. The first deviant 'problem' encountered by the listener is that this is not a pure dialogue between two protagonists. As well as evading Anne's question, Tom simultaneously ignores Baba's musical and textual question (the dominant seventh: 'Who is it, pray, He prefers to his Baba on their wedding day?'). This throws into doubt which, if any, character is being affirmed. There seems to be a disparity between the musico-poetic signs and the narrative context. If any character is affirmed here, it is Anne but by an abnegatory gesture.[237] By simultaneously ridiculing Baba—and the metropolitan artifice she stands for—the dialogue encodes Tom's rejection of country love as a resignatory surrender to the higher power of metropolitan artifice, the snare into which Shadow has drawn him. This is borne-out in the Trio's reminiscent focus on Anne's descendency rather than any triumphant acclamation of Baba's ascendancy. Musically, the abnegation is encoded by two principal means. Firstly Baba is alienated from her surroundings by three operatic strategies: i) her pseudo-recitative language is stylistically incongruous to the set piece Trio in which it is located; ii) by falling on deaf ears, her voice is assigned the demoted status, not of dialogue, but of superimposed monologue; and iii) her musical poetic-periods do not synchronise with Tom and Anne's.[238] Secondly, Tom's material at *Figure 134* constitutes a classic example of dialogized heteroglossia which simultaneously negates and affirms country love in both musical and textual dimensions (*Example*

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[237] The notion of abnegation can be recalled from the discussion of *Excentrique* in Chapters one and two. There the strive for thematic and tonal identity—a metonymic representation of Little Tich's mechanical gestures striving for human identity—was said to be 'abnegated' at the close by the (negative) supremacy of the cadential over the thematic gesture, the latter of which was 'positively surrendered to' by the weak harmonic articulation of the pseudo-tonic, F, tonal region.

[238] *Example 4-2* shows that at the moment of slippage to Eb, which defines Tom and Anne's first period, Baba is still in her first 'questioning' period.

4-1). The negation occurs musically by the *Ausweichung* connotations of slippage to Eb minor, and textually by the metaphoric language of wintry graves (*Example 4-5*). The affirmation occurs through the 'romantic' pathos and lyrical style of the voice, imbued with pseudo-appoggiatura gestures ('O bury/promise'), falling gap-fill motions ('heart') and considerable chromatic inflections ('Upon its only'). The music is therefore encoded with a sense of mourning and weeping—sentiments central to the narrative of the opera[239] which simultaneously affirm that which has been negated, lost, or cannot be attained/regained: a positive surrender to a now unobtainable higher power.

Semantically decoding metonymic relationships between textual and musical units, articulated by dialogue structures, is one way of cutting-through the multivalent possibilities posed by deviant harmonic structures in the music. The process differs only from that applied to more abstract works in that the gesture-defined musical units of opera are textually and stylistically informed. Ultimately the encoded oppositions, and linear structures through which they are presented, can be traced back to the same cultural *Ur-code* as that governing the seemingly 'abstract' *Excentrique*. Admittedly, the semantic units of that 'enigmatic little grotesque' were endorsed by the hermeneutic window of Little Tich—one further remove from an actual libretto—, but those units were consistently defined within the gestural level of the musical texture itself. Such independence of musical narrative is vital not only for defining 'musical meaning', but also for Stravinsky's techniques of markedness and prototypical play to actually function. This is because the semantic units must present themselves as familiar cultural units to the listener. If the units are not semiotically apparent from the salient musical surface, the whole notion of what is being played with falls down and with it the semantic framework which can elevate Stravinsky's music above abstract *cubist* discontinuity or retrospective *neoclassic* pastiche.

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[239] Mourning and weeping are central sentiments both to the Trio and the opera as a whole. Consider the ultimate exotopic resolution to their dialogue when Anne, à la Venus, leaves Tom, à la Adonis, in Bedlam. At this point the Mourning Chorus (*Figure 273*) make explicit these sentiments: 'Mourn for Adonis...weep for the dear of Venus'. In the Trio the ending phrases of 'weep' and 'sleep' (as a metaphor for death), therefore, anticipate, or even prophesise, the outcome in Bedlam of their 'wint'ry promise'.

Exotopic Resolution: 'Conversing with' not 'Colonising' the 'Other'

The semiotic implications of Newcomb's Wagnerian model for Stravinsky's own dialogues can easily be perceived. Signs of deferred closure/tonal expansion and signs of demanded closure/tonal claustrophobia, encoded in opposed language styles, comprise the linear narrative to a greater extent than the relationships of specific tonal regions; in short, the opposition of tonal styles not tonality itself motivates the music. To formulate this in the context of prototypicality theory, Stravinsky's 'prototype' can be understood as a Wagnerian model: a dialogue between demanded and deferred closure; between question and evasion. The 'play' made on this prototype relates to the replacement of traditional resolution with exotopic resolution. There are, of course, indicators that Baba's tonal style wins the day. The Trio closes with a prominent assertion of her language of syllabic recitative ('Heavens above! Will you permit me to sit in this conveyance for ever and ever?) and the relative major G, though not quite the tonic Baba really desires, is sufficiently within her claustrophobic ambit to suggest a colonising resolution as she jumps to its dominant to assert her authority in the following Finale in D; but this is far from convincing. The opposed language styles never merge or colonise one another, as one would expect of a Wagnerian trajectory, but exert an exotopic relationship throughout. This is because the psychological trajectory is more significant than the actual tonal goals. This stands to reason for a composer like Stravinsky in a work like *The Rake's Progress* where tonality, though teleological, is never categorically defined but obscured by 'wrong/absent notes' or superimposed bichordal sonorities. The implications of the final tonal region count for little in terms of the musical dialogue. The conclusion of the Trio, therefore, constitutes yet another acclamation of the otherness of a syntactically encoded opposition rather than the negation of one-side, in favour of the supremacy of the other-side. As with the abnegation of *Excentrique* in the cubist aesthetic before it, once again, oppositions are not resolved by colonisation but are conversed with, preserving their exotopic position in the process.

The Trio's concluding resolution to G major, for example, reflects Baba's ascendant status in the resolution to a narrow, 'home', tonal ambit. Anne and Tom, however, have by no means been colonised by her demands. At the point they

conclude on the relative major, Baba has switched back from her dominant of G (*Figure 137*[2]) to her original dominant which demands resolution to the tonic minor, E, (*Figure 140*[3]). The concluding prominence of Baba's metonymic implications—resolution to her claustrophobic tonal ambit, reinforced by the terminating prominence of her monologue-recitative—do not affirm their connotations of depersonalised artificiality, so much as reflect Baba's position of narrative ascendancy. To be affirmed one would expect Baba's language either to evolve from contrived recitative into lyrical set-piece and from artificial monologue into natural dialogue, or conversely for Tom's language style to yield to Baba's artificial language style. Neither of these occur, so regardless of the tonality of the final resolution, the psychological trajectory of the dialogue remains thoroughly exotopic. The expansive tonal ambit of the country lovers, may have fallen into an agreement of sorts with the narrow metropolitan ambit but the tonal styles preserve their exotopic positions. To recall Tomlinson, there is no 'fusion of horizons' here.[240]

Can a conclusion like this justify the irony of decoding a Trio by dialogical models? Few critics would take issue with the fact that irony is fundamental to any understanding of Stravinsky and there can be little more ironic than an interpretative framework which decodes a closed form opera buffa according to a Wagnerian model of evolving drama, concluding that the scene embodies an 'exotopic resolution of a dialogical trio'! The paired oxymorons of this semantic conclusion certainly endorse irony. This conclusion results, however, from decoding musical signs according to the interpretative framework outlined in the thesis and its apparent absurdity should not be underestimated. One finds oneself concluding that the Trio is fundamentally a dialogue between the heteroglot of two countervailing 'voices' which 'resolve'—if one can use that word—not conventionally but exotopically! Furthermore, this is all inferred from the application of a Wagnerian model to a polemical composer crystallising his thoughts in a pseudo-pastiche opera buffa! Even by Bernstein's advocacy of 'incongruous irony', this transition from syntactically encoded stylistic

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[240] Tomlinson discusses Gadamer's notion of the 'fusion of horizons'—see Hans-Georg Gadamer, *Truth and method* (London: Sheed and Ward, 1989)—in opposition to the exotopic position advocated by Bakhtin—see chapter three—Tomlinson, *Music in renaissance magic*, 28, 31.

misalliances, to misalliances in semantic interpretation, may be one step too far. Perhaps the combination of a Wagnerian semantic model, read through Bakhtinian concepts, for a composition which can be more readily dismissed as neo-pastiche, requires something of a Kierkegaardian 'leap of faith';[241] the semantic interpreter must not only suspend disbelief, but positively acclaim in the face of that disbelief. This may at first sound absurd but it can be justified on the grounds that this method of semantic decoding is entirely commensurate with the original method of syntactic encryption. Bernstein's invocation of Chomsky's 'classic example of ill-matched semantic components': 'Colourless green ideas sleep furiously'[242]—a description of the aesthetic impact of Stravinsky's neoclassical music—, helps contextualize this ironic, or even oxymoronic, interpretation of *The Rake's Progress.* If the salient level of Stravinsky's neoclassic music comprises superimposed, near-oxymoronic, misalliances, a commensurate interpretative framework is not so absurd as it first appears: it is nothing short of a semantic framework akin to the salient method of encoding syntax.

Section 2 – The Retrospective Serialist?

Necromancy in the Graveyard!

The Rake's Progress represents the culmination of Stravinsky's aesthetic progress, charted in the previous chapters from the cubist through to the neoclassic aesthetic. Throughout the thesis a distinction between 'aesthetics' and 'stylistic periods' has been maintained (i.e. *cubist* works can exhibit the neoclassic aesthetic just as *neoclassic* works can exhibit cubist aesthetic tendencies—but predominantly, or prototypically, stylistic periods exhibit their corresponding aesthetic). This distinction breaks down with the transition to the serial period/aesthetic. The

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241 The notion of a 'leap of faith' is discussed in relation to Christianity in Soren Kierkegaard, *Concluding unscientific postcripts to philosophical fragments*, vol. 1., edited and translated by Howard V. Hong and Edna H. Hong. (Princeton, New Jersey: Princeton University Press, 1992). The parallel is an apt one for *The Rake's Progress* as Auden himself paralleled the narrative of the opera to three forms of religion which he inferred from Kierkegaard's writing, see W. H. Auden, *The living thoughts of Kierkegaard, presented by W.H. Auden* (New York: D. McKay Co., 1952). Chew summarises Auden's inferred categories as *Aesthetic Religion* (the Greek Gods)—corresponding to 'Tom's 'baptism' in Mother Goose's Brothel, with Whores and Roaring Boys'—*Ethical Religion* (the God of Greek philosophy)—corresponding to 'Tom's marriage to Baba the Turk to demonstrate his freedom'—and *Revealed Religion* (Judaism and Christianity)—corresponding to 'Tom's 'death' to sanity in the game of chance in the graveyard', see Geoffrey Chew, "Pastoral and neoclassicism: a reinterpretation of Auden's and Stravinsky's *Rake's progress*," *Cambridge opera journal* 5, no. 3 (1993): 244.

242 Noam Chomsky, *Language and mind* (New York, etc.: Harcourt, Brace & World, 1968), cited Bernstein, *The unanswered question*, 365.

transition was to be hailed critically as Stravinsky's greatest aesthetic shock, rivalling anything found, even within the subversive masterpieces of the *cubist* works. No example of *matrix* level deadlock, the shocking ensembles of *Renard* or *The Wedding* or even the notorious reception of *The Rite of Spring* could ever compare to the scandalous revelation of Stravinsky the serialist! So much had been staked on the infamous dichotomy between the structuralist Stravinsky and the serialist Schoenberg in both Stravinsky's own propaganda and wider critical musicology. The chronology of the shock 'transition' risks portraying Stravinsky as something of a vulture awaiting Schoenberg's death. The two composers were long standing neighbours in Los Angeles, however their well documented 'exotopic' *aesthetic* relation to one another held sway for their personal lives in the pronounced lack of meetings between these now-neighbouring towers of twentieth century music. Schoenberg's death, however, provided the catalyst which released yet another cultural form, the remains of which Stravinsky would pick over as he had done before with so many other generic masters' remains.

The first real evidence of Stravinsky's 'conversation with' serial method composition appears in the Prelude to scene ii, aptly named the 'graveyard scene'. Although Schoenberg died in 1951, the same year that saw the completion of *The Rake's Progress*, the chronology of the opera's inception[243] does not ratify any causal relationship with Stravinsky's first serial experiment. The string quartet prelude was written in December 1947 before he had received any of Auden's libretti and some months before composition proper began on the 8th May 1948. Its awkward insertion—a serial quartet in a pastiche opera buffa!—in Act 3, otherwise composed in 1951, does, however, assume the status of a deliberate memorium gesture, albeit an expression of exotopic release over sentimental elegy. Scarcely could anything sound more 'other-than' Stravinsky (excepting the clichéd cadence of the final bar, which bears his neoclassic hallmark) than this tentative exercise in serial quartet writing. Just as *Excentrique* turns inwards to the intimate prototype genre of the first Viennese school, so too the Prelude turns inwards to the same prototype genre, this time of the *second* Viennese school—and this, right in the midst of Stravinsky's most elaborate mask (an opera buffa as near to pure

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243 For a detailed account of the chronology of the inception of *The Rake's Progress*, see Stravinsky et al., *Stravinsky in pictures and documents*, 396-415.

pastiche as he ever came). It brings with it more than the faint aroma of intimate Webernian opuses and the cultural connotations of Germanic quartets stemming back to Haydn. The fact that all this occurs in the very heart of the quartet's near conceptual opposite—Italianate Opera Buffa—stretches even Stravinsky's sense of irony if one is to infer from the gesture an elegiac nod in Schoenberg's direction. Bernstein would surely proclaim it a 'misalliance' *par excellence*. Perhaps in this one instance, however, the misalliance was not intentional irony but the bi-product of exotopic release? The chronology suggests an isolated, one supposes, private experiment, which only found its published outlet immediately after Schoenberg's death, as if that death alone enabled Stravinsky to breach an aesthetic watershed.

One normally expects such aesthetic lines to be crossed with large scale dramatic concert or theatrical opuses: *The Rite of Spring* (cubist), *Pulcinella/Mavra* (neoclassical) or Cantata (serialist); but there is an equal precedent for transitional chamber opuses: *Excentrique* quartet (cubist), Octet (neoclassical), and this Graveyard Quartet (serial). Where *Excentrique* is Stravinsky's Turanian attempt to distanciate himself from the 'German stem'—a defiant gesture against the developmental aesthetic of panromanogermanic music, meted-out by turning its elite quartet genre on its head—, the Prelude is an apologia, indicative of the diminishing 'advantage' of his 'angle' to that 'German Stem'. In his twilight years, the twentieth century master of subversion suddenly appeared to be seeking 'sincerity'. Cubist *markedness reversal* established his exotopic relation to Germanic convention (i.e. his aesthetic 'other' concealed behind the mask of deadlock). Neoclassic *prototypical play* preserved this exotopic position through a radially defined relation—or 'angle'—to convention. The Prelude, however, signalled Stravinsky's intent to converse with serialism, thus the master of twentieth century subversion approached his aesthetic 'other', perhaps with the intention of replacing subversion with sincerity.

The Graveyard Quartet, fittingly, is an extremely conservative, academic testing of the Second Viennese School waters. In many ways it represents *Excentrique's* antithesis; announcing that the composer has come full-circle from a point of Russian departure. The middle of the *Three Pieces for String Quartet* was nothing short of an extremely radical, subversive splash, awash in the delights of negating

the First Viennese School conventions. Far from drifting into any 'classical' tradition, it made distinctly Turanian waves out of one, setting the tide of the cubist works which followed. The irony of the two works is that where Little Tich's quartet proves to be aesthetically 'lame' beneath its radical facade, the Graveyard Quartet proves to be aesthetically 'alive' beneath its dead appearance. Such is the tragic paradox of Stravinsky's compositional life. Breathing life into dead forms—more than any Maritain inspired 'ethereal watch-making'—was the true art of Stravinsky's composing.[244] He personified the composer-as-necromancer whose craft/art is to breathe life into dead forms.

The evidence for Stravinsky's *forma mortuaria* in the Graveyard Quartet is shown in *Example 4-8*. The intervallic units—semitone (a) and semitone plus continuation (b)—can be seen in altered, augmented and inverted forms.[245] The three 'serial' motifs exposed sequentially in the cello's opening (a-b-b2), realise the literal 'BACH' quotation (b2). It clearly demonstrates that Stravinsky's 'angle to the German stem' is here becoming increasingly acute. Publishing an antithetical serial style so close to Schoenberg's death is ironic enough, but to invoke the canonic master and forefather of the German tradition in one's prototype[246] serial motif appears somewhat crass, to say the least.

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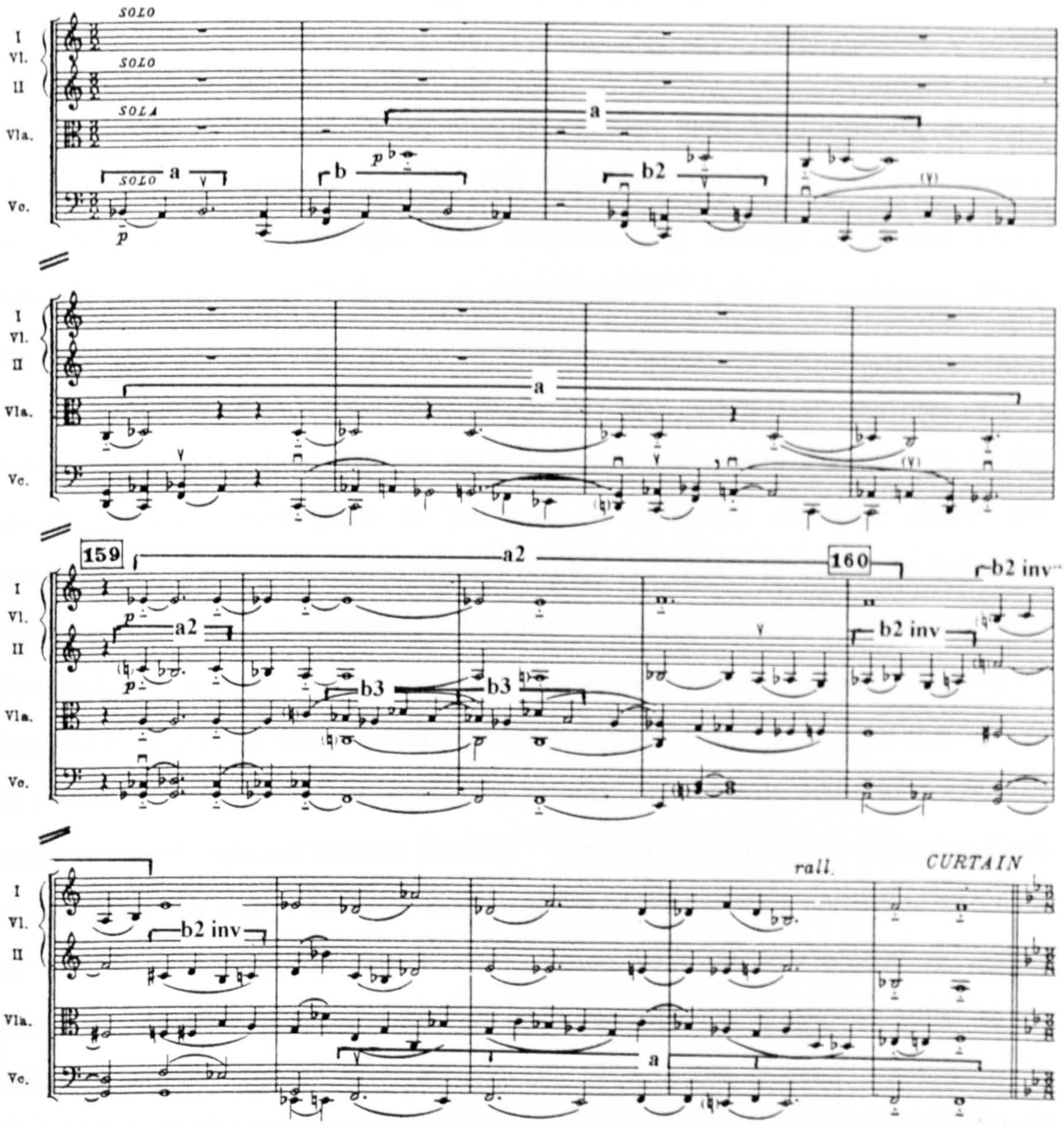
[244] Walsh applies the term, 'ethereal watch-maker', (see *footnote 267*) as a descriptive for Stravinsky's conception of the artist as formulated in Stravinsky, *Poetics of music*, based on the ideology of Jacques Maritain, see Jacques Maritain, *Art et scolastique* (Paris: L'Art Catholique, 1920).

[245] These labels are the same as those Trowell uses in his outline of the quartet prelude, see Brian Trowell, "The new and the classical in *The Rake's Progress*," in *Oedipus Rex, The Rake's Progress, Igor Stravinsky*, English National Opera Guides, 43, ed. Nicholas John (London: John Calder, 1991), 68.

[246] I use the term 'prototype' here in its 'experimental' sense rather than the 'best exemplar' context normally referred to in the thesis. This is defined as follows: 'one of the first units manufactured of a product, which is tested so that the design can be changed if necessary before the product is manufactured commercially' (*Collins Concise Dictionary Plus* (1989), s.v. "prototype."). The industrial overtones of this former sense are rather apt for Stravinsky's experimental serialism in *The Rake's Progress*, prior to his 'manufacturing' it commercially from the *Septet* onwards.

Example 4-8: 'Prototype' Serialism in the 'Graveyard Quartet'

There is something paradoxical about a composer who seems most communicative through dead forms or stylizations. I shall refer to this as Stravinsky's *necromantic* tendency: a predilection, long established in the cubist and neoclassical aesthetics, for conjuring up 'dead' forms in order to obtain from them knowledge, or creativity for, the future. As an aesthetic inclination, it harkens back to the elements of ritual and ancestral evocation which are so central to *The Rite of Spring*, the work first establishing Stravinsky's international reputation. Stravinsky's long standing paradox—to which the title of this chapter refers—is that his music is never more alive (emotionally, in terms of expressing his personal identity) than when it is expressed through dead forms or stylizations. Once the initial shock of Stravinsky-

the-serialist has been overcome, it appears little more than the natural continuation, and coming to fruition, of Stravinsky-the-*necromancer* par excellence.

The continuity of Stravinsky's necromantic paradox more than anything debunks the commonly held misapprehension, that Stravinsky was coerced or manipulated into serialism by the (perhaps, Nick Shadow like) tutelage of Robert Craft. Whether this constituted "Influence or Assistance?" [247] is largely irrelevant. What matters is that Schoenberg's death was catalytic because it made available a form which was previously unavailable to Stravinsky: unavailable because whilst Schoenberg was alive, so was *his* serial aesthetic. Not even the attempts of the contemporaneous avant-garde to proclaim Schoenberg's *aesthetic death*—the sentiment of which culminated after his *physical death* in Boulez's infamous 'obituary'/rally cry, 'Schoenberg est mort'[248]—would trick a necromancer like Stravinsky to play with serialism whilst Schoenberg lived. In fact, Stravinsky's long-standing quarrel with this avant-garde, prompts Druskin to suggest that 'it was in answer to this attitude that Stravinsky extolled Schoenberg, and with increasing insistence as the quarrel became fiercer'.[249] In turn this prompts a defensive Craft to rebut that, 'Druskin's Freudian interpretation of Stravinsky's *volte-face* as a case of 'creative mourning...the ego's identification with the lost object' is wholly mistaken. Another of Freud's theories is the one that really applies: relief at the death of someone perceived as a threat.'[250] The extent of the relation between Stravinsky's final aesthetic twist and Schoenberg's *aesthetic* or *physical* deaths, of course, can never be known. What is certain is that both would undoubtedly have been of 'influence or assistance'. Schoenberg's death symbolised the death and monumentalization of the row; at precisely this moment, Stravinsky sensed the arrival of a new 'dead' form with which his necromantic skills could once again

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[247] Craft's defence of this misapprehension is titled "Influence or Assistance", (Craft, *Stravinsky: Glimpses of a life*, 33-51), in response to Druskin's dictum that 'assistance must not be confused with influence' (Mikhail Druskin, *Igor Stravinsky: his personality, works and views* (Cambridge: Cambridge University Press, 1983), translated by Martin Cooper, 141).

[248] Pierre Boulez, "Schönberg est mort," *The Score* 6 [Schoenberg issue] (1952): 18-22.

[249] Druskin, *Igor Stravinsky*, 143.

[250] Craft, *Stravinsky: Glimpses of a life*, 36-37. Interestingly—and seemingly independently—Keller invokes a similar Freudian explanation, citing the principle of 'identification of the ego with the lost object' from Freud's *Mourning and Melancholia*, see Keller et al., *Stravinsky seen and heard*, 12.

recover him from a creative cul-de-sac. The theory is borne out by one of Craft's anecdotes.

> On 8 March [1952] he [Stravinsky] asked to go for a drive to Palmdale...On the way home he startled us, saying that he was afraid he could no longer compose and did not know what to do. For a moment he broke down and actually wept, whereupon Mrs Stravinsky convinced him that these feelings and the musical problems, whatever they were, would pass. He referred obliquely to the powerful impression that the Schoenberg piece [the Septet-Suite, heard on 24th February 1952] had made on him, and when he said that he wanted to learn more, I knew that the crisis was over; so far from being defeated, Stravinsky would emerge a new composer.[251]

Exotopic Resolution from Another Creative Cul-de-Sac

By donning the mask of his aesthetic 'other', Stravinsky effected his *exotopic* resolution from the creative impasse of the culminated neoclassic aesthetic. The resolution was *exotopic* because his emergence as a new composer occurred through a process of discovering his 'self'—what was to become, after years of exile, his personal identity or compositional voice—via the detour of comprehending his long-standing aesthetic 'other', serialism. In this sense Stravinsky's twilight aesthetic twist resonates strongly with the contemporaneous existential philosophy emerging in his previous, French, homeland, most notably in Jean Paul Sartre (one thinks immediately of his central tenet of existentialism: defining oneself in terms of the 'other').[252] Stravinsky was no more 'colonised' by serialism, than he himself ever 'colonised' the aesthetic. Instead the composer—metaphorically in his composition and literally in his dialogues with Craft—'conversed' with the serialist aesthetic out of which emerged an individual voice. It was never a whole hearted adoption of the row à la Schoenberg, Berg or even Webern, but an encounter with the row from which he would emerge a new composer whilst preserving the distanciated otherness of his relationship to that row.

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[251] Craft, *Stravinsky: Glimpses of a life*, 38-39. [The bracketed insertions are mine.]

[252] See Jean Paul Sartre, *Being and nothingness: an essay on phenomenological ontology* (London: Methuen & Co., 1957) and Jean Paul Sartre, *Between existentialism and Marxism* (London: Verso, 1983) for discussions of 'defining oneself in terms of the other' and the 'fusion of extremes'.

The remaining task of the present chapter is analytically to unpack the paradox of Stravinsky-the necromancer, witnessed in his serial retrospective, and to make prospective inroads into his new found semantic mechanism of 'sincerity', through which his individual voice speaks directly to his audience. (Although the serial aesthetic hides behind its own mask of serialism, the mask appears far less negatory than those of the cubist and neoclassic aesthetics.) This does not entail establishing Stravinsky's detailed technical transformation as an out and out serialist. Instead a cursory examination of a cursory serial work, *In Memoriam Dylan Thomas*, should throw prospective light on how Stravinsky adapted the communicative semantic tools of *tropological* and *dialogical* interpretation to fundamentally non-subverting/negating syntax. This should elucidate the manner in which Stravinsky preserves an exotopic relationship to serialism whilst simultaneously removing any dependency on the row as a syntax-negating mask.

Beethoven and Stravinsky: an Exotopic Analogy

The exotopic nature of Stravinsky's turn to serialism can be uncovered in an intriguing dialogical relationship with Beethoven, a composer whose own twilight years revealed necromanctic tendencies and relations of otherness to his music, which, like Stravinsky's twighlight years, paradoxically better articulated his personal compositional voice. Stravinsky's admiration for the composer (overtly eulogised in Symphony in C) underlines two central tenets of his own 'late period' aesthetic: the necromancer's concern for historical timelessness and an admiration for intervals and rhythm—the primary tools of the serialist. At the age of eighty, he expressed delight in Beethoven's *Grosse Fuge*:

> a perfect miracle...this absolutely contemporary piece of music that will be contemporary for ever...Hardly birthmarked by its age, the Great Fugue is as rhythm alone more subtle than any music composed in my own century...It is pure interval music, this fugue, and I love it beyond any other.[253]

This concern for historical timelessness, suggests a changing attitude in Stravinsky's maturity; a developing preference for 'sincerity' over his hallmarked 'negation'. After all, how can a work convey historical timelessness when its basic

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[253] Igor Stravinsky, *Dialogues and a diary* (Garden City, New York: Doubleday, 1963), 24, cited Druskin, *Igor Stravinsky*, 166.

syntactic currency is the 'play' of historically situated conventions? The works immediately locate themselves in a temporal slot akin to the models evoked for negation. The earlier aesthetics are entirely dependent on temporal determinacy, however ironic the play between evoked temporality and historical situation in the twentieth century, these works convey anything but historical timelessness. 'Music that will be contemporary for ever', is music that speaks like no other; music that expresses a personal voice rather than subverting the voices of others. For a masquerading master of heteroglot 'time-travelling', this would prove an aesthetic impossibility. Perhaps Stravinsky's greatest tragedy was that it took over two thirds of his compositional career before he put down the masks and began to speak through his own voice. The serial aesthetic, however, removed Stravinsky's long-standing aesthetic 'other-voicedness' into which his Russian exile had inevitably placed him, developing a distinctive element of striving for sincerity which more closely allies him to the timelessness of Beethoven. Whether 'confusing functions' on the *matrix* level or 'playing with prototypes' on the *model* level, Stravinsky's subversive and deviant aesthetics embodied thoroughly insincere facades which are shattered in the serial aesthetic.

This thesis, like the work of many Stravinsky commentators beforehand, has drawn numerous aesthetic parallels with Beethoven. These have taken the form of mere stylistic parallels: the infamous 'fate' rhythms of the Symphony in C or the lampooning stylisation of Sonata's *Adagietto*. They have also taken the form of metaphoric parallels: i) The *lame metaphor* resulting from Agawu's iconic interpretation of the March from Beethoven's String Quartet op. 132[254] (see *Example 2-10*), aptly mirrored in the 'lame' paradigm of *Excentrique*, and ii) the *abnegation metaphor* resulting from Hatten's interpretation of the *Hammerklavier*'s resolution by 'abnegation',[255] mirrored in the interpretative framework for *Excentrique*'s abnegatory resolution. Perhaps the most intriguing analogy resides in the exotopic relationship each composer embodies between their individual personalities and their manner of expression.

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[254] Agawu, *Playing with signs*, 114, 124. The term 'lame' is my *Excentrique*-analogous inference. Agawu's reference is to a 'defective' march: 'There is something odd about this march...for it is missing a crucial downbeat. This is in fact a "defective" march, whose "ideal" form does not occur until the very end of the movement'.

[255] Hatten, *Musical meaning in Beethoven*, 56-65.

Grout expresses a great truism—however archaic it may sound in today's analytical climate—when he says that 'Beethoven's music, more than that of any other composer before him, gives the impression of being a direct outpouring of his personality'.[256] Burnham's enlightened study of *Beethoven's hero* pushes Grout's argument still further when he argues 'that it is Beethoven who sounds its [the Age of Goethe's] deepest and yet most vivid keynote, joining in the *élan terrible* of his heroic style, the Goethean dynamic of contemplation and deed with the Hegelian dialectical trajectory of the self and its consciousness'.[257] Such statements situate Beethoven at the polemical extreme of Stravinsky, of whom one could say 'more than any other composer before him, gives the impression of suppressing his personality'. (Critics, such as Keller, openly refer to 'Stravinsky's suppressionism'.[258]) Interestingly, both composers have their own confessions of 'terror' supporting these radically different aesthetic perspectives. These are outlined in *Example 4-9* (Stravinsky's confession is also stated as the epigraph to this chapter).

The manner of speaking each confession reflects the heteroglossia between the two composers' utterances: one extremely private, the other extremely public. Beethoven's fear under the affliction of deafness is expressed in the highly introverted, personal 'Heiligenstadt testament'[259]—an entirely *appropriate* 'voice' for a confession. Stravinsky, in typically ironic fashion, confesses through the *inappropriate* 'voice' in the contrasting language of an academic lecture, subsequently published in the *Poetics of Music*[260] (typically Stravinskian dialogized heteroglot!). Beethoven's fear that his condition (the loss of aural external stimuli) may be observed mitigates his aesthetic of complete introspection. It is anathema to Stravinsky's aesthetic of extroversion (adopting other's personae) motivated by a fear that his condition (the loss of internal/personal 'voice') may be observed.

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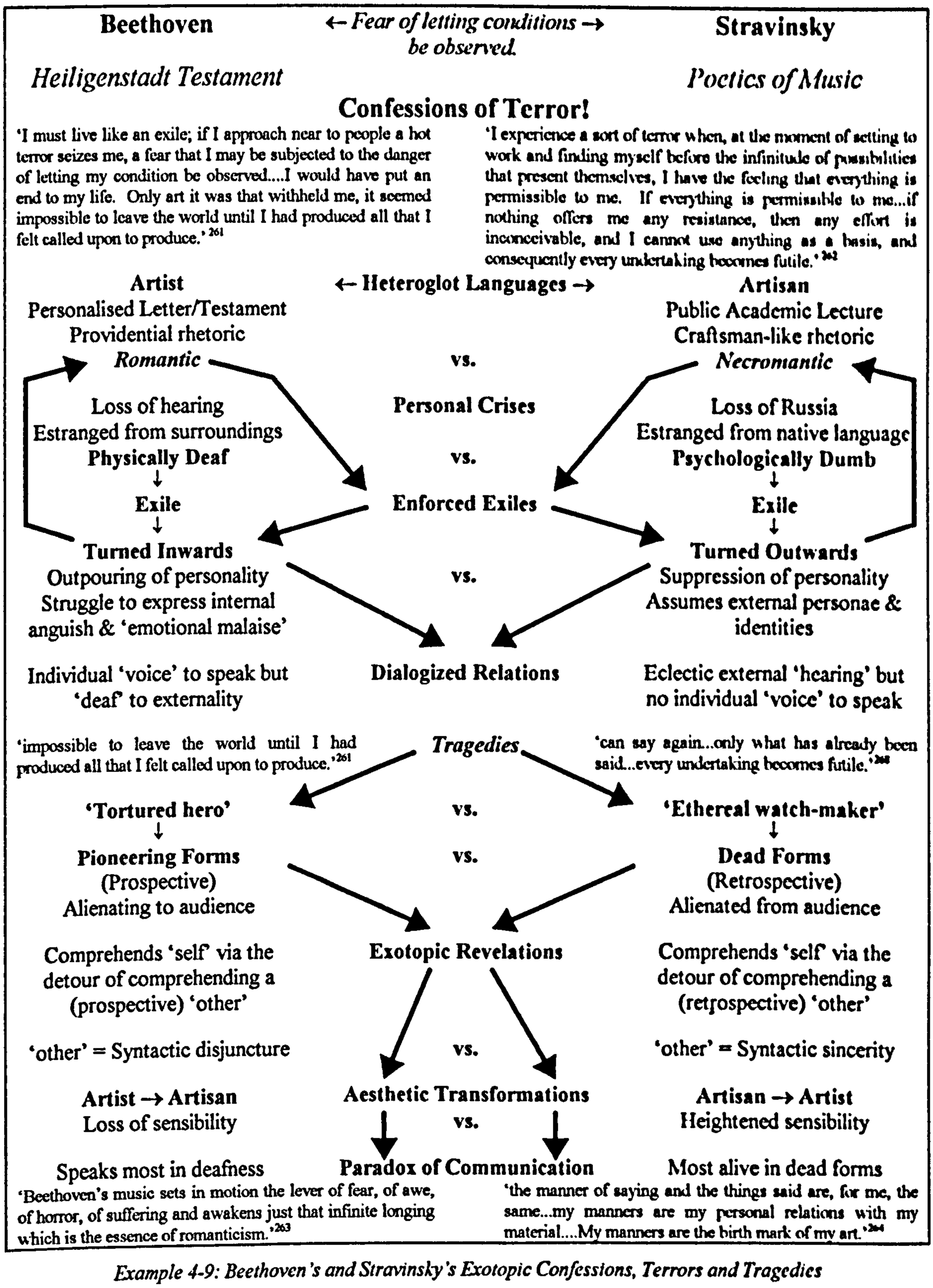
[256] Donald Jay Grout, *A history of western music* (London: J. M. Dent & Sons, Ltd., 1960), 472.

[257] Scott Burnham, *Beethoven hero* (Princeton, New Jersey: Princeton University Press, 1995), xviii.

[258] Keller et al., *Stravinsky seen and heard*, 42.

[259] For the most comprehensive 'analysis' of Beethoven's *Heiligenstadt Testament* see Maynard Solomon, *Beethoven* (New York: Schirmer Books, 1977).

[260] Although *Poetics of Music* predates the serial retrospective by some ten years—the lectures were given in the academic year 1939-40—it provides a convincing *raison d'être* for all his necromantic tendencies prior to and after this point: i.e. dead forms and stylizations it would seem provide Stravinsky with the self limiting 'basis' required to overcome his terror.



Example 4-9: Beethoven's and Stravinsky's Exotopic Confessions, Terrors and Tragedies

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[261] Beethoven, 'Heiligenstadt testament', cited Alexander Wheelock Thayer, *Life of Ludwig van Beethoven*, vol. I., 3 vols. (New York:, 1921), 353-54, cited Grout, *A history of western music*, 473.

[262] Stravinsky, *Poetics of music*, 63.

[263] From E. T. A. Hoffmann's essay on "Beethoven's instrumental music" (1813), cited Oliver Strunk, *Source readings in music history* (New York:, 1952), 777, cited Grout, *A history of western music*, 491.

[264] Stravinsky et al., *Dialogues*, 26-27.

Apparent in the heteroglot language relationship of the *Heiligenstadt* and the *Poetics*, (both of which are juxtaposed in *Example 4-9*), is a qualitative difference between these masters akin to that of the artist and artisan: Beethoven speaks through the language of a true romantic artist destined by divine providence; Stravinsky, speaks through the language of the craftsman who uses tools working for commissioned 'undertakings'. His countervailing conception of the artist as artisan, finds its justification in the well documented aesthetic influence on Stravinsky in the early twenties of the religious philosopher Jacques Maritain[265]— most notably in Stravinsky's own writings, foremost *The Poetics of Music*, and satellite manifestos penned by Arthur Lourié.[266] Walsh identifies precisely this contrast of the artist as 'tortured hero' with the artisan as 'ethereal watchmaker'; an idea harking back to the teachings of St. Thomas Aquinas.

> Maritain's idea of art as a practical 'virtue', in which the artist takes on the aspect of a humble artisan striving to create work that will be as honest and well executed as is within his power, was itself a clear reaction against the intellectual disorder of modernist tendencies in the Catholic Church. It was a kind of religious neo-classicism. From being a tortured hero obsessed with his own emotional malaise, the artist was to become a kind of ethereal watch-maker, who knows that if only his watch will keep time it will automatically be beautiful.[267]

One can scarcely imagine a more accurate aesthetic testimony for Stravinsky. Replace religion with music, the Catholic church with (Wagnerian) romantic excess and Stravinsky's name literally jumps off the page. The imagery of Walsh's descriptive also reflects the aesthetic position of Beethoven. The notion of the tortured hero connotes a preoccupation with 'striving', connoting the linear direction of forward motion and finite time. This corresponds neatly with Beethoven's striving to complete tasks which providence has bestowed upon him before his finite time on earth expires. The 'ethereal watch-maker', by contrast, connotes a circularity of time and motion corresponding to the aesthetic cul-de-sac to which Stravinsky's neoclassicism had lead. What unites this artist and artisan is

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[265] Maritain, *Art et scolastique*.

[266] Arthur-Vincent Lourié, "La Sonate pour piano de Strawinsky," *La Revue musicale* 6 (1925): 100-14; "*Oedipus Rex* de Strawinsky," *La Revue musicale* 8, no. 8 (1927): 3-8; "Neogothic and neoclassic," *Modern music* 5, no. 3 (1928): 3-8, "A propos de l'*Appollo* d'Igor Strawinsky," *Musique* 1 (1928): 117-9.

[267] Stephen Walsh, *Stravinsky: Oedipus Rex* (Cambridge: Cambridge University Press, 1993), 4.

> *is* to refit old ships. He can say again, in his way, only what has already been said.[268]

By the time Stravinsky necromantically turns to Schoenberg, the row is little more than '*disjecta membra*...detritus...wreck...old ships...hints of earlier and other creation'. Prompted by Craft, his nautical graveyard—as eerie as any churchyard in which we find Rakewell and Shadow—summarises his entire aesthetic outlook as a series of necromantic excursions to the graveyard of musical culture. What, then, elevates his serial retrospective to reveal the personal voice of the artist, over the masquerading artisan's 'refit' or 'rebuild' bereft of individual 'voice': saying 'again, in his way, only what has already been said'? It is only natural for a 'suppressionist' like Stravinsky to claim that: 'the manner of saying and the things said are, for me, the same....my manners are my personal relations with my material. *Je me rends compte* in them....My manners are the birthmark of my art'.[269] This alleged lack of distinction between compositional 'voice' and the mannerisms through which it is spoken, however, begins to disappear in the serial aesthetic. It is nonetheless a decidedly unhelpful aesthetic statement—like a great deal of the products of Stravinsky's dialogues with Craft. If the semantic interpreter accepts this whole hearted vindication of suppressionism, he not only consigns the serial aesthetic to mere mannerism, but also must contend with an implicit repudiation of *dialogized heteroglossia*, which this thesis has advocated as one of Stravinsky's most pertinent semantic mechanisms. The disparity between the two can be mediated by understanding Stravinsky's repudiation of heteroglossia as a knee-jerk reaction to the contention that in retreating 'back to Bach',[270] his music failed to 'speak' to contemporary audiences. In reality, however, as the previous chapters have demonstrated, one can identify sufficient musical signage in the deviant foreground 'mannerisms' to decode the less salient 'thing said'. Invariably that message constitutes an abnegatory gesture: an admission that one can only express oneself through dialogized relations. Oppositions which distance the self from its surrounding environments: the exiled/internal/private/human

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[268] Igor Stravinsky and Robert Craft, *Dialogues and a diary* (London: Faber, 1968), 129, cited Louis Andriessen and Elmer Schönberger, *The apollonian clockwork on Stravinsky* (Oxford: Oxford University Press, 1989), translated by J. Hamburg, 208.

[269] Stravinsky et al., *Dialogues*, 26-27.

[270] A disparaging term ascribed primarily to Stravinsky's neoclassicism.

the terror that their condition might be revealed. Beethoven, exiled by deafness, posses an individual voice to speak but is terrified that his estrangement from externality might be discovered. Stravinsky, though literally exiled—geographically and aesthetically estranged from Russia—possessed an unrivalled eclecticism with which he could hear and absorb a proliferation of surrounding externality. His terror was that 'every undertaking becomes futile' without these external bases. He has nothing to say, no personal voice behind the external facade. The early loss of his Russian language rendered Stravinsky psychologically 'dumb': a 'mute' devoid of a compositional voice.

The way out of these dialogized aesthetic crises was for Beethoven to turn completely inwards and for Stravinsky to turn completely outwards (he couldn't turn much further out than serialism, his long-standing aesthetic other). Their tragic paradoxes are revealed in the 'late periods'. Beethoven's 'outpouring of personality' resulted in a heroic struggle to communicate through radical, pioneering forms. These were so alienating from his audience that Beethoven the artist began to assume something of the mantle of Beethoven the artisan. The works no longer conveyed the lofted virtuosity of the romantic ideal but the strained products of hard toil and labour which brought with them an apparent loss of the sensibility required in art at that time. The *Hammerklavier* and *Grosse Fuge* readily convey this loss of sensibility with their alienating musical surface. Stravinsky's assimilation of external personalities and identities, in contrast, culminated in one final adoption of a (newly) 'dead' form from which his personal voice would emerge. The problem remains, however, that the adoption of another dead form surely entails the same strategy of a mask concealing Stravinsky's personal voice. The question arises: what distinguishes this from just another refit of an old ship?

> Was I merely trying to refit old ships while the other side—Schoenberg—sought new forms of travel?...Of course I seemed to have exploited an apparent discontinuity, to have made art out of the *disjecta membra*, the quotations of other composers, the references to earlier styles ('hints of earlier and other creation'), the detritus that betokened a wreck. But I used it, and anything that came to hand, to rebuild, and I did not pretend to have invented new conveyors or new means of travel. But the true business of the artist

> *is* to refit old ships. He can say again, in his way, only what has already been said.[268]

By the time Stravinsky necromantically turns to Schoenberg, the row is little more than '*disjecta membra*...detritus...wreck...old ships...hints of earlier and other creation'. Prompted by Craft, his nautical graveyard—as eerie as any churchyard in which we find Rakewell and Shadow—summarises his entire aesthetic outlook as a series of necromantic excursions to the graveyard of musical culture. What, then, elevates his serial retrospective to reveal the personal voice of the artist, over the masquerading artisan's 'refit' or 'rebuild' bereft of individual 'voice': saying 'again, in his way, only what has already been said'? It is only natural for a 'suppressionist' like Stravinsky to claim that: 'the manner of saying and the things said are, for me, the same....my manners are my personal relations with my material. *Je me rends compte* in them....My manners are the birthmark of my art'.[269] This alleged lack of distinction between compositional 'voice' and the mannerisms through which it is spoken, however, begins to disappear in the serial aesthetic. It is nonetheless a decidedly unhelpful aesthetic statement—like a great deal of the products of Stravinsky's dialogues with Craft. If the semantic interpreter accepts this whole hearted vindication of suppressionism, he not only consigns the serial aesthetic to mere mannerism, but also must contend with an implicit repudiation of *dialogized heteroglossia*, which this thesis has advocated as one of Stravinsky's most pertinent semantic mechanisms. The disparity between the two can be mediated by understanding Stravinsky's repudiation of heteroglossia as a knee-jerk reaction to the contention that in retreating 'back to Bach',[270] his music failed to 'speak' to contemporary audiences. In reality, however, as the previous chapters have demonstrated, one can identify sufficient musical signage in the deviant foreground 'mannerisms' to decode the less salient 'thing said'. Invariably that message constitutes an abnegatory gesture: an admission that one can only express oneself through dialogized relations. Oppositions which distance the self from its surrounding environments: the exiled/internal/private/human

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[268] Igor Stravinsky and Robert Craft, *Dialogues and a diary* (London: Faber, 1968), 129, cited Louis Andriessen and Elmer Schönberger, *The apollonian clockwork on Stravinsky* (Oxford: Oxford University Press, 1989), translated by J. Hamburg, 208.

[269] Stravinsky et al., *Dialogues*, 26-27.

[270] A disparaging term ascribed primarily to Stravinsky's neoclassicism.

trapped in the alien/external/public/machine. To this extent, the 'message' behind Stravinsky's pre-serial voice was one commensurate with the pessimistic climate of contemporary, war-torn, twentieth century culture. To advocate Stravinsky's equation of mannerisms with voice, one would necessarily interpret the serial retrospective as Stravinsky's ultimate *acte gratuit* (a purposeless act of total freedom to establish an identity or meaning: the acquisition of another mannerism). There is an intriguing Rakewellian precedent for this existential rationale which can be expressed by the insertion of decidedly unsubtle parenthesis to Walsh's interpretation of *The Rake's Progress* narrative:

> The *acte gratuit*—or purposeless act—which Tom [Igor] commits in marrying Baba [turning to serialism] expresses, no doubt, the emptiness of total freedom, both in itself and as a way of establishing the identity or 'meaning' of the individual who performs such an act....In the end the Devil [Robert Craft!] takes Tom [Igor] to a graveyard, demands his wages [instructs him in serial technique] and tells him to kill himself [aesthetically speaking!] (the ultimate *acte gratuit* of the committed existentialist)....he [Tom/Igor] makes a good study for modern urban man with his rootless materialism and wishy washy permissiveness, just as Don Giovanni and Count Almaviva were suitable bogeymen for an age that thought it had its passions under control.[271]

Interesting though the far-fetched Rakewell-Stravinsky analogy may be,[272] there is far more to Stravinsky's serial retrospective than any spurious exercise of free will. Shadow would have provided no subconscious obstacle to Stravinsky's serial transition, in his persuasive rhetoric, 'That man alone his fate fulfils, / For he alone is free / Who chooses what to will, and wills / His choice as destiny.',[273] but this is an existential aesthetic which was essentially alien to Stravinsky despite his contemporaneous French existence and the obvious parallel between exotopy and Sartre's notion of defining oneself in terms of the 'other' (discussed above, see *footnote 252*).

One other factor which should be considered when assessing Stravinsky's shift to serialism is the inherent unfashionability of serialism as an aesthetic model. It is a

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[271] Walsh, *The music of Stravinsky*, 212. [The bracketed insertions are mine.]

[272] As the ethereal artisan watchmaker who claimed that 'music was powerless to express', Stravinsky more than anyone else must have felt that, if anyone, he represented the prototype of an age which 'thought it had its passions under control'

[273] Auden, W. H. and Kallman, Chester, Shadow's Aria (*Figure 42*) Act 2 of *The Rake's Progress* (1947-51)

common misconception that Stravinsky's every aesthetic move espoused all that was *chic* in contemporary culture, including even his final adoption of serialism. It is of course an absurd notion that his serial 'retrospective' was generated by musical fashion, a point reinforced by Druskin:

> Stravinsky's change of 'manner' in the third phase of his career as a composer was neither fortuitous nor, it goes without saying, a simple following of musical 'fashion'—after all, how is it possible to speak of fashion when the first serial works of the Viennese composers date from the beginning of the twenties?[274]

Highly unfashionable adoptions, however, were often the source of great inspiration to Stravinsky. It is commonly overlooked, for instance, that *Mavra*, touted by many as the real signal of his shift to neoclassicism, was contemporaneously about as unfashionable a work as could be written, something reflected in its poor public reception. Walsh reiterates this point in his notion of Stravinsky's hallmark of the 'stylistic tease' between adopted unfashionable models and inspired, piquant modernism in his discussion of *Mavra*'s adopted Russian models.

> The models are studiously unfashionable, even while the posture of adopting them is *chic*. Glinka was virtually unknown in twenties Paris, and Tchaikovsky was hopelessly outmoded, a popular slushy romantic who wallowed in self-pity, when Jean Cocteau was busy telling Parisians that art had to be jolly and commonplace, trivial and witty. Tchaikovsky was the last model one would expect an arch-modernist like Stravinsky to adopt. Yet, by the hallowed principle of *épater le bourgeois*, that was precisely where his most piquant modernism lay. The stylistic tease was...to become a hallmark of Stravinskian neo-classicism.[275]

How ironic that the two pillars of three decades of neoclassic *chic*, *Mavra* and *The Rake's Progress* were both opera buffa—a tremendously unfashionable genre by this time. The intervening works were far more in vogue with their choice of both models and generic presentation. The enduring ballet, symphony, oratorio and concerto genres, predominant in the body of neoclassic works, stand in stark contrast to these framing opera buffas. Similarly the models of Bach, Handel, Beethoven, Verdi, Jazz, etc. were by no means as unfashionable to the Parisian culture of the 1920s as the Russian Nationalists of Glinka and Tchaikovsky, or, for

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[274] Druskin, *Igor Stravinsky*, 143.

[275] Walsh, *Stravinsky: Oedipus Rex*, 2.

that matter as Schoenbergian serialism, would have been to 1950s American culture. Taruskin supplies much of the musicological raison d'être[276] for the fine line trodden in Stravinsky's 'stylistic tease' between necromantic evocation of 'unfashionable' models and the climate of rakish Parisian *d'Indism.*[277] He suggests that Stravinsky adopted the out-moded models of Pushkin, Glinka and Tchaikovsky primarily for their artistic and social connotation with the *barvstvo* (the Russian high society of their day). 'Their work, implicitly by virtue of the genres they cultivated and explicitly by virtue of many of the texts they set and the patronage they invited, ardently upheld the values of the tsarist social structure'.[278] It was undoubtedly for this reason, rather than any explicit musical aesthetic sympathy, that Stravinsky and Diaghilev aligned themselves with Russian nationalism and not the neonationalism of kuchkism, the aesthetic of 'The Five' to which his spiritual father, Rimsky-Korsakov belonged.

> The national element occupies a prominent place with Pushkin as well as with Glinka and Tchaikovsky. But with them it flows spontaneously from their very nature, whereas with the others [the Five—on the face of it, more fashionable models of Russian nationalism for Parisian culture] the nationalistic tendency was a doctrinaire catechism they wished to impose....that naive but dangerous tendency which prompts them to remake an art that has already been created instinctively by the genius of the people. It is a sterile tendency and an evil from which many talented artists suffer.[279]

Stravinsky is by no means immune to such criticisms of 'sterility' in his own neoclassic and serial endeavours. What is significant here, though, is that, although the music of these composers may have been 'hopelessly unfashionable', their national social connotations were wholly in keeping with the *Mir iskússtva's* ideal

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[276] See the subsection 'Leading tones and open letters' in Taruskin, *Stravinsky and the Russian traditions*, 1514-38.

[277] *D'Indism* was Rimsky-Korsakov's 'favorite ironic term...after the French composer, chosen for its punning resonance with *dandisme*, "dandy-ism"' for the type of decadent 'artistic thoughtlessness and caprice' with which he characterised the early twentieth century French musical culture in contrast with his own academic kuchkist aesthetic. See Rimsky-Korsakov's letter to E. M. Petrovsky (librettist of *Kaschey the Deathless*), 11 January 1903; in *Sovetskaya musztka*, 1952, no. 12, 69, cited Taruskin, *Stravinsky and the Russian traditions*, 270.

[278] Ibid., 1535.

[279] Stravinsky, *An autobiography*, 97.

of the aristocratic way of life promoted by Stravinsky and Diaghilev's 1920s revisionist French culture.

> [In] *Mavra*...Stravinsky sought so deliberately to reposition himself vis-à-vis Russian and the West alike. That seemingly innocent little *opéra bouffe* was, among other things, at once his *barstvo*, and his pledge of pangermanoromanic allegiance. Since these aspects of *Mavra* were not of the slightest concern to the Parisian audience, it is no wonder that they took so little interest in the piece (though there were musical reasons for their indifference as well). *Mavra* was Stravinsky's first great public flop. Let this alone confound those who, in their ignorance, continue to claim that Stravinsky abandoned his earlier manner in an effort to keep up with Parisian chic. On the contrary: by continuing to turn out exotic "Negro" pieces, Stravinsky could have maintained a facile success with the Parisians indefinitely. His switch was an act of personal conviction that cost him heavily in the outward trappings of public esteem. Whatever we may now think of it, it was an act of courage.[280]

Thus a picture begins to emerge that the motives underlying Stravinsky's neoclassic and serial adoptions were far from the fashionable reasons generally accepted. Underlying both was an element of 'personal conviction' that would to some extent or another 'cost him heavily in the outward trappings of public esteem'. The manner of adopting these necromantic tastes, however, inevitably appeared '*chic*', simply because fashion was largely determined by Stravinsky's moves in both the French and American cultures he had made his own. Perhaps Stravinsky's necromancy was ultimately driven by an inner desire to bring back from obscurity styles which, though distant in historical epoch, contained a sense of nationalism he admired because it 'flows spontaneously from their very nature'. Such a commendation of nationalism perhaps could be nowhere more appropriately applied than the *Expressionist* works of the Second Viennese School. Nationalism, of course, was something from which Stravinsky was personally estranged as an eclectic, international composer with an ever present longing for a lost Russian identity which he knew he could never regain.

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[280] Taruskin, *Stravinsky and the Russian traditions*, 1537-8. The 'ignorant' commentator to whom Taruskin refers in his footnote is worth citing for the mistaken view that *Mavra*, rather than exhibiting necromantic tendencies, was an outright attempt to compose fashionably for his Parisian audience. Taruskin's footnote reads: 'E.g., Claudio Spies ("Conundrums, Conjectures, Construals," 134): "Once settled in France, he soon saw the futility and impracticality of continuing to produce compositions based on Russian texts or stories or folktunes, since these would have been bound to bear the stamp of mere exotic regionalism or quaint nationalism in a cultural milieu whose notion of *chic* had by then largely bypassed that trend." "Exotic regionalism" and "quaint neonationalism" were just what Stravinsky's Parisian admirers...wanted from him.'

Whatever the cause of the shift to serialism, it would extend a new lease of life to Stravinsky. Though it literally came at the twilight of his career, it represented the metaphorical dawn of a new compositional horizon through which his individual voice would speak. The tragedy of Stravinsky's aesthetic progress is that the courage to speak sincerely, with the facades removed, arrived towards the end of a monumental career and even then in a form which had become contemporaneously dead.

Section 3 – Serial Sincerity

Aesthetic Dialogue between Schoenberg and Webern

In *Stravinsky seen and heard*, Keller rationalises Stravinsky's final aesthetic shift as the result of creative mourning for Schoenberg's death. He goes beyond Druskin and Craft's discussion, however, in hypothesising that Stravinsky divided his outpourings between two second Viennese masters:

> By way of creative mourning, Stravinsky, who had always tended towards ambivalent identification, became aware of the concrete possibilities in Schoenberg's method and proceeded to incorporate it, insisting on getting Webern into the bargain. With the unerring certainty of genius, he split his mourning attitude between the two composers...and took from either what he needed, leaving the unrealistic aspects of Webern as well as the developmental and expressionist aspects of Schoenberg on one side.[281]

There is little original about this hypothesis; Stravinsky's insistence on 'getting Webern into the bargain' is evident in many Craft-Stravinsky collaborated dialogues and musical traits of both serial masters are readily inferred in Stravinsky's music. The alleged split in creative mourning, however, has its use for the semantic interpreter. It can readily be interpolated in the context of Stravinsky's cultural *Ur-code* opposition as an interpretative framework in which to decode his serialist ventures. Just as the earlier aesthetics semantically hinged on the opposition of mechanical-lyrical/human gestures, so too the serialist aesthetic encodes the same *Ur-code* opposition. The encryption manifests itself through the countervailing musical personalities of Webern and Schoenberg. The former represents the mechanical-formalist-suppressionist attitude to the row, the latter

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[281] Keller et al., *Stravinsky seen and heard*, 29.

represents an attitude of lyrical-voiced-expressionism. Although Keller is aware of this encoded opposition, he fails to draw any semantic inference, confining his observations to syntax, and allowing his prejudice of Webern (in deference to Schoenberg) to obscure the musical influence of the former. *Example 4-10*, therefore, recontextualizes and deconstructs Keller's account of Stravinsky's serial idols within the context of the interpolated cultural *Ur-code* operating throughout this thesis. The context places Stravinsky's serial aesthetic at the centre of a 'dialogue' between Webernian, 'mechanical', absence of voice and Schoenbergian, 'human', articulation of individual voice/personality. The opposition is based on Keller's distinction of 'abstract' and 'sub-thematic' articulations of the row, as he perceives them in Webern and Schoenberg respectively. The former is adjudged devoid of melodic significance within the context of a 'non-audible row' on the basis that Webern's series are deduced and deployed according to the primacy of their structural functionality. Keller does not so much regard Webern's thematic/musical identity to be suppressed by the formal attributes of the row, so much as he regards his attitude towards the inherent musicality of the row as purely 'ambivalent'. In other words, the mechanical properties of the row–as–structure, are prioritised over the human qualities of *musizierreihen*, or the row–as–'sounding sense' (to use Keller's awkward descriptive). *Musizierreihen* is associated with Schoenberg's attitude to the rows as 'abstracted from a melodic idea'. Such rows are deemed 'audible' through their inherent musicality of construction. Keller suggests that these rows retain their quality of musical voice over the structural contrivance of a Webernian abstract row, regardless of whether they are 'divested of rhythm' or 'endowed with new rhythm'. In other words, the inherent 'thematic character' of the row, and not its structural properties are affirmed. In short, then, where Webern prioritises the row–as–structure, Schoenberg prioritises the row–as–voice. (See *Example 4-10*, below)

In his zealous campaign to promote Stravinsky as a 'Schönbergian',[282] Keller, attributes little musical influence to Webern who he regards more as the publicly promulgated side of Stravinsky's schizophrenic creative mourning. 'Whereas, especially in the early stages, Stravinsky's serial ventures were stressedly

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[282] See Hans Keller, "First Performances: Schönberg and Stravinsky: Schönbergians and Stravinskyians," *Music Review* XV (1954): 307-10.

Schoenbergian in technical approach, his public utterances almost throughout exalted Webern at the expense of Schoenberg, the implication being that he actually 'had it' from Webern, the real father of the future.'[283] The lack of any compelling analytical evidence of *musizierreihen* in Keller's predominantly structural observations,[284] however, places too much dependency for his own argument on Stravinsky's public utterances, most notably the dubious repudiation of 'purely serial ideas' in *Memories and commentaries* (see *footnote 287*). This mysterious quality of *musizierreihen*—precisely the type of concept through which Stravinsky's other-voicedness could yield to sincerity—remains analytically unfounded and semantically redundant in Keller's discussion. Despite this his conclusions appear intuitively correct, syntactically endorsed and sympathetic to the semantic framework of serial sincerity proposed in this thesis.

Keller's shortcomings are mitigated somewhat by his awareness of the elusive nature of *musizierreihen* and the semantic problem it poses: 'once that inescapable control which is the character of Stravinsky's message, or anti-message, has been traced in concrete, analytic detail, our unanswered question [what does Stravinsky's music convey?] will have been fully answered.'[285] 'That' question, of course, will remain unanswered for sometime to come but substituting 'what', for 'how', legitimately redefines the question to one of identifying the analytical framework in which the mechanism of semantic conveyance might be decoded. This is precisely what I have purported to do for the cubist and neoclassic aesthetics in the previous chapters. The ensuing evaluation of *In Memoriam Dylan Thomas*, therefore attempts to make prospective inroads towards answering the *Ur-question* of this thesis for the serial aesthetic. In so doing one must make the leap from a semantic mechanism founded on *subversion* or *deviation*, to one based on *sincerity*. To return to Cone's epigraph to chapter one, one must seek a semiotically informed semantic mechanism for an aesthetic which appears no longer to exploit 'the interplay of the anticipated and the actual'.[286]

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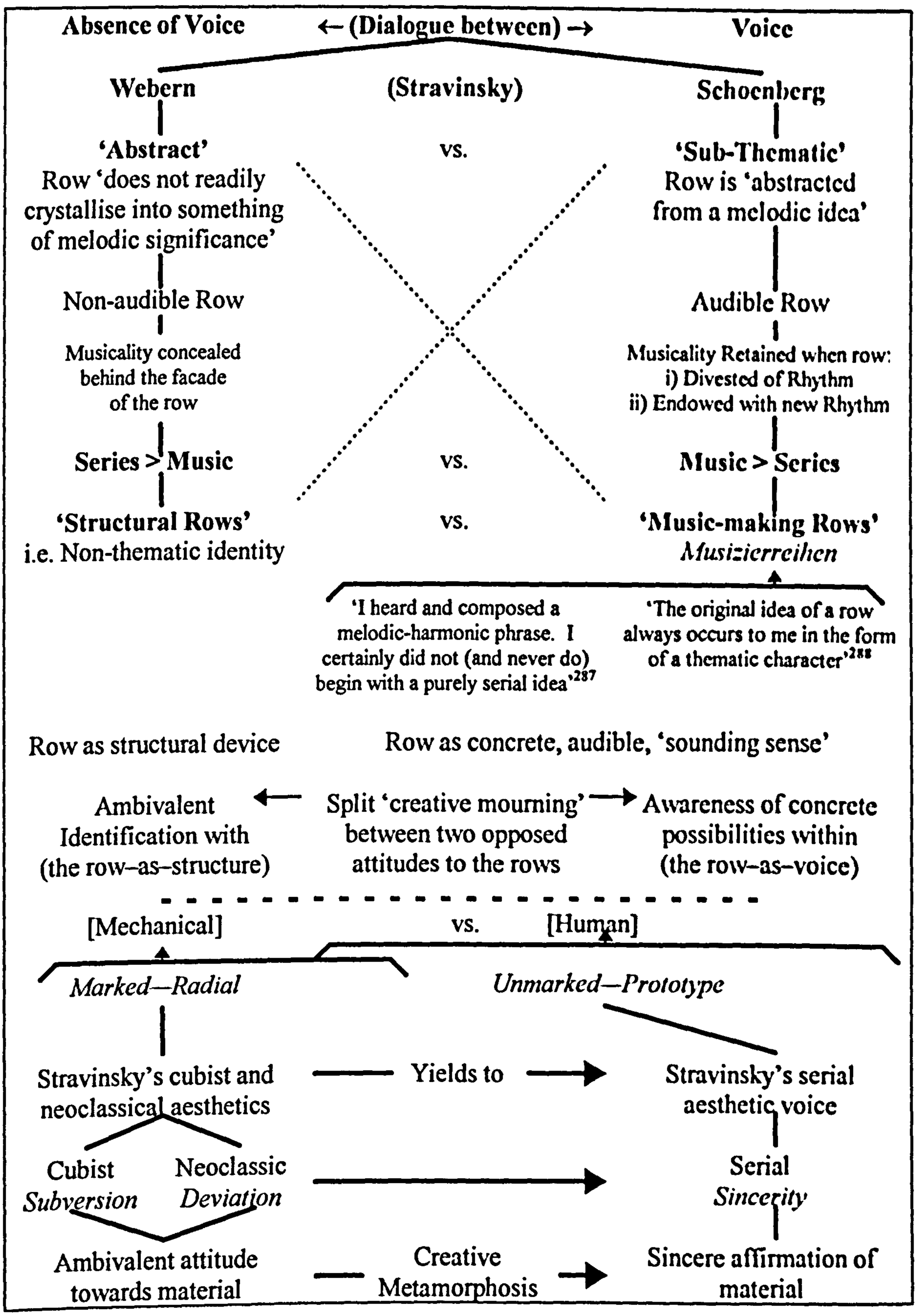
[283] Keller et al, *Stravinsky seen and heard*, 14.

[284] Hans Keller, "*In Memoriam Dylan Thomas*: Strawinsky's Schoenbergian technique," *Tempo* 35 (1955): 13-20, cited in full in Keller et al., *Stravinsky seen and heard*, 14-23.

[285] Ibid., 56.

[286] Cone, "The uses of convention," 25.



Example 4-10: Deconstructing Keller's Account of Stravinsky's Serial Metamorphosis.

[287] Stravinsky et al., *Memories and commentaries*, cited Keller et al., *Stravinsky seen and heard*, 28.

[288] Schoenberg's letter to Rufer; quoted in Josef Rufer, *Composition with twelve notes* (London: Barrie & Jenkins, 1970), cited Keller et al, *Stravinsky seen and heard* 28.

Reversing Markedness Reversal and Prototypical Play

My interpolations, below the dotted line of *Example 4-10*, outline the hypothesis of serial sincerity. This demonstrates that the seemingly 'mechanical'/structural approach of Webern becomes '*marked* in relation to', or 'a *radial* deviation from', the 'human'/*musizierreihen* perception of Schoenberg, which functions as the countervailing *unmarked prototypical* norm of Stravinsky's discourse. The aesthetic progress to serial sincerity, therefore, instigates a reversal of the interpretative frameworks governing the cubist and neoclassic aesthetics. In other words, the mechanical–human opposition now exhibits reversed markedness ratings. This is projected in *Example 4-10* by aligning the human/musical 'voice' of Stravinsky's serial music with the *unmarked* syntactic norm. Previously this represented the semantic challenge, of a work like *Excentrique*; something which had to be uncovered in the interpretative process of mediating syntactic subversion. Conversely, the mechanical gestures which previously formed the subversive syntactic norm, become in the serial aesthetic, *marked* or radial in relation to a syntactic framework in which sincerity has replaced deviation.

The implication of this is to claim that Stravinsky 'reverses' the *markedness reversal* of his cubist aesthetic, and the *prototypical play* of his neoclassic aesthetic (established in chapters two and three respectively). The resulting serial *sincerity* can be understood as an aesthetic twist in which unmarked prototypical discourse replaces marked/radial deviance as the syntactic foreground from which one decodes semantic interpretation. Gone is the 'sadomasochistic' subverting and deviating syntax which previously masked Stravinsky's 'voice'. In its place is a sincere syntax through which his 'voice' can speak directly. If there remains any encoded opposition in Stravinsky's serial aesthetic, as I contend, then this opposition no longer resides between *deviant* and *normal* syntax but between the language styles of Webernian *formalism* and Schoenbergian *musicality*. If, as Keller advocates, Adorno 'modeled Stravinsky into a death-mask of the past',[289] it was a mask readily discarded.

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[289] Keller, "First Performances," 307. (The death-mask metaphor is Keller's not Adorno's.)

Aesthetic Dialogue between Sincerity and Subversion

Analysis: In Memoriam Dylan Thomas

To uncover the semantic framework for *In Memoriam Dylan Thomas*, as representative of the serial aesthetic, some 'structuralist' analytic unpacking is first required to engage with the syntax of the work. The structural properties of Stravinsky's five-note row encode its manifest tonal possibilities. These are summarised in *Example 4-11*. The Prime is constructed from an 0,1,2,3,4 pitch class. (Forte[290] calls this set 5-1 but I will refer to pitch classes by their interval properties in preference to their set names, for two reasons. First, this better elucidates the *expanding* and *contracting* processes, operating in the work, and second, since the row is comprised entirely of semitones, one might question the utility of Forte's terminology, which tends to obscure, rather than uncover pitch relations in such a rigid series.) The row occurs within the markedly 'tonal' ambit of E descending to C. This is filled, tonally by the D and chromatically with Eb and Db. In essence it is a major third filled to saturation with semitones. Stravinsky employs all four transformations of the row—prime, inversion, retrograde and retrograde inversion—at various transpositional levels, assuming octave equivalence. The linear motion of each row form can be categorised according to its two most salient properties: the initial interval (up or down a semitone), and/or its overall motion (up or down a tone). This suggests two types of pairings: i. P/RI descend a tone, complementing the ascending tone motion of I/R, and ii. P/R initially fall a semitone, complementing the initial ascent of I/RI.

	Row Content	**Row Motion**	**Initial Interval**
Prime	E-Eb-C-Db-D	↓ Tone	↓ Semitone
Inversion	E-F-Ab-G-Gb	↑ Tone	↑ Semitone
Retrograde	D-Db-C-Eb-E	↑ Tone	↓ Semitone
Retro. Inv.	D-Eb-E-Db-C	↓ Tone	↑ Semitone
Pitch Content	(0,1,2,3,4)		
Set Name	5-1		
Interval Vector	[432100]		
Characteristic	Major third filled tonally and chromatically		

Example 4-11: Structural Properties of In Memoriam Dylan Thomas Row

[290] Forte, *The structure of atonal music*, 179.

Through these pairings the linear contour of individual paradigms, and movements, can be discerned in terms of ascending or descending rows. This would be of passing statistical interest were it not for the precision with which Stravinsky balances the linear row contours of each movement in the overall work. The contour of the Prelude is one of descending row motion by a ratio of 0.7. This is counter-balanced by the ensuing Song's ascending motion by the near-identical ratio of '0.769'. The opposition—one might say, 'deadlock' (by virtue of the ratio similarity)—of descending and ascending contours is mediated by the perfectly balanced row motion of the Postlude, containing seven ascending and seven descending rows (see *Example 4-12*).[291]

Section:	General Contour	Distribution of Contour-Paired Rows	Ratio of General Contour
Prelude	Descending	20↓ P/RI : 14↑ I/R	Ratio: 0.7
Song	Ascending	30↓ P/RI : 39↑ I/R	Ratio: 0.769
Postlude	Equilibrium	07↓ P/RI : 07↑ I/R	Ratio: 1

Example 4-12: Ratios of Ascending and Descending Row Motion for Movements

The ratios indicate that *In Memoriam Dylan Thomas* should be considered as a work of three sections, rather than a Song framed by two instrumental, mechanical appendages, as Stravinsky's compositional chronology suggests: 'Having thus composed the Song, I decided to add a purely instrumental prelude and postlude (called Dirge-Canons) which are antiphonal canons between a quartet of trombones and the string quartet.'[292] To exclude these frames from any consideration of the Song is to miss the overall syntactic and—as will become evident—semantic picture.

This semantic picture hinges on the analysis represented in the graph of *Example 4-13*. This highlights the tonal-serial procedures by which these relationships are encoded. As with *The Rake's Progress*, the graphing conventions will require a little explanation to avoid confusion with more rigorous Schenkerian procedures.

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291 These ratios are calculated according to the ratio between the number of occurrences of the prime and retrograde inversion and the number of inversion and retrograde of the series employed by the Prelude, Song and Postlude. There is a precedent for such precision of ratios governing sectional landmarks in Stravinsky. Notably it is one which purports an increasing level of precision for the later 'serial' works. This can be found in Kramer, *The time of music*, 286-321. Although Kramer's arguments are concerned with the proportions of chronological durations, the analogy is evidence that such 'control' of proportional linear relations (be it conscious or not) is not only precedented, but decidedly marked in Stravinsky's later works.

292 Igor Stravinsky, *In memoriam Dylan Thomas: dirge-canons and song*, Hawkes pocket scores No.688 ed. (New York: Boosey & Hawkes, Inc., 1954), Manuscript Score, 2.

The score highlights the serial structures according to established notation conventions: the letters (P, I, R, RI) demarcate Prime, Inversion, Retrograde and Retrograde Inversion; their hyphenated numbers outline the transposition level.[293] The two staves immediately above the score comprise quasi-Schenkerian notation highlighting the inferred tonal implications resulting from the vertical coincidence of rows. In places enharmonic equivalents[294] are used in the graphic notation to facilitate correspondence with the roman numerals, in other places the actual notated pitches are preserved to facilitate correspondence with the score.[295] The remaining adopted Schenkerian conventions of tonal articulation and diminution are self-evident. Three principal strategies govern the reductive analytical process: i) highlighting prioritised sonorities (spelt out by their pitch class numbers); ii) highlighting prominent tonal features; and iii) constructing a linear narrative from the interaction of i and ii. The salient features facilitating these analytical decisions are based on numerous gestural devices which can be semiotically inferred from the score. Prominence is signalled by various devices: occurrence at structural landmarks (i.e. the beginning and end of poetic periods/phrases/vertically coinciding rows/cadential articulation), processes of repetition, textural/timbral associations, and duration/rhythmic articulation of individual notes comprising sonorities or tonal articulations. In places, seemingly 'alien' notes are accorded a 'functional' status, comparable to tonal articulation because they constitute a referential sonority. For example the prominent sonority of 0,2,4 on the notes C–D–E, constitutes a 0,2,4 sonority with connotations of C major, although it is primarily salient as a sonorous, rather than tonal, unit. This is reflected in the graphing conventions by according the D the functional status of an unfilled or

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[293] Every unit represents a semitone above the original pitch, E for Prime and Inversions, or a semitone below the original pitch D for Retrograde and Retrograde inversions, an ambiguity resulting from a five note row in place of the traditional twelve note row. For clarity in the graph, repeated paradigms i.e. the String and 'Rage' refrains of the Song are labelled only at their first occurrence. Similarly row labels are assigned only to the Prelude, as the Postlude is an exact serial repetition, albeit with different orchestration.

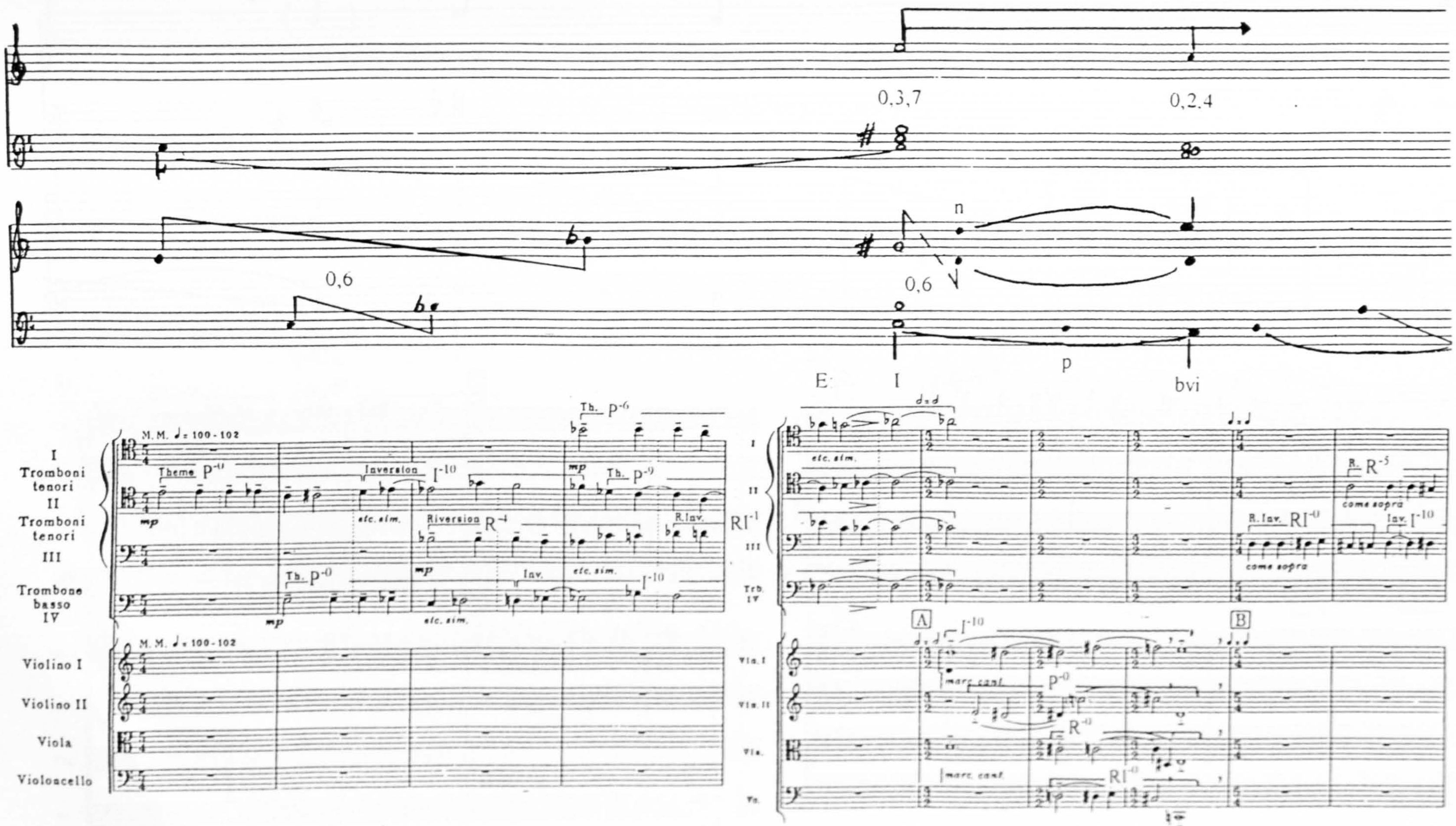
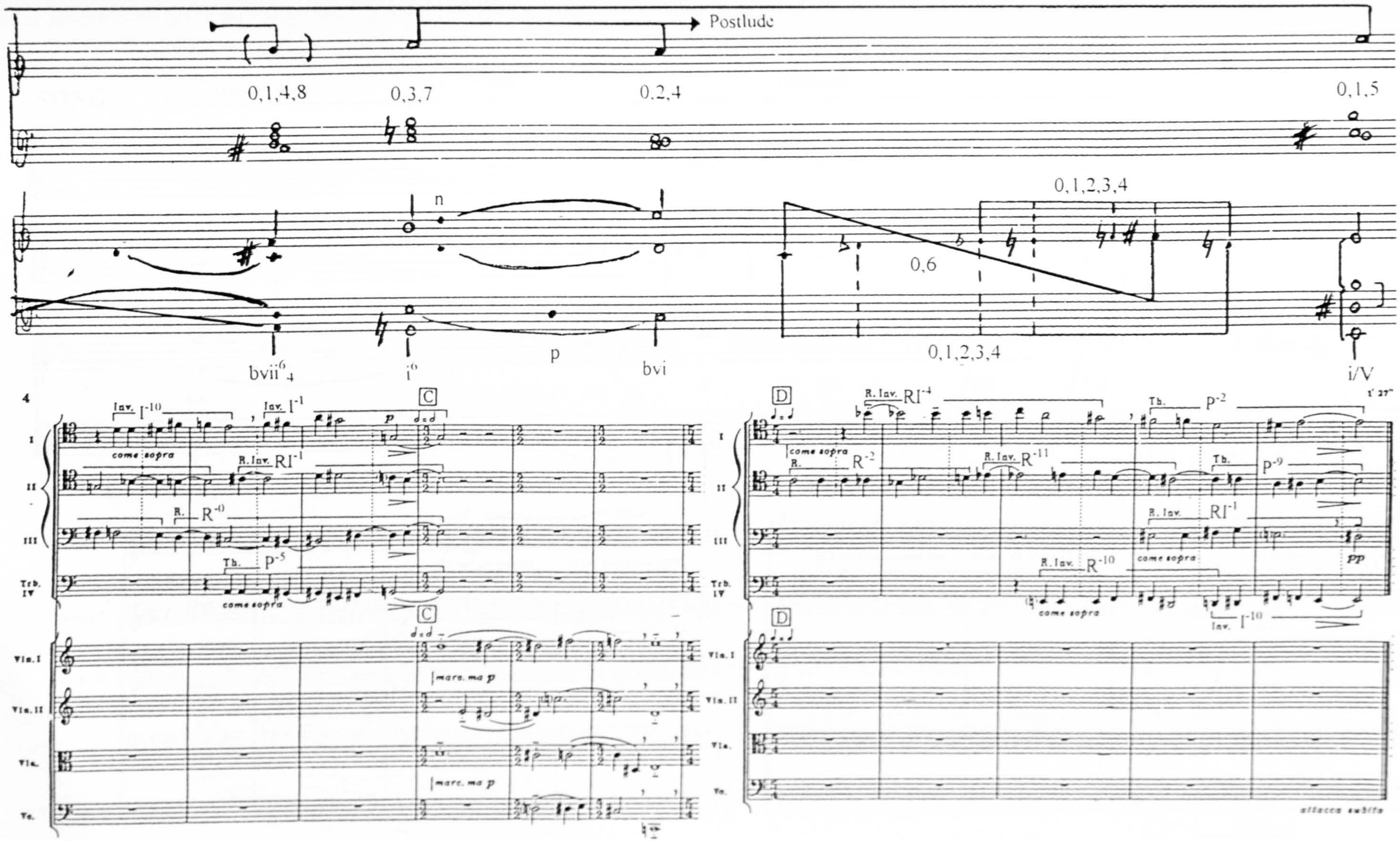
[294] String players, in particular, will raise the objection that enharmonic equivalents would not be reflected in the non-equal temperament of a stringed instrument. This should not detract from the harmonic inferences drawn, however, and neither should it detract from one's knowledge of Stravinsky's well known practice of composing at the piano. Stravinsky's harmonic thinking inevitably flows from polyphonic coincidence and few of his works make for poor piano reductions because of the creative immediacy of their pianistic inceptions. There is plenty of evidence of enharmonic spellings of significant complexes in more overtly tonal works to mitigate enharmonic equivalence in the present work.

[295] In such cases, the pitches exhibit an enharmonic relation to the underlying roman numeral analysis. For example in the Song at *Figure 3*, a Db major chord is spelt out in the middle ground notation but is labelled VI in E, highlighting the fact that it functions as a C# major chord in the context of the tonic key, E.

stemmed note in preference to reducing the note out of the analytical process. In this respect the graphing conventions interanimate serially-informed sonorities with tonality in a manner commensurate with that operating throughout the music of *In Memoriam Dylan Thomas*.

The upper two staves of *Example 4-13* outline two tonal/serial processes governing the work. These are defined by pitch class sonority (drafted on the upper bass stave) and tonal interaction (drafted on the upper soprano stave). In places the upper stave incorporates a projected row which is spelt out in the tonal activity. The most marked example occurs at the 'Rage...' interjections where the vertical harmony spells out Eb unison, C perfect fifth, Db major, D minor and E perfect fifth (P^{-0} cycling from the second note back to the 'tonic' first note). In such instances, the 'rows' are always beamed below the upper stave whereas the tonal projections are beamed above the stave.

As with *The Rake's Progress* analysis, the multiple page layout of the graphs, obscures these linear processes which are, therefore, clarified (as above) à la Schachter, in the summary graphs of *Example 4-15* and *Example 4-17*. The former corresponds to long range psychological/tonal models, discussed below. The latter corresponds to processes of *expansion*, *contraction* and *return*, discussed below and summarised in *Example 4-14*.

DIRGE-CANON: **Prelude**

Example 4-13: Expansion, Contraction and Return in In Memoriam Dylan Thomas

Example 4-13: Expansion, Contraction and Return in In Memoriam Dylan Thomas (cont.)

SONG

Expansion 1a

Dilution

p

0,2,5

0,4

0,7

p^{-0}

b3

b3 b3

3

|C: ii^6_4

(p)

I^6_4|

3

b3

E: v/I^6_4

(un)

iv I^6

$\#VI^6_4$

VI

$\#v^6_4$

VII

bvi

VI

#vi

Tenore

Violino I

Violino II

Viola

Violoncello

dolce

I^{-6}

Do not go gen-tle in-to that good night,

R^{-0}

sul G

M.M. ♪ = 40

P^{-0}

dolce

P^{-9}

I^{-10}

dolce

I^{-7}

pizz.

P^{-9}

RI^{-4}

Ten.

Vln. I

Vln. II

Vla.

Vc.

Old age should burn and rave at close of day;

Rage, rage a - gainst the dy

RI^{-0}

I^{-11}

R^{-0}

1

P^{-5}

pizz.

arco

RI^{-7}

arco

RI^{-1}

P^{-11}

Example 4-13: Expansion, Contraction and Return in In Memoriam Dylan Thomas (cont.)

Expansion *Return (1a)*

P^{-0} 0,1,6/0,1,7

2 b2

#V v/I$^6_4$ V/I$^6_4$ (ln) (v) iv^6 VII (p) VI (ln) vii^6

Ten. - log of the light.... Though wise men

Vln.I dolce

Vln.II dolce

Vla.

Vc.

Ten. at their end know dark is..... light, Be-cause their words had forked no light-ning

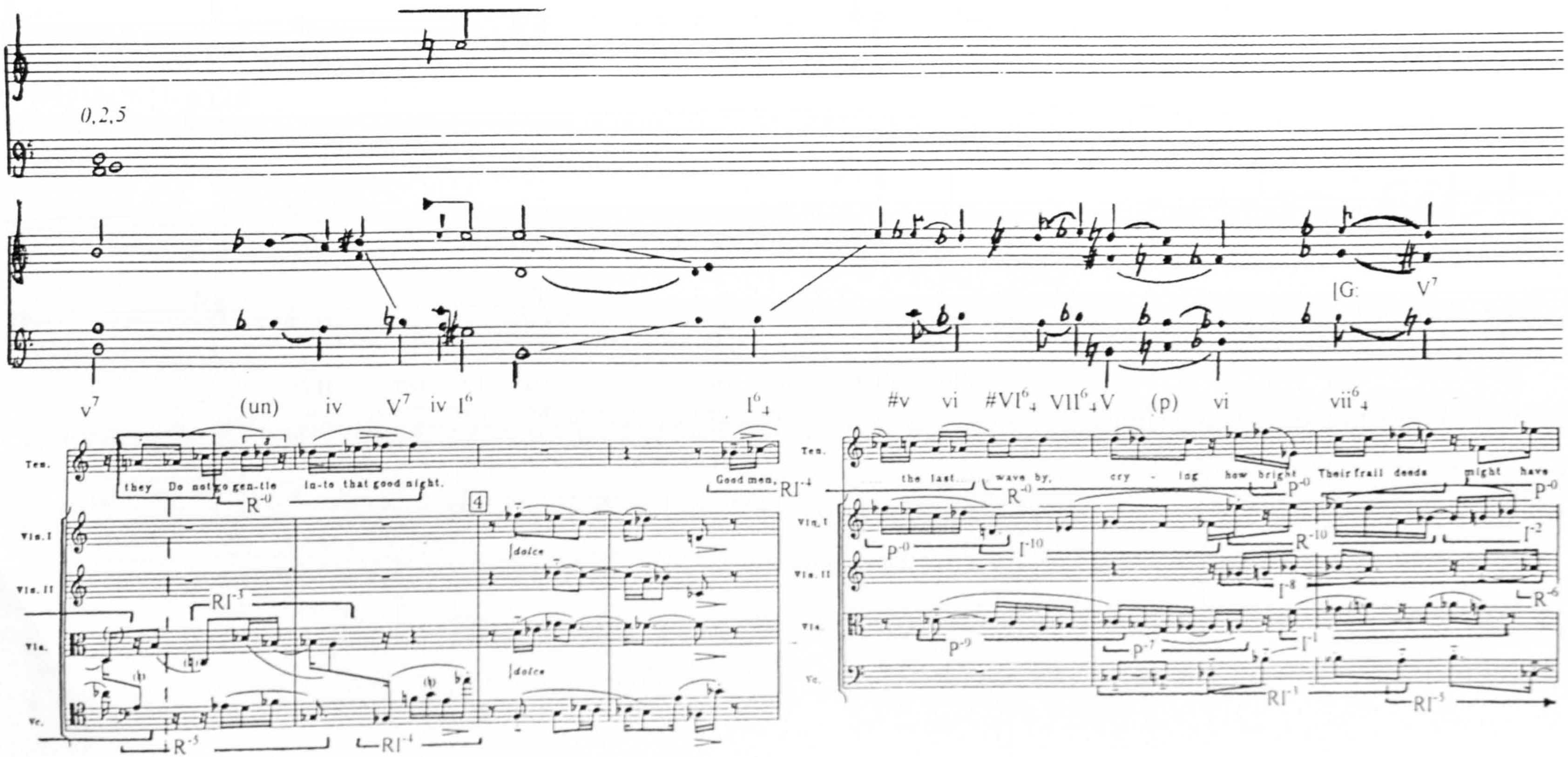
Vln.I

Vln.II

Vla.

Vc.

Example 4-13: Expansion, Contraction and Return in In Memoriam Dylan Thomas (cont.)

Expansion (2a)

Example 4-13: Expansion, Contraction and Return in In Memoriam Dylan Thomas (cont.)

Expansion (2b)
Concentration
V (of C)
Postlude End
(0.3–0.4–0.7)
0.1.4.8
i[0]
|Eb: I[6] VI[6] iii[6]4 I[6]4|
VII bvi VI #vi #v v/I[6]4 v/I[6]4 biii[6]4 VII
Ten.
danced in a green bay, Rage, rage a - gainst the dy - - ing of the light....
Wild men who caught and sang the sun in flight, And
Vln. I
Vln. II
Vla.
Vc.
meno f
pizz.
arco
dolce
sempre ben marc.
5
6

Example 4-13: Expansion, Contraction and Return in In Memoriam Dylan Thomas (cont.)

Contraction *Subdominant Shift*

0,3,7

biii^6 bv^6 vi$^6_4$ iv V$^6_4$] [A:V i i v^6 ii]

ii^6 iv^6 bv$^6_4$ I iv (un) iv I^6 v/I$^6_4$ (un) II^6 VI$^6_4$ I$^6_4$ V^9

Ten. learn, too late, they grieved.... it on its way, Do not go gen-tle in-to that good night. Grave men, near death, who see with blind-ing sight Blind

Vln. I

Vln. II

Vla.

Vc.

arco dolce

P^{-0} RI^{-10} P^{-7} RI^{-2} I^{-6} R^{-0} RI^{-4} I^{-6} I^{-1} I^{-3} I^{-8} R^{-11} I^{-6}

Example 4-13: Expansion, Contraction and Return in In Memoriam Dylan Thomas (cont.)

Contraction (1a)

0,1,5

P^{-0}

[Eb: V^6 I

IV^6 VI #V I^6 bv VII VI #vi #v v/I^6_4 v/I^6_4 bv

Ten.

eyes could blaze like me-te-ors and... be gay, Rage, rage a - gainst the dy - ing of the light— And you, my fa-ther, there on the sad height, Curse bless, me now with

Vln. I

Vln. II

Vla.

Vc.

P^{-1} P^{-2} R^{-4} I^{-8} I^{-7} P^{-0} P^{-9} I^{-10} P^{-7}

9 10

mano f dolce

pizz. arco

Example 4-13: Expansion, Contraction and Return in In Memoriam Dylan Thomas (cont.)

Contraction (2a)

(1a) Return (1b)

0,1,5 0,4 P-0 0,1,6 0,2,5

V6 IV6 I

I6 bVII IV (un) iv I6 bvi

Ten. your fierce tears, I pray. Do not go gen-tle in-to that good night. Rage,

R-11 I-6 R-0 I1

Vln. I

Vln. II

Vla. pizz.

Vc. RI-10 RI-4

Ten. rage a-gainst the dy-ing of the light.

mano f 4'30"

Vln. I p cant.

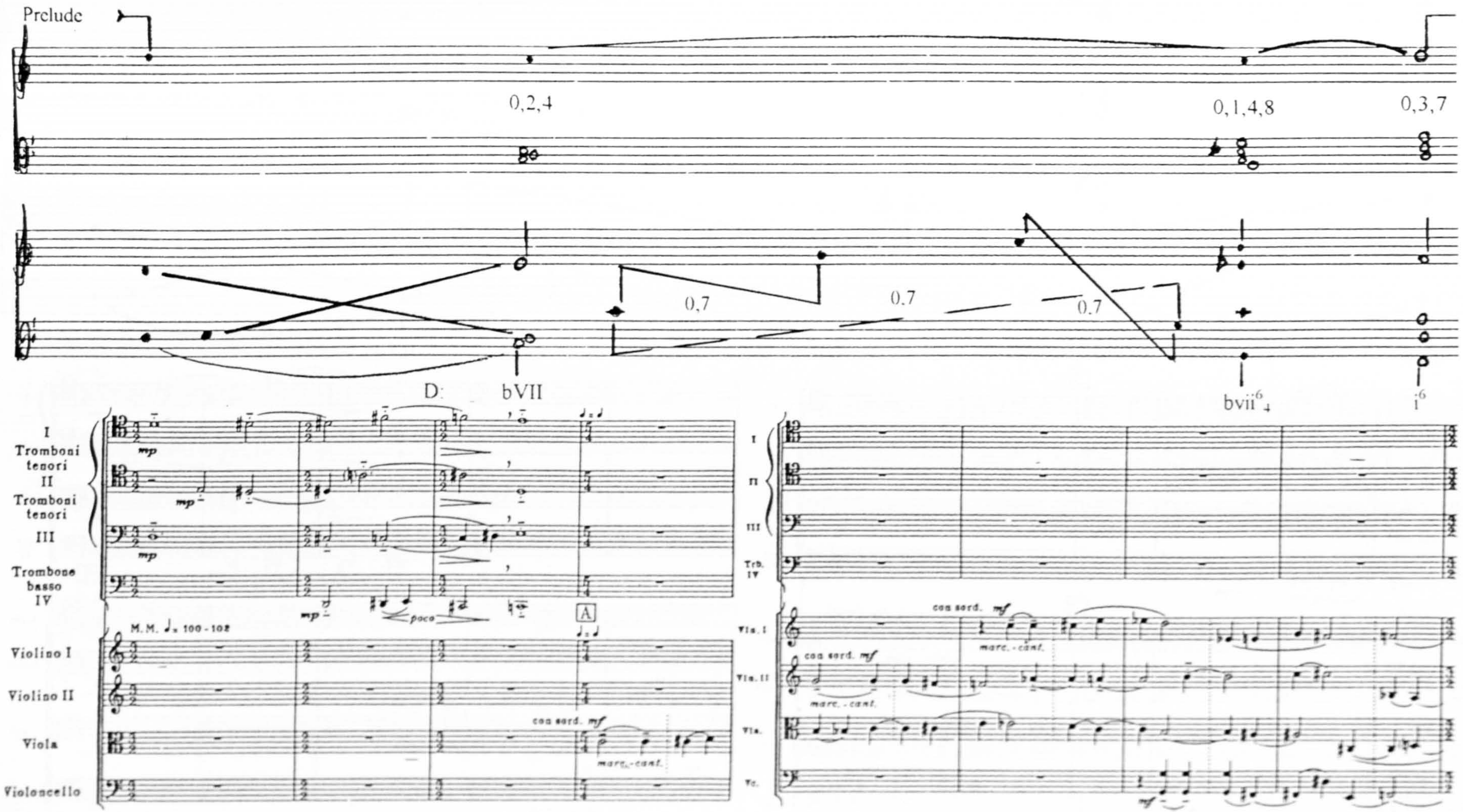
Vln. II p cant.

Vla. arco mano f

Vc. pizz. arco mano f

Example 4-13: Expansion, Contraction and Return in In Memoriam Dylan Thomas (cont.)

DIRGE-CANON: Postlude



Example 4-13: Expansion, Contraction and Return in In Memoriam Dylan Thomas (cont.)

Song fig. 5

I (of C)

0,2,4

0,3,7

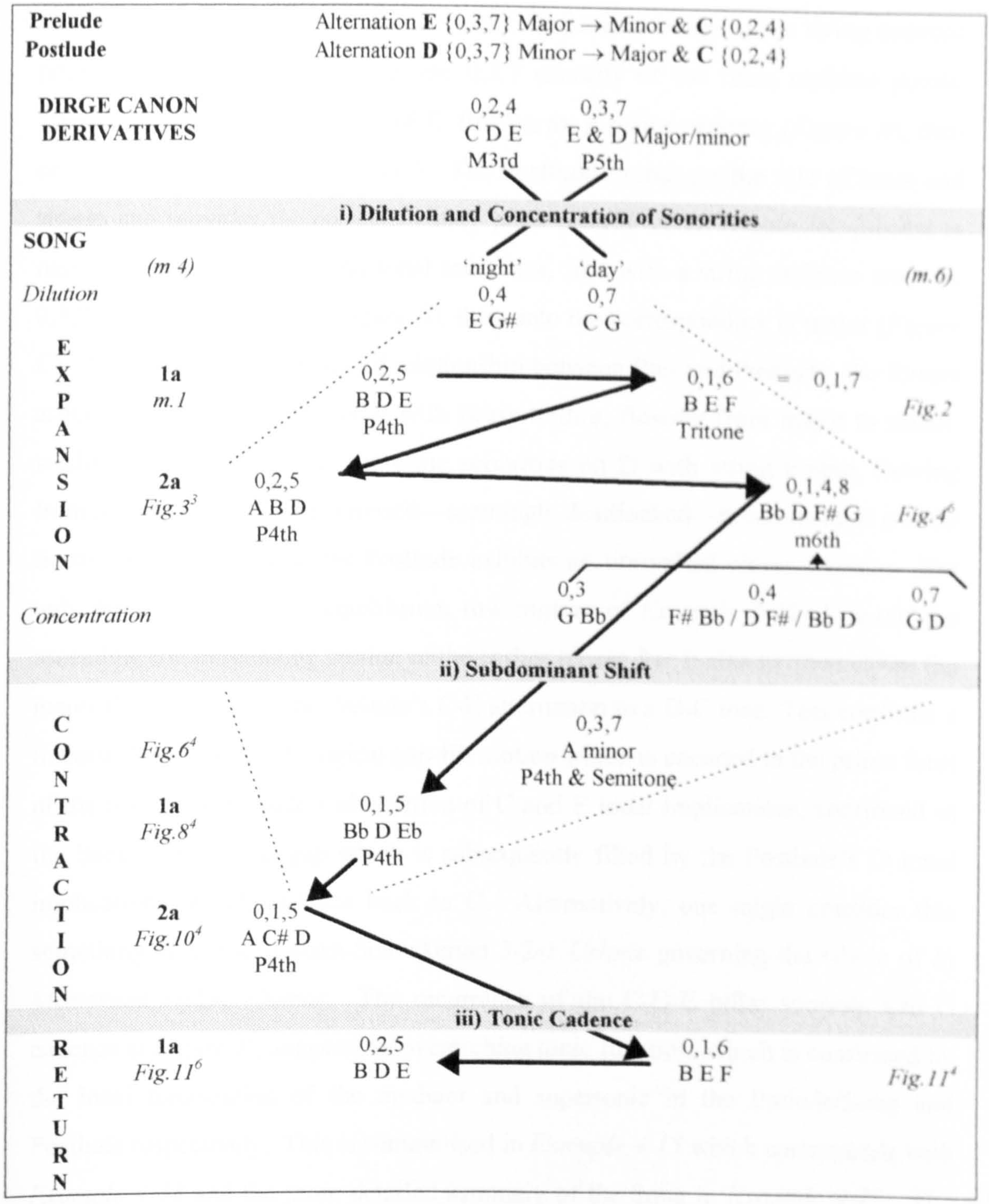
0,6

bVII

I

bVII

Example 4-13: Expansion, Contraction and Return in In Memoriam Dylan Thomas (cont.)



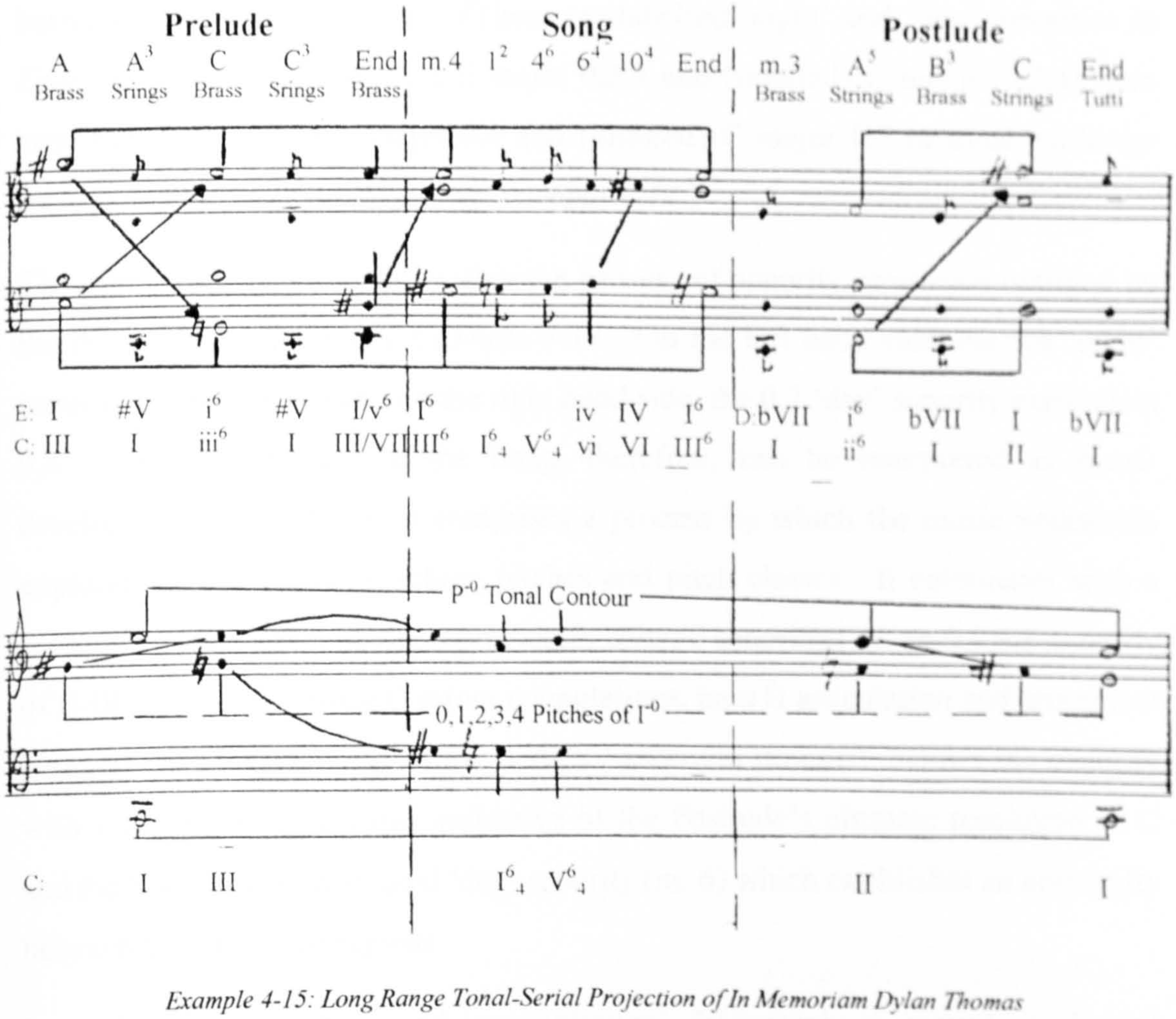
Example 4-14: Summary of Expansion, Contraction and Return in In Memoriam Dylan Thomas

Dirge Canons

The Dirge-Canons not only outline the linear contour of ascending, descending and equilibrium row contours, outlined above, but also play a vital role in the long range 'tonal' narrative: a descent from E to C through the principal tones of the row in prime form. Song and Canons alike draw on the 0,2,4 sonority, inferred from the E-D-C tone contour (a dirty C major sonority) of the Prime form. Vertically and horizontally, these three notes operate as a structural 'pillar' sonority: a kind of

serial-tonal *Ursatz*. The Prelude alternates the pillar sonority of the string cadence points (*Figures* A^3 and C^3) with the 0,3,7 sonority of the brass cadence points. These articulate a pitch priority of E, first on an E major cadence (*Figure A*), then on an E minor cadence (*Figure C*). The Postlude exchanges the role of brass and strings and provides the complementary pitch priority of D. Again the process is one of alternating 'pillar' and tonal sonorities, first with a string cadence onto the 0,3,7 sonority of D minor (*Figure B*), then onto the corresponding D major (*Figure C*). This spells out a dialogized relationship between Pre- and Postlude; the former articulates 0,3,7 sonorities of E with Brass timbre, flowing from major to minor, whilst the latter articulates the same sonorities on D with string timbre, flowing from minor to major. The opposed—seemingly deadlocked—relationship is overtly linear, however, because the Postlude exhibits an unrivalled closural status. Not only does the Postlude's equilibrium row motion of *Example 4-12* close-out the ascending and descending motion of the earlier pieces, but it also narrows-down the major third interval of the Prelude's C-E alternation to a D-C tone. This confirms a linearity by a neat psychological gap-fill motion which is encoded in the prime form of the row. The Prelude's alternation of C and E tonal implications, continued in the Song, outlines the gap which is subsequently filled by the Postlude's D tonal implications, which cadence back to C. Alternatively, one might consider this something of a macro quasi-Schenkerian 3-2-1 *Urlinie* governing the whole of *In Memoriam Dylan Thomas*. The recurrence of the C-D-E pillar sonority and C cadence at *Figure* 1^2, suggests an overarching tonic function. which is confirmed by the local tonicization of the mediant and supertonic in the Prelude/Song and Postlude respectively. This is summarised in *Example 4-15* which corresponds with *Example 4-13* and the more detailed summary of the Song in *Example 4-17*. The upper staves highlight the alternation of E and D tonal regions with C, hence the dual roman numerals. Structural prominence is accorded to the local tonic definitions of E and D (both stated in major and minor triads, marked by voice exchanges or registral transfers). The overarching tonic implications of C are given quaver stems on the upper staves, indicative of their displacement in these alien tonicized regions. The structural prominence is reversed on the lower staves (contrary to Schenkerian practice) to recontextualize the work as a linear descent in

C: a tonal contour outlined in the prime form of the row; this is complemented by the pitches of the prime inversion which articulate the major-minor implications.



Example 4-15: Long Range Tonal-Serial Projection of In Memoriam Dylan Thomas

Whether inferred as a (C-E, D-C) gap-fill model or an *Urlinie* descent, undoubtedly there are long range psychological and tonal linear narrative implications, which are encoded in the micro level, prime form of the row. The Postlude's closural signs are also embodied in the prime form of the row; the contour E-Eb-C-Db-D outlines a major third descent from E to C before rising the tone to close on D. It is a natural association, therefore,—whether based on serial or tonal rationales—to infer the Postlude's C-D alternations as closural in relation to the Prelude's E-C alternations.

Song

The Song relates itself to these outer frames by the tonal regions of E and C, established in the Prelude and the underlying sonorities of both Pre- and Postlude. The 0,3,7 and 0,2,4 sonorities are *diluted* to 0,7 and 0,4 and their tonal associations from the Prelude are *exchanged*. 0,4 is articulated by an E-G# dyad which closes

the frequently repeated phrase: 'Do not go gentle into that good night'. 0,7 is articulated by a C-G dyad, cadencing its complementary phrase 'Old age should burn and rave at close of day'. (These are labelled 'night' and 'day' sonorities in *Example 4-14*). The Prelude's E major 0,3,7 and (implied) C major (0,2,4) have been transformed into E major 0,4 and (implied) C major 0,7 (a tonal *exchange* represented by the crossed lines of *Example 4-14*.)

The exchanged sonorities fall within the process of sonority *expansion* outlined by the diagonal dotted lines of *Example 4-14*. On the left hand side, the 0,4 'night' sonority expands to 0,5 and on the right hand side, the 0,7 'day' sonority expands to 0,8. This first process of the Song, therefore, can be interpreted as quasi-developmental in so far as it comprises a process by which the music widens its explorations into further-reaching pitches and pitch classes. It culminates with a sense of *concentration* of these previously *diluted* sonorities on an 0,1,4,8 sonority of G-Bb-D-F#. The strong G minor connotations, bass G articulation and prominent structural location (the end of the Song's *Expansion* process) endows the sonority with a quasi-dominant status indicative of the Postlude's ultimate resolution to C and the Song's opening diluted 'day' sonority (m. 6) which establishes an ambiguity between C and E tonal regions.

I use the terms 'dilution' and 'concentration' deliberately to connote a 'liquid' vocabulary to reflect the inherent lyricism of Stravinsky's serial aesthetic. This relates back to the semantic framework employed for *Excentrique* in which the mechanical overtones of overt diachronic and synchronic syntactic subversion mask the inner voice of the *liquid* theme. In contrast, the Song of *In Memoriam Dylan Thomas*, does not conceal, but overtly displays, the same liquid characteristics of *Excentrique*'s inner theme. It is natural, therefore, to reflect this within the terminology of the semantic framework. Another factor supporting this contrast is reflected in the generic contrast of Stravinsky's cubist and serialist works. The former embodies predominantly extroverted gestural/mechanical genres like ballet, dramatic curios or pianola works (e.g. *The Wedding*, *Renard* or *The Soldier's Tale or* Study for Pianola), whereas the latter embodies predominantly lyrical (verbal rather than gestural) genres which tend to be less corporeal, than spiritual (i.e. Mass, Cantata, *Canticum Sacrum*, his most extensive collections of songs and the

profoundly personal/lyrical string quartets of the serial period stand in marked opposition to the earlier, gesturally prominent works: something which is borne out by the sheer number of cubist and neoclassic works which are either authentic ballets or supposedly abstract works which subsequently attracted the 'eyes'—as much as the 'ears'—of later choreographers). *Agon*, of course, is the exception to this gestural-aesthetic relationship.

The linear unfolding of the expansions outlined above is represented by the zigzag arrow of *Example 4-14*. This highlights the centrifugal process involved in the expansion of pitches assigned to these sonorities. The original C-D-E tonal ambit of the pillar sonority expands outwards: the C progresses through B to A whilst the E progresses in the opposite direction through F to G. This process is highlighted in *Example 4-16*.

Pillar [024]			C ↙	D	E		
↓ Semitone [025]		B		D	E ↘		
		B			E	F	↑ Semitone [016]
	↙					↘	
↓ Tone [025]	A	B	D				
	Bb		D			F# G	↑ Tone [0148]

Example 4-16: Centrifugal Axis of Expansion: In Memoriam Dylan Thomas' Song

The narrower sonorities of 0,1,5 and 0,3,7 in the ensuing *contraction* section (see *Example 4-11*) signals a closural intention, endorsed by a quasi-subdominant shift to A minor sonorities. This reminds one that within the framing process of the E-D-C linear process, the Song is firmly rooted in the Prelude's tonic of E, despite any overarching quasi-dominant functions it's 0,1,4,8 sonority may have harboured. The cadential properties of that quasi-subdominant have already been prepared in the repetitive phrase, 'Do not go gentle into that good night', which four times closes on a 'plagal' cadence—A minor sonorities resolving to the tonic E major first inversion (*Example 4-13*, *Figures* 1^{-1}, 4^{1}, 7^{2} and *11*)—it is another diminution of the macro level tonal progression, indicative of Stravinsky's conformance to a plagal cadence model. The final process of *Return* reverses the linear process of 0,1,6 and 0,2,5 sonorities which both embody the E–B dyad; a form of quasi-tonic

definition. These processes, outlined in *Example 4-13*, are summarised in *Example 4-17*. The lower stave comprises a reduction of the upper to clarify the quasi-subdominant shift of the *contraction* section and the interanimation of E major and C tonal implications which are spelt out by the 'diluted' sonorities (0,4 and 0,7) and the 'concentrated' sonority (0,1,4,8). (N.B. the Meyerian arrow head 'implication' within the C tonal region, remains unresolved within the confines of the Song but finds its realisation with the return to C major as quasi-*Ur-tonic* in the Postlude; a process which is more clearly defined in *Example 4-15*, above) The structural pitch classes are labelled above the stave with functional tonal relations identified below. Repeated sonorities and chords generally are not reiterated in these labels, particularly in the repeated 'Rage' refrain which occurs four times (enclosed in dashed brackets in the diagram for clarity). All complexes are stemmed (except the Eb which is assigned the status of lower neighbour to the otherwise tonic associations of the 'Rage' refrain) to indicate either sonorous and/or tonal functionality. Although the repeated, first inversion, E major chord is beamed, the filled note-head complexes reflect tonal consistency rather than strict linear progression (i.e. *Example 4-17*, below, represents more of a Schachterian modulation-style graph than a Schenkerian prolongational graph).

What is significant about these hitherto 'structural' observations, is the convergence of *model* and *matrix* level (as defined in chapter one) adherence which replaces the subversive and deviant strategies witnessed in the cubist and neoclasssic aesthetics. Compared with *Excentrique*, *In Memoriam Dylan Thomas* presents no identity crisis or death of the theme amidst diachronic and synchronic subversion. At the *matrix* level, Stravinsky furnishes us with a theme from the outset. He even labels it 'theme',[296] (not 'prime' or 'basic set') and announces it, fittingly, with the brass ensemble. Their associations with annunciational functions, connoted via a cultural attachment to fanfare gestures, even 'deprives' one of the heteroglot 'play' of instrumentation found in the 'deviant' aesthetics (one recalls the examples witnessed earlier in the thesis: *Oedipus Rex*, *Symphony of Psalms* and *The Rake's Progress*).

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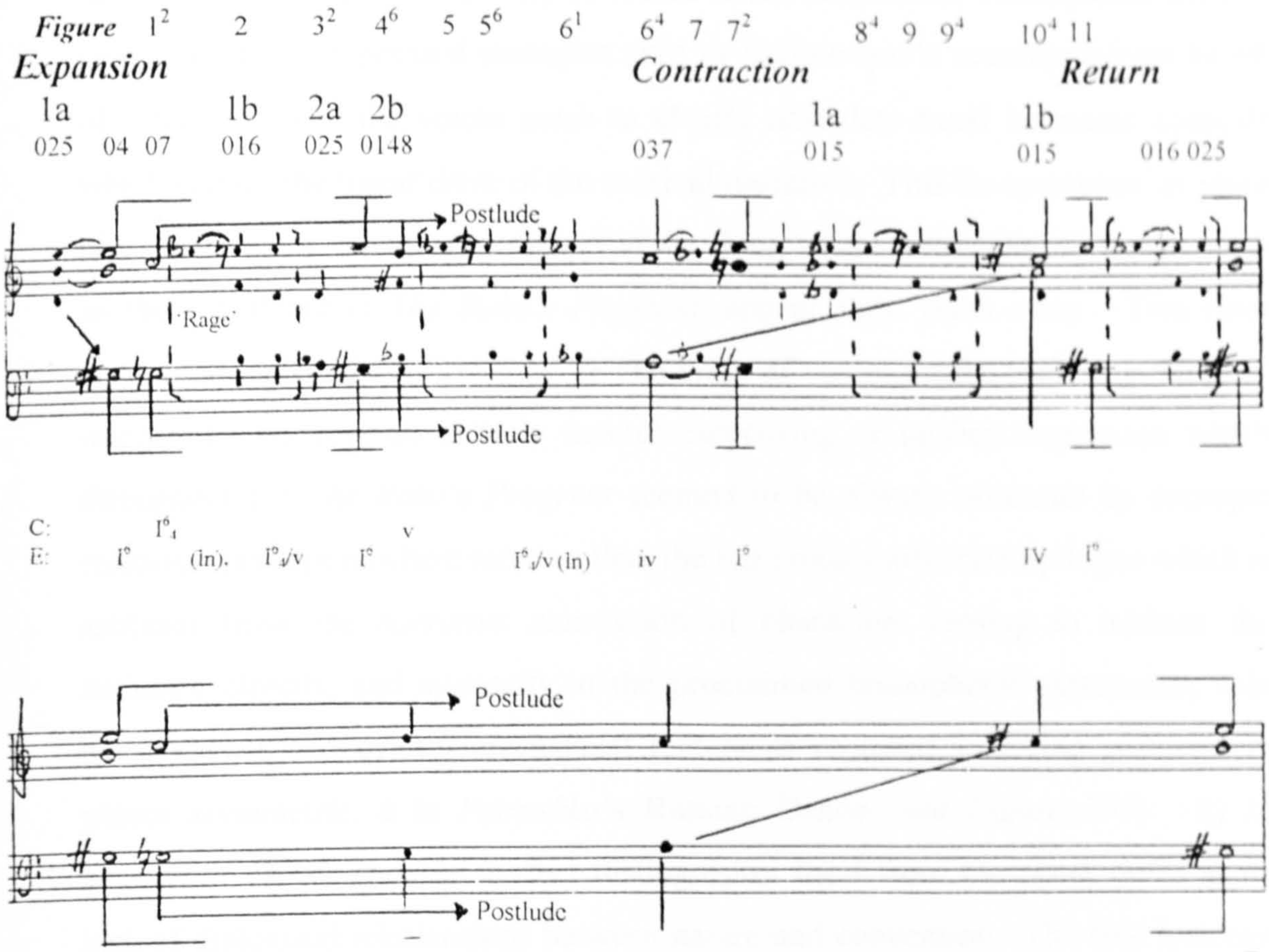
[296] The 'theme' label is, of course, a fortunate accident as Stravinsky explains: 'In correcting the proofs I forgot to erase in the prelude these brackets left over from my final sketches', see Keller et al, *Stravinsky seen and heard*, 18.

Example 4-17: Harmonic Summary of In Memoriam Dylan Thomas' Song

This strategy of 'decidedly unmarking' the theme, making his serial strategies appear extremely transparent or—to keep within the *Ur-code* metaphor of this thesis—*liquidating* his aesthetic, is striking only from a retrospective position of familiarity with Stravinsky's predilection for deviancy; most notably the denial of thematic identity inherent in the *matrix* level diachronic subversion of the *cubist* aesthetic. At the *model* level of the neoclassic aesthetic, one expects a little more prototypical 'play' to better disguise the serial models encoded in the prime form, the tonal models of projected linear descents or subdominant closure and the centrifugal-centripetal models encoded in his syntax of sonority units. Instead of a multivalence of different models obscuring one another—demanding dialogical interpretation—, however, one finds a few crystallised models presented on the musical surface which are encoded with little conflict throughout the micro and macro musical narrative—so much for diachronic sincerity. In the synchronic dimension of Stravinsky's *matrix* and *model* levels, there is little scope for synchronic subversion in the rigidity of a canonic structure but Stravinsky appears

to deftly handle the synchronicity of voices in his antiphonal, contrapuntal texture. Gone are the crass gestural strategies akin to *Excentrique*'s accompaniment bereft of a theme. Here the voices mesh to clearly articulate tonal harmonic contexts which convey the linear drive of the musical narrative. This *co-operation*, in place of, *opposition* of voices is continued in the Song where heteroglot dialogues, such as those outlined in *The Rake's Progress*, appear light years away. Two brief comparisons should confirm this. i) The unity of voices on the recurring 'Rage...' interjection conveys an entirely natural outpouring of unified expression which throughout the *The Rake's Progress* seemed to be always obscured by exotopic relations (perhaps nowhere more so than the ludicrously artificial Epilogue which is artificial from the *narrative* convention of characters turning to address the audience directly, and *musically* in the proclaimed homophonic statements, solo buffa clichés and overtly mechanical texture of repeated scurrying gestures (in places asymmetric, à la *Petrushka*'s Russian Dance—see *Figure 287*). ii) *In Memoriam Dylan Thomas*' further distinguishes itself from the opera buffa in its lack of dialogized relationships between nature and convention. The folk lyricism of Tom and Anne's unified 'never' assertion is offset by the excessively stylised, mechanical nature of the counterpoint they weave in a manner far removed from the unified 'voices' in the Song of *In Memoriam Dylan Thomas*. For example the inverted canonic motion between tenore and cello at the 'wise men' verse (*Figure 3*), reflects a sympathetic cohesion of voices within a dialogue which does not obscure the vertical harmonies in the way Tom and Anne's awkward canonic voices fail to mesh. The sincere counterpoint of *In Memoriam Dylan Thomas*, then, unlike *The Rake's Progress'* Trio, is not an artificial contrivance between two exotopic voices but a *co-operation* within the cohesive unity of multiple voices which—by virtue of that co-operation—do not demand heteroglot mediation for semantic interpretation.

Semantic Framework for Interpreting Sincerity

To what extent do these structuralist observations inform or mitigate the proposed semantic framework for *In Memoriam Dylan Thomas* as a dialogue between Schoenbergian *Musizierreihen* and Webernian abstraction? Beginning at the micro level of the Song's opening gambit, the gestural signals can be seen to encode a

cohesion of these aesthetic 'others'. The covert nature of this encryption is far removed from the foregrounded semantic problems of the cubist or neoclassic aesthetics but the dialogical signs, nonetheless remain for the sensitive listener to decode. The aesthetic impact may convey sincerity instead of subversion but seldom does an 'old dog' perform 'new tricks' without some recourse to familiar strategies. In this instance, Stravinsky's familiar strategy is to encode the semantic opposition—a dialogue between Webern and Schoenberg—in the micro level of the Song's opening gambit. It is not a syntactically foregrounded problem like the closural theme of *Excentrique*, but an aesthetic play between musicality and formalism in an otherwise sincere syntax. The key to uncovering this dialogue lies in the structurally informed interanimation of C and E tonalities with the interanimation of conventional serial/tonal procedures and natural psychological conveyors of musicality. That musicality is derived from Gap-Fill structures, precisely the type of model Stravinsky was apt to play with in the neoclassic aesthetic. Here, however, the 'play' is encoded in the aesthetic contrast between natural psychology and conventional mechanism. (One might interject here, to raise the question: what exactly is 'conventional' about serialism? The answer of course is not so much that serialism à la Schoenberg and (less so) Webern is 'conventional', so much as Stravinsky's retrospective approach to it. As outlined at the beginning of this chapter, Stravinsky's *necromantic* tendencies towards the aesthetic are generated by the fact that 'Schönberg est mort' and with that aesthetic and physical death, serialism became an utterly conventional artifice—in terms of the *context-concept spirals* of chapter one, the *level two* contextual 'negation' that the row exerted over tonality, generated a *level three* conceptual norm. in the process of conventionalisation.) In the place of neoclassic negation, then, psychologically implicative Gap-fill models are affirmed in the musical syntax. Two prominent Gap-fill structures can be defined. The opening string refrain outlines a vertical gap between the bass B and soprano E (enharmonically spelt as Fb). Another gap, between C and E is defined vertically, between the first violin's sustained C and tenore's sustained E (again enharmonically spelt), and horizontally, in the melodic phrase, '-to that good night'. These gaps underscore the tonal opposition of C and E. Both are filled by the row mechanism of serial convention. The E-B gap is filled by the rising passage, 'Do not go gentle into that good night',

whereas the C–E is filled in the complementary phrase, 'Old age should rave at close of day'. The former fills by ascent, the latter, by descent; perhaps a reflection of the ascending row ratios of the Prelude and descending ratios of the Song outlined in *Example 4-12*. Perhaps it is also a micro level encryption of the Song's macro process of *expansion* and *contraction* identified in *Example 4-17*. Indeed the opening premise (up to *Figure 1*) neatly encodes the remaining element of *Return*. The combination of rows P^{-0} (Vln. I)—appended to the isolated B concluding P^{-9} (Vc.)—I^{-6} and R^{-0} (Tenore) comprises an ingenious structural device by which the music cycles through a non-retrogradable sequence: E–Eb–C–Db–D–B–Bb–B–D–Db–Db–C–Eb–E; the axis point of which is the Bb opening the vocal phrase: a neighbour note to the structural B.

What distinguishes these two gap-filling phrases, however, is the manner in which each employs its serial tools. The former is Schoenbergian, the latter Webernian in outlook. It represents a relationship of aesthetic otherness which conveys semantic significance. The C–E gap is filled by a single statement of row RI^{-0}, which despite its note repetition and points of rhythmic repose, personifies Keller's description of a Webernian abstract row. What one hears in this phrase is a very pronounced statement of the row which 'does not readily crystallise into something of melodic significance'. Compared to the inherent musicality and melodic significance of the preceding phrase, which combines both I^{-6} and R^{-0}, the C–E gap-fill is decidedly abstract in relation to the *Musizierreihen* of the E–B gap-fill. The former employs the row mechanically, blatantly thematicizing the row as structural tool, the latter ennobles a sub-thematic row with musicality. Stravinsky's opening gambit thereby establishes an opposition of Schoenbergian musicality with Webernian functionality. It is a quality which again embeds Stravinsky's mechanical–liquid *Ur-code*, not only in the opposition of Schoenbergian and Webernian aesthetics, but also in the opposition of *psychological* gap-fill contours as conveyors of musical voice and *conventional* tonal/serial procedures as conveyors of mechanical abstraction. In other words, amidst the mechanical unity of the series and tonal articulation, Stravinsky's voice speaks through.

These opposed qualities of Stravinsky's technique are not confined to Keller's interpretation but are widely held aesthetic judgements concerning the work.

Walsh, for example makes a similar distinction between 'audible unity' and 'expressive intensity' in the same work, contrasting the same reversed *Ur-code*, translated into the opposition of 'ritual' and 'lyrical'.

> Its audible unity, together with the expressive intensity...displays the practical virtues of a fully integrated serial method....The slightly strained chromatic lyricism...misses the ritual atmosphere of the typical Stravinskian threnody...it is unusual in his music to find lyrical expression so innocent of tonal colouring and vocal repose.[297]

The 'sincerity' of *In Memoriam Dylan Thomas*, therefore, is conveyed in the relationship between row and theme. From this premise one can understand the work as a 'necromantic' dialogue between Stravinsky's *marked* Webernian personality and *unmarked* Schoenbergian personality. Webern is not simply 'thrown into the bargain', as Keller contends, but is intrinsic to the musical narrative of the work. To this extent the opening gambit of the Song can be understood as a *dialogized*, or even *marked*, relationship between a row typifying *musizierreihen* propensities and more formal propensities: the simultaneous 'sub-thematic' and 'abstract' row, to use Keller's terminology. The contradiction one might expect this to pose to the semantic interpreter, however, does not arise. The Song exploits the predominantly sub-thematic technique of a Schoenbergian; i.e. *musizierreihen* properties are foregrounded over and above more Webernian, abstract, structural qualities of the row. These latter qualities can easily be inferred by structuralist analysis (such as the technical aspects highlighted in *Example 4-13* and *Example 4-17*) but the *formalism* is secondary to the *musicality*; despite the overtly structural material of a chromatically saturated five note row within a major third tonal ambit, the musicality of the rows belies their overtly structural potential. This does not mean that surface musicality *negates* background formalism, but rather *supports* and confirms it. Neither does the music affirm formalism in the manner of the overt masks worn by the earlier aesthetics. With their externalised, negatory syntaxes, both the cubist and neoclassic aesthetic leave the listener with no 'real' personality to confront.[298] The music lacks anything to say but the manner in

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[297] Walsh, *The music of Stravinsky*, 226.

[298] This is not intended to deny the intangible element about Stravinsky's music which makes it decidedly Stravinsky's—an intangibility which itself has been the subject of much enquiry and even the subject of a thesis, see Burton Gene Goldstein, "Why does Stravinsky always sound like Stravinsky? Serial Stravinsky and style analysis" (Ph.D. Dissertation, University of California, Los Angeles, 1981)—but to suggest that perhaps

which it speaks is the primary source of musical engagement: i.e. ingenious formalism. The old cliché of form over content was precisely the game Stravinsky played in the earlier aesthetics. Testimony to this is found in the familiarity of the subject matters employed. (This notion of familiarity is discussed at further length in chapter five.) These immediately endow Stravinsky with automatic 'other voicedness' to divert the audiences attention from his personal voice towards the formalist games he plays out in the musical syntax. Even *In Memoriam Dylan Thomas* harkens back to the old aesthetic tricks. The opening employs the same other-voiced familiarity strategy of the earlier aesthetics with the repeated brass notes of the antiphonal Dirge-canons which immediately place Stravinsky behind the mask of Gabrieli's '*cori spezzati*'.[299]

The chromatic lyricism of the Song, however, discards the facade of his old aesthetics. No longer is such lyricism confined to the momentary glimpse of *Excentrique*'s liquidating theme but is foregrounded as syntactic norm. Admittedly, there remains strong evidence of the mechanical in the Song; the recurring string refrain on the surface appears nothing short of a deadlocked, syntactic contrivance which simply progresses through rows only to redistribute the registeral placement of the original B–D–E sonority chord. The gesture, however, is inherently thematic and lyrical. Gone is the kind of awkward cadential mechanism marking Little Tich's limp. The Song's refrain complex may well represent a serial schema for redistributing registeral sonorities—a quasi-serial cadence perhaps—but this mechanical outcome is not reflected in its lyrical contours.

In general, the musical voice of Stravinsky's serialism becomes unmarked, or foregrounded, in relation to the marked, or backgrounded, formalist aspects of its construction. The precise reversal of the communicative framework, proposed in the earlier chapters, for semantically interpreting the cubist and neoclassical aesthetics. There are two prominent reasons for this, one Schoenbergian, the other not. Firstly the row of *In Memoriam Dylan Thomas* is what Keller refers to as a Schoenbergian 'audible row'. It retains its musicality when divested of, or endowed with new, rhythm. Much of this can be attributed to its inherent,

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that intangible element is the 'concealment of personal identity' which paradoxically exposes Stravinsky's hand with every nuanced deviance.

[299] Walsh, *The music of Stravinsky*, 229.

Meyerian, Gap-fill construction. The E, embellished by chromatic neighbour note falling to C only to rise up to fill its gap, D; again with chromatic embellishment. The contour of the row therefore is not only *serial* but also has both conventional (*tonal*) implications and psychological (*Gestalt*) implications, as outlined above. Combined, these endow the row with an inherent sense of musicality over and above its very obvious structural propensity as a mechanical tool of formal manipulation. Secondly, untypically of Schoenberg, Stravinsky adopts the principles of note repetition within the row. Even a device as simple as the three note repetition beginning each brass statement of the Prelude endows the row with both annunciational qualities and a thematic yearning which is immediately realised by the ensuing notes of the row.

The semantic dialogue between Schoenberg and Webern, *musizierreihen* and structural rows, abstraction and thematicism is also compounded across the macro structure of the component pieces. The work can easily be interpreted as a dialogue between the liquid, Schoenbergian Song and its mechanical, Webernian counterpart in the framing Dirge-Canons. Keller accords with this hypothesis:

> · As with Schoenberg, different characters are derived from the basic set: its initial rhythm remains functional, but is not the lasting property of the series itself, which therefore is a real, sub-thematic, pre-rhythmic *row*, not a *theme*....
> In the outer sections, however, the row is rhythmically committed, overtly thematic. In consequence, the Pre- and Postlude analyze themselves....In the song...the old contrapuntal technique crystallizes into the new serial method.[300]

The mechanical–writ–beautiful; poses no problem for the encultured semantic interpreter. It is an opposition which has already been mediated in the First Viennese School, and finds its greatest antecedents in Mozart, Haydn and Beethoven. Theirs is a canon full of themes of such melodic beauty and seeming spontaneity, that the functional, abstract properties of those themes is lost in their surface appearance; Mozart is particularly 'guilty' of this proto-sub-thematicism. One of the greatest ironies of reversed markedness-reversal in Stravinsky's serial works, then, is that they are far more 'classical' in this respect, than anything found

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[300] Keller, "*In Memoriam Dylan Thomas*: Strawinsky's Schoenbergian technique," 13-20, cited Keller et al., *Stravinsky seen and heard*, 16, 17-18.

in the so-called 'neoclassic' aesthetic. Keller captures something of the spirit of Stravinsky's new found voice amidst a non-negatory syntax.

> Having thought music, he began to think about it, which was not what his alleged idol did—Webern. It was the method of the unconscious or preconscious idol, Schoenberg...Webern inverted Schoenberg's procedure...[he was] the first composer to think about music before thinking music...
> The rhythmless, temporarily musicless row was invented with and by Webern: his first creative steps are a retrograde version of Schoenberg's – but unlike the tone-row's mirror forms, this one does untold harm to the basic idea!
>
> Stravinsky, quite unbothered by the rules, in whose verbal articulation he didn't show the slightest interest, cannot possibly be misunderstood the way Schoenberg has been and still is; his serial technique, his music-making rows—or rather his row-making music—will either be understood or met with utter harmless incomprehension.[301]

In other words, Stravinsky's serial aesthetic either speaks to the listener or it does not. He no longer uses the currency of exploiting rules, whether by playing with prototypes or markedness ratings (essentially one and the same thing: syntactic deviance or subversion). Instead he becomes ambivalent towards the 'mechanical' rules of the row and in so doing, enables his 'human' artistic personality to speak in a manner which does not throw down the gauntlet to the semantic interpreter! This should not deter one from seeking irony in the new found voice or from imagining that the voice was no longer dependent on necromantic tendencies, for whilst *In Memoriam Dylan Thomas* unmasks Stravinsky's voice it is nonetheless a work in which 'Stravinsky out Schoenberg's Schoenberg, even though his is a five-note row which functions in a vaguely tonal fashion.'[302]

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[301] Keller et al, *Stravinsky seen and heard*, 45-46, 47-48.

[302] Ibid., 16.

CHAPTER 5

CONCLUSION: THE AESTHETE'S PROGRESS

A masked character...posits himself as an enigma, and he defies all others to decipher his language. He thus places himself outside common law, claiming for himself the use of a freedom all the larger for not being limited, momentarily, by social conventions.

Jean-Louis Bédouin, *Les masques*[303]

A Semiotic Evaluation of Stravinsky's Aesthetics

As a conclusion to this thesis, I shall turn the prototypical tool of musical semiosis—*paradigmatic analysis*—to what I shall refer to as *Igor's Aesthetic Progress*. As this opera buffa inspired descriptive suggests, the aesthetics studied in this thesis, the semantic problems they impose and the mechanisms for decoding those problems, can be unfolded by analogy to the narrative of a certain neoclassic opera, composed at a pivotal time in the composer's 'progress'. The analogy, like all good paradigmatic analysis, functions in both paradigmatic and syntagmatic dimensions. The former dimension involves categorising the three aesthetics considered in this thesis (cubism, neoclassicism and serialism) according to parallel paradigms which can be inferred in the narrative of *The Rake's Progress*; the latter dimension then considers the chronological distribution of these 'aesthetic paradigms', to construct a syntagmatic narrative for *Igor's* aesthetic progress which corresponds to that of a certain *Rake's* progress. Like all good paradigmatic analyses, this concluding analogy has its very own paradigmatic table (*Example 5-1*, below). Before one can reach this concluding summation, however, a summary of the aesthetic paradigms, as they have been disclosed in the preceding chapters, is first called for.

Aesthetic Summary: The Paradigmatic Dimension

Throughout this thesis, Stravinsky's syntactic and semantic mechanisms have been mapped to reveal in hindsight, what can be understood as a *marked* relationship spanning his aesthetic progress. This markedness occurs in the syntagmatic chain

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[303] Cited Watkins, *Pyramids at the Louvre*, 277.

of the various aesthetic paradigms as they occur throughout his compositional career. The *unmarked* context of *negation* characterises the cubist and neoclassic aesthetic whilst the *marked* context of *sincerity* characterises the serial aesthetic. The aesthetics can be assigned these marked values according to a number of factors which outline an asymmetrical relationship between the negatory aesthetics, which have the 'widest range of meaning', and sincere aesthetic, which has the 'narrower range of meaning'. *Chronology* alone situates the negatory aesthetics as Stravinsky's predominant semantic norm; the framework of meaning through which most of his compositions communicate. Although this thesis has maintained a caveat distinguishing between aesthetics and *stylistic periods*, there is a discernible tendency for correspondence between aesthetics and *stylistic periods*—(nonexclusive) correspondence is, after all, the rationale behind the aesthetic labels. Spanning some four decades (c.1911–c.1951), the combined *cubist* and *neoclassic* periods outweigh the one and half decades of the *serial* period (c.1951–1965). Such a marked ratio (0.375) might have influenced Kramer's technique of proportional analysis, had only it fitted his scheme. Wouldn't that have been Stravinsky's greatest aesthetic trick? Imagine if the ratio governing the markedness ratings of Stravinsky's stylistic periods, actually corresponded with the 'structure-articulating proportions' Kramer finds in prominent stylistic works; a kind of *Ur-code proportion* for Stravinsky's aesthetic progress! Unfortunately 4:1.5—or rather 2.67:1—is not a ratio which meshes well with any of Kramer's prominent ratios: '3:2' (*Symphonies of Wind Instruments*—his prototype *cubist* analysis) or 'slightly greater than 1:1' (Sonata for Two Pianos—his prototype *neoclassical* analysis—and *Agon*—his prototype *serial* and methodological analysis). Stravinsky may well—however perceptibly dubious Kramer's proportions might be—have 'found a means of convincing the ear of the functional equivalence of sections of different lengths....a compositional technique that allowed him to create structures that cohere despite vastly different durations and extreme discontinuities',[304] but the same 'coherence' cannot be found spanning the markedness relationship of his entire aesthetic progress; that really would have given credence to a structurally fascinating but saliently flawed methodology. The chronology of styles in Stravinsky's compositions, however, reinforces the *marked* asymmetry which

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[304] Kramer, *The time of music*, 302-303.

outlines *Igor's aesthetic progress.* Before going on to outline this aesthetic progress, the *syntactic* mechanisms defining the aesthetic paradigms which, in turn, articulate this markedness relationship should be recapitulated.

Chapter one proposed a theoretical framework in which the cubist and neoclassic aesthetics were associated with two distinct forms of negation, *subversion* and *deviation* respectively. The former was aligned with a process of *markedness reversal* (unpacked in chapter two with the semantically challenging work of *Excentrique*), while the latter was aligned with *prototypical play* (unpacked in chapter three with the semantically skewed works of Sonata and *Oedipus Rex*). *Markedness reversal* was situated on the *matrix* 'region of play', whilst *Prototypical Play* was situated on the *model* 'region of play'. Musical *matrixes* are defined as being articulated by clusters of *models*, which themselves comprise clusters of musical *minutia.* These 'aesthetic regions of play' are defined with a correspondence to Rosch's theoretical levels of categorisation—respectively the *superordinate*, *basic* and *subordinate* levels—which Lakoff interprets as premised on 'prototype effects' over the more traditional, classical theories of categorisation.

The Cubist Aesthetic of Markedness Reversal

When, in *Excentrique*, Stravinsky treats a thematic unit as a cadential unit, his syntax exhibits *diachronic subversion* in the *matrix* region of play. Similarly, when, in the same work, he deprives an accompaniment of its theme, his syntax exhibits *synchronic subversion* in the same region. This is described as *subversion* because playing with *matrix* region categories inverts the conceptual identity of the units played with; in other words, a *cadential theme* and *unthemed accompaniment* challenge the identities of their respective conceptual units. This phenomenon was described with the familiar Stravinskian descriptive of *deadlock.* For the classical categorisation theorist, such a phenomenon is semantically problematic: either the units are 'thematic' or 'cadential', either an accompaniment has a corresponding theme or it cannot be 'accompanimental'. *Deadlock*, therefore, has become something of a disreputable catalyst for a plethora of structuralist interpretations under the banner of *discontinuity.* Such strategies ignore encultured conventions of *matrix* level conceptual identities, preferring instead to elevate the overwhelming supremacy of the static *moment.* The inherent 'death of the theme' strategy which

can be identified as *Excentrique*'s linear narrative premise, for example, is used instead to mitigate non-linear, discontinuous interpretations. These interpretations are either *etic* in conception such as Kielean-Gilbert's pitch-class analysis and Kramer's proportional analysis or, like Taruskin's excavated concepts of *nepodvizhnost'* and *drobnost'*, attempt to seek *emic* authenticity for non-linear interpretative strategies. Whilst both forms of interpretations offer valuable insights into understanding 'discontinuity', both are equally disreputable to the extent that they apply circuitous analytical tools premised on discontinuity to 'disclose' Stravinsky's so-called 'non-linearity'. Kielian-Gilbert's turn to the metaphor of *polarity* and Kramer's turn to *proportional continuity* give the appearance of mere appended apologias for—as they see it—Stravinsky's lack of linearity, whilst Taruskin, armed with *ethnological evidence*, does not even attempt to seek linear continuity. Chapters one and two, however, construct a framework for decoding the syntactic phenomenon of *deadlock* as *masquerading* a deeper reality beneath the antics of subversive syntax. The framework represents a semantic process, stemming from linguistics, in which classical categorisation theories are rejected in favour of the 'radical'[305] categorisation theories of *markedness* and *prototypicality*.

My application of markedness theory is borrowed from Hatten's semiotic survey of musical meaning in Beethoven and it is employed specifically to mediate oppositions between *matrix* region conceptual identities in preference to inferring discontinuity from the apparent *deadlock* generated by such an opposition. Thus, a *cadential* theme can be interpreted as marked in relation to—or less prototypical than—a less contradictory theme. These interpretative tools enable one to define Stravinsky's *markedness reversal* as the syntactic process of foregrounding marked *matrix* region conceptual identities to mask any underlying salient linear narrative. If there is any one predominant reason for selecting *Excentrique* as the cubist case study of this thesis, it is because it, more than any other of Stravinsky's works, wears this mask with aplomb.

The cubist aesthetic's mask is removed in the semantic interpretation of *tropological* mediation; a strategy again employed in Hatten's semiosis of

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[305] I place the word 'radical' in inverted commas to reflect that these theories of categorisation are, of course, only radical from the perspective of classical theory. The term is not used to connote negative overtones of 'unsuitability', but rather denote that the theory flies in the face of conventional theory.

Beethoven's musical meaning. In *Excentrique*, both *intraparadigmatic markedness* and *extraparadigmatic markedness* dimension are shown to disclose a viable linear narrative, encoded (semiotically) at the gestural level and confirmed at the harmonic level of pitch articulation. The interplay of these dimensions reveals a fundamental opposition between *mechanical* (cadential and accompanimental) and *liquefacient* (thematic) propensities. This opposition is an *intraopus* instantiation of a larger cultural *Ur-code*, which emerges throughout the thesis, between the mechanical and the human. *Excentrique*, however, can not be said to embody a 'traditional' resolution in which its mechanical *mask* is *colonised* by its underlying liquefacient *soul*. Rather than exhibiting any *affirmation* of thematic gestures or underlying pitch connotations, *Excentrique* concludes with an overwhelming sense of *abnegation*—a surrender to the higher power of the *mask* over the individual humanity of the *soul*. It is a semantic interpretation which, like Hatten's, discloses the most significant insights into the work only with a tropological shift from a *mimetic* to a *constitutive* poetic. With this shift, the mask of *deadlock* can be removed to reveal a legitimate linear narrative which resolves, not by traditional *affirmation* but by *abnegation*. Although the resolution is not 'traditional' in any colonising sense, precedents abound in the Beethovenian examples of abnegation which Hatten discloses. Just as Petrushka abnegates his ending with his spectre nose-thumbing the crowd from the roof tops above the Shrovetide fair—no cathartic reunion, empathy or unity with the Ballerina in death for Stravinsky's puppet—, so too *Excentrique* abnegates its ending. As a portrayal of Little Tich, the ludicrous, limping, English clown, the work can, therefore, be understood both as a paradigm of the Russian puppet portrayed in *Petrushka* and a paragon of the subversively masked cubist aesthetic.

The Neoclassic Aesthetic of Prototypical Play

When, in *Oedipus Rex*, Stravinsky conflates antecedent–consequent and *Urlinie–Ursatz* units, his syntax exhibits *multivalent deviation* in the *model* region of play. Similarly, when, in Sonata, he conflates units of fugue-style, contrapuntal stasis and sonata-style teleology, his syntax also exhibits *multivalent deviation* in the same region of play. This is described as *deviation* because playing with *model* region categories, unlike *matrix* region categories, does not invert the conceptual identity

of the units played with but merely deviates from their *prototypical* instanciations; for example, a sonata-style teleological model, interfered with by a fugue-style model of stasis, represents a less prototypical—but not subverted—instantiation of either model. To this extent, the overlap of *markedness* and *prototypicality theory* can be seen. Static fugal interference with a teleological sonata model exhibits a *marked* rating for a 'sonata' model in relation to its *unmarked*, unimpeded teleological instanciation. In this *model* region, where Stravinsky *plays* with normative implications by introducing syntactic interference, *prototypicality ratings* are a better yardstick for measuring deviancy than *markedness ratings* because the conceptual identities of the units are not so much brought into question, as *played with*; it is more helpful in such cases to think of *radial deviations* from *prototypical norms*. Just as Lakoff, in his discussion of *radial structures*, identifies, for example, the housewife stereotype mother as the *central case*—or normative model—of the category 'mother', surrounded by *radial deviations* (e.g. stepmother, adoptive mother, birth mother, natural mother, foster mother, surrogate mother, unwed mother, genetic mother, etc.[306]), so too the *central case* of sonata-style teleology or antecedent–consequent archetype is surrounded by *radial deviations* generated by *multivalent* interference from other conflated models.

Again, as with *deadlock* in the cubist aesthetic, the classical categorisation theorist is presented with a semantic problem in the phenomenon of *multivalency*. Deprived of prototypicality theories of categorisation, the classical theorist must prioritise one syntactic model over all others. In such a process, the 'deviant' elements of this single model are not perceived as multivalent possibilities but dissonances to an overarching structural consonance. Schenker's interpretation of Stravinsky's Concerto for Piano and Wind Instruments was cited as the *locus classicus* of the semantic redundancy. Such phenomenological analysts exhibit a tendency to confine themselves to classical categorisation principles. Just as *deadlock* becomes the cubist scape-goat for *discontinuity*, so too *multivalency* becomes a scape-goat for structural *dissonance*. At its worst this culminates in Schenker's absurd dismissal of 'Stravinsky's way of writing' as 'altogether bad, inartistic and unmusical'.[307] History alone has exposed this charge as Germanic-

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[306] Lakoff, *Women, fire, and dangerous things*, 81-83.

[307] Schenker, *Masterwork in music*, 18.

centred phenomenology. (One wonders what on earth he would have made of *Excentrique*, in which Stravinsky wears the mask of a Turanian-centred hatchet-job on precisely the Germanic conventions Schenker sought to elevate?) Schenker's phenomenological approach to Stravinsky is just as disreputable as the structuralist approaches of Kielian-Gilbert, Kramer and Taruskin, albeit it for opposite reasons. Whereas they ignore encultured conventions of *matrix* region identities for the sake of the overwhelming supremacy of the static moment, Schenker elevates a single, so-called 'encultured', schema (the I–V–I *Ursatz*) of *model* region identity as an overwhelming phenomenological unit under which all *multivalent deviation* must be accounted for by hierarchic reduction. In short, Schenker, as a classical categorisation theorist, deals in the musical equivalent of Max Weber's 'ideal types' which, I have suggested, offer less semantic utility than Lakoff's 'prototypes' for the sensitive measurement of musical syntax founded on *deviation*. Rather than embracing the semantic questions posed by *multivalency* it is used to mitigate the dated, but peculiarly lasting, conception of Stravinsky as a 'wrong-note' composer. Structural *dissonance* (as I shall refer to the dubious notion of 'wrong note' syntax), be it embedded in harmony, polyphony, rhythm, or whatever parameter of musical discourse, dismisses Stravinsky's neoclassic aesthetic as semantically redundant. At best, this is glorified with the status of 'objective' music—justified by Stravinsky's, ever unhelpful, claim that '*Expression* has never been an inherent property of music'[308]—at worst, structural *dissonance* is misconstrued by the likes of Schenker to dismiss the composer as 'bad, inartistic and unmusical'.

Multivalency is as much a *mask* to the neoclassic aesthetic as deadlock is to the cubist aesthetic. Multivalency's *mask*, however, is removed in the semantic interpretation of *dialogical*, rather than *tropological*, mediation. Dialogical strategies of interpretation find their epitome in—Stravinsky's great aesthetic 'other'—Wagner. Just as Hatten interprets Beethoven through, tropological strategies, so too analysts like Newcomb and Grey have interpreted Wagner's music through *dialogue trajectories*. To apply this methodology to Stravinsky, just as with cubist tropology, one must first uncover a viable linear narrative which is semiotically encoded at the gestural level and confirmed by harmonic articulation.

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[308] Stravinsky, *An autobiography*, 53.

To achieve this, *metonymic* relations (akin to the *metaphoric* associations of tropological mediation) are identified, either to the text (the predominant relation explored by the Wagnerian interpreters), or to less literal narratives inherent in the music. *Metonym* is an apt interpretative device to employ to the framework of Stravinsky's neoclassic aesthetic because it is a concept based on *prototype effects* in the act of categorisation (one member of a category or one subcategory standing in to represent the category as a whole). The process of vindicating gestural syntactic implications in harmonic *modulation* is also apt for its implicit anti-Schenkerian stance (as stated throughout the thesis, the analytical graphs have more affinity with Schachter's analytic conventions for identifying modulation, than they do with Schenkerian voice-leading). As, Schachter reminds one, Schenker regarded the notion of *modulation* as somewhat syntactically redundant—'the most baneful error of conventional theory is its recourse to "*keys*"...Nothing is as indicative of the state of theory and analysis as this absurd abundance of "keys"'.[309] It is scarcely surprising, then, that my methodology for highlighting the semiotically encoded *tropological* and *dialogical* strategies has recourse to Schachter influenced graphic conventions as an aid to interpreting *deadlock* and *multivalency*. Indeed, a similar process of harmonic vindication was employed for *Excentrique* but its tonal ambiguity restricts the focus to implicative pitch associations rather than the more explicit modulating tonalities one finds in *The Rake's Progress*.

As with the *deadlocked tropes* of the cubist aesthetic, *multivalent dialogues* can ultimately be interpreted as paradigmatic instantiations of the larger cultural *Ur-code* opposition between mechanical and human properties. Thus, *Oedipus Rex* was interpreted through the opposition of *mechanical* power/fate and *human* pity/hubris. Similarly, *The Rake's Progress' Trio* was semantically aligned with *mechanical* artifice and *human* nature. Tarasti and Bernstein both go some way to identifying the dialogical nature of *Oedipus Rex*. Tarasti eloquently employs semiotic vocabulary to demonstrate how the music can be decoded to articulate narrative *lacks*, *completeness* and the *dynamic motion* between these two extremes.

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[309] Heinrich Schenker, *Free Composition*, Ernst Oster ed. (New York: Longman, 1979), 9, cited Schachter, "Analysis by key," 289. Schachter goes on to explain that Schenker's dismissal of modulation is something of—but not wholly—a misconception. Schachter summarises the position in his article, stating that: 'Schenker was, to say the least, highly critical of the way the concept [key change] had been generally formulated and applied, and his own theory greatly reduces its scope', 289.

His *dialogue trajectory*, however, fails to read into the *heteroglossia* of *multivalency* the fundamentally *dialogized heteroglot* of Stravinsky's opera-oratorio (a *dialogized heteroglot* genre in its own right, like so many of Stravinsky's genres, not least of which is *Excentrique*: a Germanic quartet making 'distinctly Turanian noises'). Tarasti, therefore, *desensitises* his analysis by *auto-mediating* the dialogized nature of neoclassic multivalency. The opposite, however, holds true for Bernstein's notion of syntactic *misalliance* based on *incongruous irony* under the banner of *objective-expressivity*. His notion of misalliance is too radical to engage with the subtler levels of Stravinsky's syntactic play. Of course, witty misalliances, such as Jocasta addressing her people à la 'hoochy-coochy' Carmen, play a vital role in semantic interpretation but so do less radical dialogized relations encoded in the *model* region of syntactic play. Furthermore, his notion of *incongruous irony* appears to be nothing more than a descriptive to mitigate the irresolute nature of the dialogized oppositions—perhaps guilty of ascribing a positive value to a negative attribute. To compound Bernstein's problems, the whole notion of *objective expressivity* has the danger of appearing oxymoronic; it may well be justified by intriguing analogies in American literature, but these compound, rather than attempt to mediate the misconception that the be all and end all of the neoclassic aesthetic comprises irresolute oppositions and conflation.

To overcome this problem, a semantic shift is required akin to that of the sensitised cubist interpretative shift from *mimetic* to *constitutive* poetics. This shift occurs between *traditional* conceptions of *resolution* (of dialogue) and *exotopic* conceptions. This distinction is brought into focus by comparing the *traditional*, 'colonising' resolution of Wagner's trajectories, with the *exotopic*, 'conversing' resolution of Stravinsky's dialogues; the latter of which embody an inherent preservation of 'otherness'. Just as cubist deadlock did not resolve by affirmation, but by *abnegation*, so too neoclassic multivalency could be said to resolve *exotopically*, rather than *traditionally*. In short, Stravinsky's dialogues 'converse with' *the other* (the *other* inherent in the contestatory models of multivalency) rather than *colonising* it, as one would expect to find in a Wagnerian trajectory.

The notion of *exotopy*—like that of *heteroglossia* and *dialogized heteroglossia* above—is borrowed from Bakhtin's philosophy of literature, a source probably

unfamiliar to Stravinsky, given that it was only in the 1950s that Bakhtin's latent—but contemporary with Stravinsky's *neoclassic*—works were discovered by a group of Moscow graduate students who instigated his revival. (Most notable among these works were *Discourse in the novel* (1930s) and *Problems of Dostoevsky's creative art* (1929).) The following biographical summary draws telling parallels between Bakhtin and Stravinsky in terms of chronological lifetime, imposed exile and international acceptance in two particular centres of Western thought.

> By the time of his death on March 7, 1975, Bakhtin [b.1895] was already the object of a cult in the Soviet Union [where he was exiled to a collective farm in the 1930s under Stalinist intellectual suppression]. The cult spread through Paris to the United States in the 1980's. This phase has somewhat receded in Russia and in the West, but to date Western scholars of Bakhtin's thought have been more active than their Soviet counterparts in the difficult task of assessing the legacy.[310]

Drawing on Bakhtinian theory (irrespective of any 'conscious' influence this was unlikely to have had on Stravinsky), one can see how the concept of *exotopic resolution*, holds the key to a more context-sensitive interpretation of *multivalency* in the neoclassic aesthetic—much as *abnegatory resolution* did for the cubist aesthetic. These altered perspectives on *resolution*, which stem from 'radical' theories of *categorisation*, are perhaps a step in the right direction towards answering the call of ethnomusicologists and cultural anthropologists, like Blacking, Field and Said, for music theory (and other fields of semantic inquiry) to exhibit the type of cultural-context-sensitivity lacking in structuralist and phenomenological approaches to music analysis.

The Serial Aesthetic of Syntactic Sincerity

Although this thesis has been primarily concerned with identifying legitimate semantic frameworks in which to interpret syntactic *negation*, no aesthetic picture of *Igor's aesthetic progress* could be legitimately built in ignorance of the seemingly 'sincere' serial aesthetic. Since this subject closed the previous chapter, no extensive recapitulation is here required to contextualize its incorporation into the paradigmatic analysis of Stravinsky's aesthetics. Suffice it to say, that

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[310] Morson et al., *Mikhail Bakhtin Creation of a Prosaics*, xiv-xv. [The bracketed insertions are mine based on information from Morson's 'Biographical Sketch'.]

Stravinsky continues in this aesthetic to construct syntactic oppositions which relate to the same cultural *Ur-code* opposition governing the cubist and neoclassic aesthetics. Similarly, Stravinsky continues to 'speak' through the pretence or disguise of masquerade; the necromantically, retrospectively, conventionalised row of Schoenberg's serialism. However paradoxical it may seem, given the long-standing relationship of aesthetic 'otherness' which serialism held over Stravinsky for nearly half a century, that 'mask', however, was somewhat more 'revealing' than those gathered during his previous 'time-travelling' excursions. The fundamental difference, then, in the syntactic opposition of a work like *In Memoriam Dylan Thomas*, is that it appears devoid of masquerading status; it becomes music which deconstructs itself without threatening the semantic interpreter. Its encoded opposition between Schoenbergian sub-thematic, *musizierreihen* and Webernian abstract, *structuralism* (a neat *intraopus* articulation of Stravinsky's *extraopus*, aesthetic oppositions—i.e. cubist and neoclassic versus serial) reverses the *markedness reversal* established in the cubist aesthetic, thereby foregrounding the *liquefacient*, *thematic*, over the *mechanically gestured*, character of the music. That this ability to musically 'speak' directly to his audience, occurred only through his long-standing aesthetic 'other', and so late on in his career, is undoubtedly the greatest *tragedy* of *Igor's aesthetic progress*.

Aesthetic Progress: The Syntagmatic Dimension

The above summaries of the cubist and neoclassic aesthetic paradigms, explored in this thesis, combined with the cursory projections on serial sincerity, therefore, reveal an intriguing parallel between *Igor's aesthetic progress* and the narrative unfolding of *The Rake's Progress* when these aesthetic paradigms are considered syntagmatically. Whilst it has long been a favoured pursuit of musicologists to trace such aesthetic or biographical analogies between composers and their 'seminal' works, this is a convention which seldom extends to Stravinsky. Perhaps it risks appearing too sentimental for such an 'objective' composer. If nothing else the lessons of (getting one's fingers burnt) tracing such parallels in the exuberant, assured optimism of Symphony in C (1938-1940), should be learnt from the polemical circumstances surrounding the work:

> It was not only the outbreak of war that made 1939 the end of a phase in Stravinsky life. His wife never recovered from the

> profound shock of the death of their elder daughter from tuberculosis in the winter of 1938, and died herself the following spring, shortly followed by Stravinsky's mother. Stravinsky was in poor health himself, spending five months in the sanatorium where his wife and daughter had died....several major works had recently been coldly received....The symphony in C...was half-finished. A friend described him at this period as nervous, irritable, unable to work, eat or sleep, wanting only to get out of Europe.[311]

Aesthetic and biographic non-correlation therefore appears to be the accepted etiquette when confronting Stravinsky. At the risk of breaching this convention, however, I return to another terminal landmark in Stravinsky's career, the epitome of neoclassic dialogue discussed in chapter four. 'In the composer's own hallowed phrase quoted by Craft, "*Rake's Progress* was the end of a trend".[312] Given the caveat of such terminal works in the Symphony in C—less the end of a compositional *trend*, as the end of a biographical/geographical *era*—it might appear unwise to seek an analogous summary of Stravinsky's personal predicament. As a metaphoric synopsis of his encounter with cubism, neoclassicism and serialism, however, the proportional parallels between Tom and Igor's progress are too striking to ignore.

An intriguing subtext for the opera buffa can, therefore, be gleaned in the analogous charting of Igor's seduction away from his cubist, Russian/country origins into a neoclassic/metropolitan lifestyle, culminating in the aesthetic asylum of serialism. Although staunch advocates of Stravinsky's *neoclassicism* would delight at the thought of his *serial* period as aesthetic madness in Bedlam, such a conclusion would be naively inaccurate. Instead his serial adoption is interpreted as yet another personae but, ironically, the one in which he found his personal voice; less Stravinsky's confinement to, than his great escape from, aesthetic asylum. Igor as much as Tom therefore is perhaps the real subject of this terminal work and it is his progress, as much as any other rake's, that the opera invites one to witness. The fact that Auden and Stravinsky conceived the libretto in close association during a shared week at the composer's house (November 1947) perhaps mitigates some of

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311 Michael Oliver, *Igor Stravinsky*, 20th-century composers (London: Phaidon Press Limited, 1995), 138.

312 Druskin, *Igor Stravinsky*, 141.

the unconscious autobiographical analogies which can be inferred in the narrative.[313]

I have outlined the Rakewellian analogy of *Igor's Aesthetic Progress* in *Example 5-1* as a conclusional summation of the thesis. It represents perhaps Stravinsky's ultimate *Ur-code*, governing his syntactic and semantic framework in his evolving aesthetic, *stylistic*, and biographical teleology. Thus, just as I have attempted to overturn the naive proposition that Stravinsky's individual compositions are juxtaposed discontinuities, devoid of linear progression, so in the closing pages I offer a quasi-speculative, yet musicologically and analytically founded, hypothesis that Stravinsky's aesthetic progress is, likewise, not the discontinuous sequence of juxtaposed shifts from the Russian/cubist to the neoclassical to the serial aesthetics/stylistic periods, by which he has been categorised into the musical literature, but is rather a calculated linear *progression* towards a teleological goal.

The fundamental difference between Igor's and Tom's progress, however, is that Igor assumes the *dialogized* personae of both the naively ambitious Tom—carried along a series of paradigmatic shifts oblivious of its outcome—and the calculating Nick Shadow—meticulously guiding and calculating his every aesthetic move. There is, of course, mileage and, indeed, musicological 'fun', to be had in tracing external Shadowesque influences exerted upon Stravinsky. For example, one cannot but help casting Rimsky-Korsakov in the role of Truelove, adamant that his surrogate son should seek honourable employment in the *Kuchkist* aesthetic of the St. Petersburg *intelligentsia*, only to have him whisked away by Diaghilev, in the role of Shadow (for the first two acts at any rate). Under the international impresario's wing, Igor is catapulted around the *chic* metropolitan societies of Europe—most notably Paris—before Craft, finding Igor in aesthetic ruin in an American graveyard, takes over the role of Shadow in Diaghilev's absence. Craft does not so much claim Igor's compositional soul as confine him to the aesthetic oblivion of serialism. Curiously, however, Stravinsky finds himself able to communicate, not through Tom's Greek persona of Adonis—Igor's Greek masks were abandoned in the metropolitan neoclassic aesthetic—but through a spiritual

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313 An account of the collaboration can be found in the chapter, 'The makers and their work' in Griffiths, *Igor Stravinsky: The rake's progress*, 5-17.

introspection, expressed through biblical, memorium gestures in intimate genres, conveyed with the immediacy of the English language. The problem with this narrative, built on highly specific Shadowesque roles, however, is that it relies far too heavily on generalisation and casts, Craft particularly, in an unfair and inaccurate light. Nonetheless, tangible parallels exist through which analogies can be mitigated.

More serious implications of the Rakewell analogy can be seen in *Example 5-1*. Both Tom and Igor's 'progress' are read *syntagmatically* from the left to the right of the diagram. Tom's progress is situated at the top, Igor's at the bottom. Their *syntagmatic* 'progress' is divided into three corresponding *paradigmatic* columns which correspond with Act 1, scene i [*Country*], Act 1, scene ii to Act 3, scene ii [*Metropolis*] and Act 3, scene iii to the end [*Bedlam*]. The framework is divided into three vertical components which are demarcated by double horizontal lines. The upper *Ur-code* section outlines an established opposition of Western music, nature vs. culture, which corresponds with the first two paradigmatic columns.[314] As a familiar opposition, it functions as an *Ur-code* for classical narrative progression; a known semiotic process for motivating musical discourse.[315] According to precedent, the *Ur-code* dictates that the opposition must be resolved, often conveying some form of moral reflection in the process. This resolution corresponds with the third paradigmatic column. In Rakewell's case, the mediation of the opposition is given a neoclassic spin on a Don Giovanni-esque damnation and consignment to oblivion: Rakewell may well 'feel the chill of death's approaching wing' but it is the crueller mental death which mediates his governing *Ur-code*.

The second section, labelled *Tom and Igor*, relates Tom's progress in the upper subsection with corresponding events in Stravinsky's personal and ideological

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314 The semiotician might prefer to reformulate this as an opposition between low and high, or 'pastoral' and 'learned', cultures to remove any erroneous implication that 'nature' is somehow supra-cultural. The latter is perhaps better since the correspondence of Tom's metropolitan life with 'high' culture is uneasy to say the least. His experience of the metropolis, after all, begins in a brothel and ends with a fairground freak!.

315 Frequently cited examples of this *Ur-code* are found in the symphonies and quartets of Haydn. For example, the Emperor Quartet's abrupt juxtaposition of a droned rustic dance in E (*pastoral*) with the pomposity of the opening homophonic gesture in C (*learned*). The *Ur-code* is perhaps further explicit in the opera buffa tradition of the commedia dell'arte found in Mozart's Da Ponte operas—the recognisable necromantic home of *The Rake's Progress*. For example, the play of high and low cultures occurring between the *Gavotte* and *Musette* dance forms in the Act 2 Finale of *The Marriage of Figaro*.

progress in the lower subsection. The correspondence draws on three parallels fitting the paradigmatic columns:

i. Stravinsky's Russian life, *Kuchkist* ideology, and love for Catherine is analogous to Tom's original country idyll and love for Anne.

ii. Stravinsky's *Miriskusnichestvo*[316] ideology and neoclassic Parisian life, complete with the 'vices' of two mistresses is analogous to Tom's descent into the metropolitan vices of money, happiness and hubris.

iii. Stravinsky's serial American life (a form of aesthetic asylum) is analogous to Tom's asylum in Bedlam.

Merging between the two subsections (demarcated in the dashed rectangle) are two corresponding 'curios' which outline a common ground in the metropolitan pursuits of the rake and aesthete:

i. Tom's stones into bread contraption and Igor's preoccupation with Player Pianos,[317] both of which reflect a common interest in 'mechanical artifice'.

ii. The absurdities of Tom's marriage to Baba and Igor's ballet for elephants,[318] both of which reflect a mutual tendency towards the existential behaviour of *actes gratuits*.[319]

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316 *Miriskusnichestvo* ideology refers to the aesthetic of the *Mir Iskusstva*, "The World of Art" magazine—founded and edited by Diaghilev—and series of art exhibitions through which Stravinsky was enculturated into neoclassic internationalism. See Taruskin, *Stravinsky and the Russian traditions*, 1678, s.v. "*Mir Iskusstva*".

317 The attraction of 'player pianos' and their aesthetic impact on Stravinsky is discussed in Lawson, "Stravinsky and the pianola," 284-301. Intriguingly both Tom and Igor's contraptions seemed to offer solutions to the problems of their metropolitan lifestyles. For Tom, a financial solution, as well as the preposterous moral notion that it would vanquish 'toil, hunger, poverty and grief'. For Igor, restricted subjectivity, rhythmic exactitude and financially inexpensive performances. There is a fascinating ironic reversal, however, in what each protagonist strives to achieve from his machine. Igor attempts to transform a live/subjective element (human performance) into a dead/objective element (mechanical execution)—essentially the same aesthetic ideal as that motivating both the monumentality of works such as *Oedipus Rex* and his tireless pursuit for compositional integrity through definitive recordings. Tom, by contrast, attempts the opposite: turning the monumental entity of stone into the live perishable entity of bread.

318 I refer, of course, to *The Circus Polka*, for which Ballanchine must assume something of a Shadowesque mantle in persuading Stravinsky to compose this fair ground 'freak'—a fitting parallel to Tom's futile marriage (prompted by Shadow) to the fair ground freak of Baba the Turk (a bearded woman of reputed ugliness). Stravinsky tells us: 'The composition was suggested by George Balanchine who actually is composing the choreography for "a young elephant"'. (Robert Craft, ed., *Stravinsky: selected correspondence*, vol. III., 3 vols. (London: Faber and Faber, 1985), 280-281.) One can almost hear the dialogue between a Rakewellian Stravinsky and a Shadowesque Balanchine, upon the latter's suggestion to compose the polka: '[Rakewell] Have you taken leave of your senses? [Shadow] I was never saner.' (Auden and Kallman libretto *The Rake's Progress* Act 2, scene i (Recitative, *Figure 21*[-2], persuading Tom to marry Baba).

319 The notion of *acte gratuit* is prompted by Walsh's *surrealist* discussion of Tom's actions as expressing 'the emptiness of total freedom' (Walsh, *The music of Stravinsky*, 212). *The Circus Polka* is analogous to an *acte*

The final section, *Composition Codes*, outlines the essence of the aesthete's progress by constructing a parallel between the *Ur-codes* governing *The Rake's Progress* and the aesthetic progress of Stravinsky's compositions. Again these inferences fall within the three paradigmatic columns governing the whole of *Example 5-1*.[320] From this one can see a unifying *external perspective* founded on 'familiarity' in both the works of Stravinsky's 'natural' and 'cultural' ideologies.The *natural ideology*, corresponding to his Russian/Cubist aesthetic, conjures up a false sense of familiarity based on Eastern archaism. Stravinsky evokes a sense of artificial cultural familiarity through ethnic and ancestral mediums which neatly fit the categories of primitivism, Eurasianism and Orientalism.[321] The works of this aesthetic exhibit a tendency towards ethnic ensembles (the string quartet of *Excentrique* being something of the exception which proves the rule) and are generally programmatic and/or contain texts which are fundamentally alien to the Western listener. The *cultural ideology* of the neoclassic aesthetic, in contrast, derives its sense of familiarity from *Ur-codes* corresponding to Western tastes. Ethnic ensembles tend to be replaced by conventional ensembles (admittedly subjected to Stravinsky's inimitable neoclassic twists of orchestration) and programmatic or alien-texted music is replaced by 'absolute' music or texts founded on well known mythical or religious predicates. The *codes* of this external familiarity, therefore, tend to find their cultural identity, again under three category headings:

i. 'High' cultures, such as Greek subjects and/or Germanic genres.

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gratuit simply because, like Tom's marriage to Baba, it appears to be nothing short of a purposeless act undertaken—at someone else's influential prompting—as a mere expression of one's personal freedom. Considering that *The Circus Polka* comes from the same pen as *The Rite of Spring*, it not only appears to be an *acte gratuit* but a gratuitous act of the most heinous kind.

320 There is a slight temporal dislocation in this paradigmatic reduction which should be noted. The second subsection associates Stravinsky's *Kuchkist* ideology with the first paradigmatic column for its obvious connection with Rimsky-Korsakov as a proto-Truelove character. Similarly, the *Mirtskusnichestvo* ideology is associated with the second paradigmatic column for its obvious connections with Diaghilev. Chronologically, however, the fit is less exact than these columns suggest. The first paradigm refers not exclusively to the *Kuchkist*, but also to the Russian/cubist aesthetic ideology and the *Mirtskusnichestvo* ideology overlaps both the Russian Ballets of the first paradigm and the neoclassic works of the second. The approximation of the fit, however, remains convincing.

321 For a discussion of the oriental category see Takashi Funayama, "*Three Japanese Lyrics* and Japonisme," chap. 16 in *Confronting Stravinsky: man, musician and modernist*, ed. Jann Pasler (Berkeley and Los Angeles, California: University of California Press, 1986), 273-83. The subject is also covered in its wider cultural context in Watkins' chapter, "Of nightingales and ukiyo-e", in *Pyramids at the Louvre*, 38-60.

ii. 'Urbane' cultures such as the contemporaneous Jazz and Café concert culture or even the, then out-dated, *Barvstvo* culture.[322]

iii. 'Folksy' cultures such as those found in the commedia dell'arte or even the circus conventions.

The final shift to *necromantic ideology* sees predominantly *chic*, secular subjects replaced by *moral* introspection and predominantly conventional genres replaced by highly personalised genres (even taking into account Stravinsky's usual bent for customising ensembles). In his serial retrospective, Stravinsky abandons the cubist tendency to evoke primitive cultures and his neoclassic tendency to re-carve cultural niches. If anything the works appear culturally alienated; highly individualised, rather than appealing to collective sentiments. Cultural situatedness is, therefore, replaced with spiritual introspection. Gone are the facades of distanciating, culture-specific languages, conventions and narratives, as Stravinsky turns to the international language of English (notably medieval, renaissance and twentieth century), the genre of *song* (perhaps the least conventionalised/most idiosyncratic of all genres) and biblical text narratives (perhaps the widest, globally recognisable narratives). As if these were not signs enough of a new found desire to communicate through personal 'expression', the serial works become increasingly dominated by *in memorium* gestures, as if a deep-felt need for spiritual expression became a requisite for compositional motivation. It is at this antipodal location to the motivation behind a work like the optimistic Symphony in C, that one feels able to glimpse behind Stravinsky's long-standing aesthetic *mask* to the underlying *soul*.

In summary then, *Example 5-1* displays Igor's corresponding syntagmatic shifts of the Russian/cubist, neoclassic and serial aesthetic to the paradigmatic headings of Tom's progress from natural ideology' through 'cultural ideology' to 'necromantic ideology'. The cubist aesthetic exploits *natural* 'folklore subjects', prototypically *primitive*, *Eurasian* or *Oriental* in their Eastern, archaic, cultural evocation. *Culturally* 'familiar subjects' become Stravinsky's *chic*, Western currency in the

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322 The *Barvstvo* culture (the Russian high society of their day) is concisely defined by Taruskin in relation to Stravinsky's adoption of the out-moded models of Pushkin, Glinka and Tchaikovsky, which he argues were adopted in *Mavra* primarily for their artistic and social connotations. 'Their work, implicitly by virtue of the genres they cultivated and explicitly by virtue of many of the texts they set and the patronage they invited, ardently upheld the values of the tsarist social structure', Taruskin, *Stravinsky and the Russian traditions*, 1535.

neoclassic aesthetic, exploiting 'high' culture (*Greek* mythology/manner of presentation and *Germanic* genres), 'urbane' culture (*Jazz* genres of the *café concert* and *Barvstvo* buffa conventions) and 'folksy' culture (*commedia dell'arte* buffa and *circus* oddities). His final paradigmatic shift appears to replace Western *chic* with Western *morality* in his inward turn to 'spirituality' (*biblical* texts and subjects, and *elegiac* memorial gestures) and the cross-cultural language of 'English' (the antithesis of the removed, stylised, evocative, culture-specific languages of Latin, Russian or French) frequently communicated through the intimate genre of song.

Into this complex picture, fits numerous other, intriguing parallels. Nowhere is Stravinsky's situation more Rakewellian in perspective, than when one considers the composer transplanted from his natural homeland to an alien cultural metropolis. Igor's pastoral idyll is not the Rakewellian country garden but the bourgeoisie Russian idyll of St. Petersburg academic society. His metropolis is not eighteenth century London but the transient, fashionable Parisian society of the 1920s. When Cocteau suggests that 'the café concert...is often pure; the theatre always corrupt',[323] he perhaps reveals himself as something of a Shadowesque character, aiding Igor's progress. At the heart of this suggestion lies a polarity between Stravinsky's, then exiled, love for the Mariyinsky *theatre* and the *chic* Parisian *café* culture into which he was thrown. This conveys overtones of Shadow's influence on Rakewell, transplanting him from the *garden* to Mother Goose's *brothel*, where Tom (admittedly faltering on love) renounces the values of country life (beauty, pleasure and love) in deference to the transient values of a new found rakish metropolis.

Just as Shadow seduces Tom into a doctrine of *individualism*—revoking his pastoral roots, the conservative apprenticeship ethic, and his love for Anne—so too Igor is seduced into Parisian culture; a transition entailing similar sacrifices. The Mariyinski theatre is replaced by the café concert; his 'true love' for Catherine is forsaken for the highly fashionable mistress of Coco Channel (and later Vera Seduvka); and one could even argue that the teachings of his academic

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[323] Cocteau Jean Cocteau, *Le Coq et l'arlequin* (1918) in *Le Rappel à l'ordre* (Paris: Stock, 1926), 29, cited Walsh, *Stravinsky: Oedipus Rex*, 3.

apprenticeship are abandoned to 'follow nature' in the form of individualised re-enactments of historical masters. These re-enactments are, of course, distorted by Stravinsky's neoclassic ability to control time. One thinks of Lambert's notion of 'time travelling'[324] as a possible parallel for Shadow's manipulation of time both in Mother Goose's brothel and at the graveyard, as if Stravinsky knew all too well Shadow's revelation as he turns back the clock: 'See. Time is yours. The hours obey your pleasure. Fear not. Enjoy. You may repent at leisure.'[325] Whether or not Stravinsky's consignment to the 1960s American climate of serialism represented some form of 'repentance' for the composer who, more than any other, appeared to 'fear not', and 'enjoy', manipulating time, is a speculative debate beyond the bounds of this thesis. The signs are not so much of *repentance*, as personal *reflection* and few octogenarian composers' works are anything but devoid of that! What matters is that this point of repentance or reflexive repose demarcates a teleological point along a fascinating and intricately complex syntagmatic chain of aesthetic progress. A possible interpretative glimpse of this progress can be seen in *Example 5-1*, below.

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[324] Lambert, *Music Ho!*, 46-53.

[325] Shadow's words to Tom as he winds back the clock in Mother Goose's brothel, Auden and Chester Act 1, scene ii of *The Rake's Progress* (*Figure 144*).

Ur	**The Rake's Progress** →	→	→	→	→	→
C O D E	Classical Narrative Progression Meyerholdian Aesthetic—Re-enactment within familiar frames (arenas of play) **Nature** (low)	opposition lacks	**Culture** (high)	resolution accountability	**Moral outcome** (oblivion)	
T	**Country** Pastoral Idyll Work Ethic 'Why should I labour..?'		**Metropolis** Transient Society Individualism 'To shut my ears to prude and preacher'		**Bedlam** Decline into Madness Loss (of Sanity) 'My heart breaks. I feel the chill of death's approaching wing.'	
O	**Virtue** *Beauty, Pleasure, Love* Anne Truelove	renounced	**Vice** *Money, Happiness, Hubris* Mother Goose's Brothel	desired	**Accountability** *Death/Loss of Sanity* Graveyard scene	
M	Stones to Bread **Mechanical Artifice** Player Piano		Baba the Turk ***Acte Gratuit*** *Circus Polka*			
I G O R	Catherine Stravinsky (1 Forsaken Love) **Russian Nationalism** St. Petersburg Intelligentsia Rimsky-Korsakov *Kuchkist* Ideology		Coco Channel & Vera Seduvka (2 *chic* Mistresses) **Neoclassic Internationalism** *Chic* 1920s Paris Society Diaghilev *Miriskusnichestvo* Ideology		**Serial Sincerity avoids Aesthetic Asylum** 1950s American Society Craft *Second Viennese* Ideology	
C O	**Natural Ideology** Ritualistic / Primitive **Primitive Culture** / **Folklore Subjects** / **Radical Genres**		**Cultural Ideology** Conventional / Cultured **Classical Genres** / **Familiar Subjects** / **Cultural Niches**		**Necromantic Ideology** Didactic / Academic **Cultural Alienation** **Personal Familiarisation**	
M	EASTERN ARCHAISM	Programme/ Alien Text	Absolute/ Mythic	WESTERN *CHIC*	WESTERN MORALITY	Intimate Memorials
P		Ethnic ensembles	Conventional ensembles			Personal Ensembles
O	**PRIMITIVE** *The Rite*	Russianism	Oratorio	*Oedipus Rex* *Persephone*	Greek	Biblical *A Sermon, etc.* *The Flood*
S	**EURASIAN** *Les Noces* *Renard* *L'Histoire*	Turanianism	Classical Ballet	*Apollo* *Orpheus*	**HIGH**	**SPIRITUAL** *Abraham&Isaac* *Threni* *Epitaphium*
I	**ORIENTAL** *Japanese Lyrics*	Japanism	Symphony Sonata Concerto	*in C / 3 Movts* *for Piano* *Ebony*	Germanic	Elegiac *Elegy for JFK* *Var.s* (Huxley) *Introitus* (Eliot)
T			Jazz Ensem. Piano	*Praeludium* *Tango*	Jazz Café Concert	Medieval Renaissance *Cantata/Flood* *3 Songs(W. S.)*
I					**URBANE**	**ENGLISH**
O				*Mavra*	*Barvstvo*	*In Memor.* (DT)
N			Opera buffa	*The Rake*	*Commedia dell'arte*	C20 *Anthem* (Eliot) *Owl & Pussy*
					FOLKSY	
			Ballet buffa	*Circus Polka*	Circus	
C	**External Perspective**				**Internal Perspective**	
	Mask				*Soul*	
O	**Ethnic & Ancestral Familiarity**		**Classic & Contemp. Familiarity**		**Subordinate Familiarity**	
	(Dual Familiarity)				(Unfamiliar)	
D	**Evocative**		**Prescient**			
	'Closed Work'				**'Open Work'**	
E	**Conceals Personality**				**Discloses Personality**	
	Defamiliarises within contexts of familiarity				*Familiarises defamiliarity*	
S	**The Aesthete's Progress** →	→	→	→	→	→

Example 5-1: Igor's Progress: an Operatic Analogy

The overriding semantic conclusion to be drawn from Igor's aesthetic progress, then, is that it appears to be motivated by the same cultural *Ur-code* found operating within each individual aesthetic; the opposition between *mechanical artifice* masquerading a *human soul*. Taking the three aesthetic paradigms from *Example 5-1*, one can conclude that the cubist aesthetic embodies a complete *micro, paradigmatic opposition* of syntactic *deadlock*, masquerading a linear narrative which is resolved by *abnegation*, articulated by *tropological* interpretation which is supported by *intraopus* harmonic articulations, *extraopus* cultural expectations and *hermeneutic windows* (processes which were outlined in chapters one and two). Similarly the neoclassic aesthetic embodies a complete *micro, paradigmatic opposition* of syntactic *multivalency*, likewise masquerading a linear narrative which is resolved by *exotopy*, articulated by *dialogical* interpretation which is again supported by *intraopus* harmonic articulation, *extraopus* cultural expectations and hermeneutic windows (processes outlined in chapters one and three). The serial aesthetic was projected in chapter four as embodying a complete *micro, paradigmatic opposition* of Schoenbergian *Musizierreihen* masquerading *Webernian abstraction* (outlined in chapter four's evaluation of *In Memoriam Dylan Thomas*). These paradigmatic oppositions within individual aesthetics comprise the semantic mechanisms for decoding Stravinsky's musical syntax—the 'how', rather than the 'what' of his musical meaning, operating within individual aesthetic paradigms.

These paradigmatic oppositions are counterbalanced by a synonymous *macro, syntagmatic opposition* between the combined cubist and neoclassic aesthetic paradigms when considered in relation to the serial paradigm. The cubist and neoclassic aesthetics embody the *unmarked* side of an *external perspective* which masks the soul disclosed in the *internal perspective* of the *marked* serial aesthetic. This overarching syntagmatic opposition is perhaps the ultimate key to unlocking an accurate semantic picture of Stravinsky's entire musical output. It is itself, nothing but another instantiation of the mechanical-human *Ur-code* operating this time not intraopusly, within a specific work, such as *Excentrique*, nor extraopusly, defining a specific aesthetic, such as the cubist aesthetic, but syntagmatically across the paradigms of Igor's aesthetic progress. Throughout the thesis this *Ur-code* has frequently been referred to as the 'Petrushka syndrome' to identify a culturally

informed common thread of depersonalisation and masquerade unifying the works explored (as prototype representatives of Stravinsky's wider aesthetic picture). Before interpreting the significance of the 'Petrushka syndrome' in its syntagmatic dimension, a brief recapitulation of this *Ur-code* is required.

The 'Petrushka Syndrome'

Considering the meaning of the word syndrome ('any combination of signs and symptoms that are indicative of a particular...disorder'[326]) it is somewhat surprising that the expression has not gained considerably more currency among semioticians. Perhaps this is because the business of musical semioticians has, by and large, been more concerned with identifying salient features indicative of 'order' rather than 'disorder'. Where Stravinsky's genius lies—and where his 'angle to the German stem' is perhaps at its most advantageous—, however, is in his narrative play between order and disorder. I adopt the expression 'Petrushka syndrome', therefore, as a descriptive for what could be described as a culturally-sensitive seme for interpreting combinations of 'signs and symptoms that are indicative of a particular disorder' found throughout much of Stravinsky's music (and, indeed, the music of Western culture in general). It is prototypically defined by Petrushka the puppet-person and *Petruskha* the ballet—in preference to tracing its historical antecedents; a process which would inevitably assume something of a spiral of infinite regression[327]—on the grounds that it finds its most crystallised form, for Stravinsky, in this ballet and its protagonist. Petrushka is prototypical of the syndrome because of its/his explicit tritone opposition which supports the gestural opposition (also framed within the narrative tableaux of the ballet) between the human soul of the person and the depersonalised machination of the crowd. Indeed, the tritone alone is something of an icon for twentieth century harmonic culture because of its in-built stasis, double dissonance, and lack of tonal definition. In Petrushka the tritone opposition is so raw, however, that it, alone, represents something of an icon for twentieth century harmony, encapsulated in a single

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326 *Collins concise dictionary plus* (1989), s.v. "syndrome."

327 Taruskin, for example, would argue that the Petrushka syndrome can be traced back within its own Russian culture to the traditional Rulanesque opposition between the fantastic (nonhuman) and the realistic (human): the former typically comprised of 'symmetrical Russian chromaticism', the latter, diatonic folklore. Taruskin, *Stravinsky and the Russian traditions*, 735. (See *footnote 136.*) Undoubtedly it can be traced back still further.

configurational gesture. The function of this tritonal opposition, as Stravinsky's metonymic icon of the wider twentieth century opposition between the human and the machine—an opposition stemming back at least to Cartesian dualism—, is generated by some form of musico-dramatic disorder. The Petrushka-chord is seen to embody so much harmonic 'disorder' that numerous attempts have been made to subsume the configuration into 'order'. Inevitably these come down on the side either of White's—now disreputable—*bitonality*[328] or Berger's[329]/Messiaen's[330] *octatonic* explanations.

An idea as to the utility of the 'Petrushka syndrome', can be gained by paralleling it with the type of oppositions gaining currency in the topic theory Agawu proposes for classical music.[331] Oppositions of *high* and *low* culture between 'gavotte' and 'musette' topics, for example, give the listener the same sort of semantic 'handle' on the music as one can grasp from Stravinsky's oppositions of the mechanical and liquid, the personal and depersonal. Where my focus shifts perspective away from the traditional semiotician or archaeological historicist, however, is that, unlike Agawu or Taruskin, I am not primarily concerned with identifying the 'order' of a definable universe of topics for twentieth century music, sured-up with ancestral musicological evidence, but rather, with interpreting the consequent *disorder* which Stravinsky generates in their deployment. The primary source of this 'disorder' is the conflation of semes/schemata/voices at the *matrix* or *model* level which can be identified through markedness or prototypicality theory. The respective interpretative mediation demanded by this 'disorder'—be it 'subversion', in the case of the former, or 'negation' in the case of the latter—is found through *tropological* and *dialogical* frameworks. What this semantic-derivative-of-syntactic process actually tells us about the music is inevitably not 'what' the music expresses, but how it can be understood to convey meaning in a seemingly disordered context, interpretable to the culturally sensitive listener. In the absence of any better justification for a strategy purporting to seek *disorder* above *order*, I turn to Blacking's motivation underlying his dictum of cultural sensitivity:

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328 Eric Walter White, *Stravinsky: the composer and his works* (London: Faber and Faber, 1966), 161.

329 Arthur Berger, "Problems of pitch organization in Stravinsky," *Perspectives of new music* II/1 (1963): 11-42.

330 Olivier Messiaen, *Technique de mon langage musical* (Paris: Leduc, 1944).

331 Agawu, *Playing with signs*, 30.

'ambiguous interpretations of musical signs are probably the most potent sources of musical innovation and change'.[332]

The *ur-codes* for this *disordered* 'tradition' are clearly identified in the description of Petrushka which prefaces the ballet: 'He feels bitterly...his exclusion from ordinary life, his ugliness and his ridiculous appearance'.[333] Baba's alienating features also connect with Petrushka's appearance, breaking away from the deficient 'foot fetish' uniting the ridiculous appearances of Little Tich's limp and Oedipus' swollen foot. There is, however, one crucial difference between Baba and the other, curiously all male, protagonists. Much emphasis in this thesis has been given to mediating the alienating external personae of these characters—or language styles in the more abstract works—to reveal the internal personality beneath their facades. Again the *Ur-code* for this practice is clearly articulated in the whole theatrical and musical construction of *Petrushka* where the internal world reveals our prototype anti-hero of the twentieth century as ironically more human than the external world of a mechanically portrayed crowd. The same code re-emerged for Little Tich and Oedipus, interpreted through the tropological and dialogical mediation of exterior mechanical gestures and interior liquid/human personalities. Little Tich conveyed the same performer's alienating occupational hazard as Petrushka, and indeed Baba (consider *Figures 147-149* of *The Rake's Progress* where the crowd of servants demand a performance, gasping in admired horror at her appearance as 'Baba blows them a kiss and keeps her arms outstretched with the practiced gestures of a great artiste'). Oedipus' form of 'exclusion from ordinary life', however, like that of Baba's, differs from the situation of Little Tich and Petrushka. It is a difference fundamentally of *low* and *high* cultures. Whereas the latter two performers are deeply rooted in their own low-culture familiar personae of the clown and puppet—both appealing to (and simultaneously being ridiculed by) the masses—Oedipus is alienated from the masses by his Kingly status. Interestingly Baba transcends both *high* and *low* cultural forms of alienation. What could be lower than a circus-fair bearded women, yet at the same time even this status is parodied by the metropolitan

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[332] Blacking, *Music, culture, and experience*, 229.

[333] Igor Stravinsky and Alexandre Benois, *Petrouchka: burlesque in four scenes*, Hawkes pocket scores, No.639, Revised 1947 ed. (New York: Boosey & Hawkes, Inc., 1948), Manuscript Score, B.& H. 16236, synopsis.

society's adoption of such an artifice. The audience is left in no doubt about Baba's aristocratic status when in her hilarious aria (Act 2, scene iii) she complements her 'learned' operatic style with a name-dropping extravagance along the lines of: 'Sir John, musical glasses, Vienna, Milan, Chinese fan, Lord Gordon, snuff boxes, Paris, fulminous gravels, cardinals, Rome, Count Moldau, Prince Obolovsky'; an iconic inventory of the upper classes if ever there was one!

Where, however, Baba embodies the dual aspects of the King's high culture and the puppet/clown's low cultural pedigree, nowhere is she given the human interior of our three other protagonists. Any attempt to mediate her 'character' in a similar manner to that done for the other protagonists will prove fruitless. Her musical presentation does not embody the same dialogized heteroglossia of an Oedipus, Little Tich or Petrushka. She is simply an exterior without any interior presentation, the mechanical construct of metropolitan artifice, the ludicrous gestures of Little Tich, the infernal machine of the Gods relentlessly ticking away towards Oedipus' inevitable fate, and the automaton of Petrushka's Russian Dance or the activities of the crowd around him. Her dehumanised perspective is starkly announced at her very first appearance (before even the audience is allowed a glimpse) when, in response to her picture, Tom asks Shadow: 'Is such a thing possible in nature?' Indeed nowhere does Stravinsky attempt to portray her humanistically; instead this role is given over to Anne, hence the true dialogue of the so-called 'trio' can be unravelled. Anne and Baba represent the one character distilled into their separate components who only form the dialogized heteroglot of an Oedipus, Petrushka or Little Tich when they come together in conflation. Stravinsky's use of the two female characters, then, is still fundamentally based on the same *Ur-code* of the depersonalised human, governing his male protagonists, but one revealed through distillation which only generates the same form of dialogized heteroglot when they are conflated together; hence the absolute pivotal role of the Trio in the opera as a whole.

What is significant about the interrelationship of these prototypical aesthetic characters is that their exclusion, dehumanisation and external perspectives are central tenets of *Igor's aesthetic progress*. They form the syntactic norm of Stravinsky's cubist and neoclassic aesthetics in relation to the personalised, internal

perspective of the serial aesthetic. The 'Petrushka syndrome', as a cultural convention can be reinforced by Vsevolod Meyerhold's post-symbolist theories on theatrical presentation.

A Masquerading Meyerholdian Aesthetic

Two key Stravinsky writers, Druskin and Walsh, have drawn parallels between the composer and Meyerhold.[334] Walsh correctly states that 'too little has been written about this connection',[335] but it is a short-coming in the Stravinsky literature which is beyond the bounds of this thesis to correct in a mere concluding analogy. Two respective summaries from these commentators, however, should establish both the historical validity and aesthetic utility of identifying parallels between Meyerhold's theories on theatrical presentation and Stravinsky's cubist and neoclassic aesthetics.

> We must presume that Stravinsky was acquainted with Meyerhold's early publications, in which he championed the principles of the conventional theatre with its rejection of stage accessories and the subordinating of the actor to verbal rhythm and plastic movement. Stravinsky naturally shared in the prevailing cult of the past which was proclaimed by members of the 'World of Art' group [*Mir iskússtva*] and, partly under their influence, by such producers as Evreinov, Tairov and, most importantly, Meyerhold. Their aim was to achieve a kind of transformed restoration of early theatrical traditions, the unsophisticated immediacy of the conventions of Shakespeare's day, of the *commedia dell'arte*, mediaeval mystery plays, the popular show-booth, the fairground peepshow, the acrobats of the circus and the Japanese marionette-theatre, in which actors manipulate the marionettes in full view of the audience.[336]
>
> Under the influence of symbolists Maeterlinck and Fuchs, Meyerhold rejected the current conventions of stage realism and envisaged a production style in which the sole aim would be to realise the hidden or inward sense of the action. At first (and later in the post-revolutionary Soviet theatre) he experimented with severely restricted gesture, a reduced stage and highly abstract design and lighting. In due course he incorporated certain artifices from ancient popular theatre, including the use of masks to signify 'the emotional self-control and physical dexterity that enable the actor to assume the various aspects of his part, "to manipulate his masks", and at the same time to comment—both implicitly and explicitly—on the

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[334] The subject is also discussed in W. Domling, "Stylization and theater - the stage-works of Igor Stravinsky in relation to the theatrical concepts of W.E. Meyerhold," *Maske Und Kothurn* 28, no. 1 (1982): 18-34.

[335] Walsh, *The music of Stravinsky*, 67.

[336] Druskin, *Igor Stravinsky*, 55-56.

> actions of himself and his fellow-characters, thereby affording the spectator a montage of images, a multi-faceted portrait of every role'. 'The new *theatre of masks*', Meyerhold himself wrote, 'will learn from the Spaniards and Italians of the seventeenth century and build its repertoire according to the laws of the fairground booth, where entertainment always precedes instruction and where movement is prized more highly than words'.[337]

Briefly deconstructing these quotations highlights a vindication of Stravinsky's use of masks as a semantic mechanism (argued for in this thesis) which transcends the arts. Just as Meyerhold 'rejected the current conventions of stage realism', so the semantic inquiry of this thesis began from the premise that Stravinsky was long established as the master of musical subversion. *Excentrique* epitomised his own rejection of the current conventions of Germanic expression in their long established, prototype genre of string quartet. When Walsh states that 'he experimented with severely restricted gesture, a reduced stage and highly abstract design', one could be mistaken for hearing an almost literal description of *Excentrique*. It is precisely the highly restricted, yet foregrounded gesture, of this 'enigmatic little grotesque' which attracts the semiotician to sharpen his analytic tools. For what strikes one about *Excentrique* is the semantic problem its fractured, seemingly discontinuous surface, poses. One is intuitively conscious that these restricted gestures have nothing whatsoever to do with a naive composer's inarticulate manner but are a deliberate strategy to render more starkly a series of encoded signs, playing on cultural conventions, which require sensitive decoding. Despite the complex appearance of the semantic framework of markedness/prototypicality and tropology/dialogue, such decoding is by no means a cryptic process but one bearing the same immediacy with which one engages with 'the popular show-booth, the fairground peepshow, the acrobats of the circus, the Japanese marionette-theatre and the commedia dell'arte. In Stravinsky's masquerading aesthetics, actions unquestionably speak louder than words, or, as Walsh describes Meyerhold's theatre, 'movement is more highly prized than words'. This fundamental principle is intrinsic to any sensitive interpretation of Stravinsky's musical meaning. It explains why the verbally silent and gesturally extreme genre of *ballet* is Stravinsky's prototype medium for, or radial centre of,

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[337] Walsh, *The music of Stravinsky*, 67-68, citing Edward Braun, *The director and the stage* (London: Methuen, 1982).

the cubist and neoclassic aesthetics. When, in these first two aesthetic paradigms, Stravinsky had recourse to words, the texts were, by and large, 'alien' to his international audience. A cursory glance at his text sources from the post-apprenticeship works to *The Rake's Progress* demonstrates that with a few notable exceptions, these sources were far from mainstream for a predominantly European and American audience: Pushkin (*The Faun and the Shepherdess*, *Mavra*), Gorodyetsky (*Two Songs*), Mitussov (*The Nightingale*), Verlaine (*Two Poems of Verlaine*), Balmont (*Two poems of Balmont*, *Zvyezdoleeki*), *Three Japanese Lyrics*, Afanassyev (*Pribaoutki*, *Reynard*, *Three Tales for Children*), Kireyevsky (*Cat's Cradle Songs*, *The Wedding*), Sakharov (*Four Russian Peasant Songs*), Ramuz (*The Soldier's Tale*), Sophocles (*Oedipus Rex*), [Biblical: Psalms 38, 39 and 150 (*Symphony of Psalms*) and Genesis (*Babel*)], Gide (*Persephone*), Cingria (*Petit ramusianum harmonique*), Jean de Meung (*Hommage à Nadia Boulanger*) Kyrie and Gloria (*Mass*).

Even for those for whom the text was not alien, Stravinsky's treatment of it was anything but semantically sensitive. The literal meanings of the words were, to Stravinsky, largely irrelevant. 'When I work with words in music, my musical saliva is set in motion by the sounds and rhythms of the syllables...the manner of saying and the thing said are, for me, the same'.[338] Taruskin summarises this depersonalising approach to text in his seminal article, identifying the socio-historic perspective of Stravinsky's 'notorious text setting':

> For Stravinsky, once he had made his "rejoicing discovery",[339] the accents of spoken language were merely there to be manipulated like any other musical parameter, for the sake of musical enjoyment. "Words," he asserted in one of his more belligerent manifestos, "far from helping, constitute for the musician a burdensome intermediary....For music is not thought."[340] Instead, he maintained, he sought syllables, that is, lingual sounds to match with musical sounds. For if, as Mallarmé put it to Degas in a phrase that so delighted Stravinsky that he quoted it twice in his published writings, "one does not create rhymes with ideas but with words,"

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[338] Stravinsky et al., *Dialogues*, 22, 26.

[339] Stravinsky describes as 'one of the most rejoicing discoveries of my life' his realisation of the difference between sung and spoken accentuation manifest in Russian folklore, Stravinsky et al., *Expositions and Developments*, 121.

[340] Igor Stravinsky, "M. Igor Strawinsky nous parle de "Persephone"," *Excelsior* 1 May (1934), rpt. White, *Stravinsky*, 534.

> then one does not create music with words but with sounds—or at least Stravinsky did not.[341]

In short, just as Meyerhold exploited the 'laws of the fairground booth, where entertainment always precedes instruction and where movement is prized more highly than words', so too Stravinsky exploits highly stylised mediums and subject matters in which 'movement', as musical gesture, 'is prized more highly than words'. This is perhaps the greatest common thread throughout the cubist and neoclassic aesthetic, linking the puppet's portrayal in *Petrushka* with the clown's portrayal in *Excentrique* and the King's portrayal in *Oedipus Rex*, not to mention the Turk's portrayal in *The Rake's Progress*. To compound his bent for 'movement', Stravinsky carefully selects characters whose external appearance personifies absurd gestures of movement. Petrushka, we are told in the introduction to the ballet, is 'excluded from ordinary life', is 'ugly' and embodies a 'ridiculous appearance'; Little Tich limps onto and off the stage prior to and after a performance, something which places him as the object of ridicule; Oedipus, likewise the object, this time of the God's ridicule, embodies a swollen foot; and finally Baba the Turk, the bearded performer of reputed ugliness, personifies the exaggerated gestures of the accomplished artiste, again, something which places her as the object of ridicule. These characters, therefore, are made 'familiar' to the audience by virtue of their caricatured personae—the masks obscuring their souls/identities—in a manner which is, therefore, commensurate with Meyerhold's anti-realist theatrical representation. It is his incorporation of 'certain artifices from ancient popular theatre, including the use of masks to signify the emotional self-control and physical dexterity that enable the actor to assume the various aspects of his part "to manipulate his masks"', that resonates strongly with Stravinsky's cubist and neoclassic aesthetics, built on masquerading negation of convention, manipulated to conceal any sense of underlying personal identity. This is the semantic problem to be resolved in Stravinsky's non-serial aesthetics.

It is precisely for this reason that I conclude by referring to Stravinsky's compositional *Ur-code*, identified in the earlier chapters, as the 'Petrushka

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[341] Richard Taruskin, "Stravinsky's "rejoicing discovery" and what it meant: in defence of his notorious text setting," in *Stravinsky retrospectives*, ed. Ethan Haimo and Paul Johnson (Lincoln and London: University of Nebraska Press, 1987), 196.

syndrome', for it is the same semantic problem encountered in understanding both the tormented puppet, anti-hero and the ballet's narrative of exterior mechanical worlds opposed with interior human worlds. Just as the audience in Meyerhold's theatres (one of which—The Mariyinski—, of course, was something of a spiritual, artistic home to Stravinsky, prior to his Russian exile) were afforded 'a montage of images, a multi-faceted portrait of every role; the new *theatre of masks*', so too Stravinsky, whether by directly opposed deadlock or multivalent characterisation, affords his audience a multi-faceted *tropological* and *dialogical* portrait of every composition; a new music of masks. In his monograph on Meyerhold, Braun, citing Belïy gives an accurate description of masquerading art as that which dismantles reality; it offers an apt description for the analytical mind disclosed in Stravinsky's cubist and neoclassic aesthetics.

> Art is incapable of conveying the sum of reality, that is, all concepts as they succeed one another in time. Art dismantles reality, depicting it now spatially, now temporally. For this reason, art consists either in images or in the alternation of images: the first yields the spatial forms of art, the second—the temporal forms. *The impossibility of embracing the totality of reality justifies the schematization of the real (in particular by means of stylization).*
>
> Stylization involves a certain degree of verisimilitude. In consequence, the stylizer remains an analyst *par excellence*.[342]

Stravinsky, perhaps more than any other composer, established the trend for the twentieth century composer to analyse his own music as the creative process of composition. This is precisely what Collaer referred to (cited in chapter two, see *footnote 151*) when relating Stravinsky's and Picasso's cubist aesthetic. 'In approaching the most elemental materials of their art, and using them to build on a surface cleared of all inherited traditions, they [Stravinsky and Picasso] allow the closest view of the phenomenon of creation'. It may be that the surface of Stravinsky's cubist aesthetic appears 'cleared of all inherited traditions'—that is after all the semantic problem the music poses—but the syntactic units are entirely familiar signs; it is merely the 'play' made upon them which questions traditions, thereby donning a semantic mask which can be removed within a framework of

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[342] Edward Braun, ed., *Meyerhold on theatre* (London: Eyre Methuen, 1969), 137-8. The first paragraph is Braun's citation of Andrey Belïy, *Simvolism* (Moscow:, 1910), rpt. as Slavische Propyläen, no. 62 (Munich: Wilhelm Fink Verlag, 1969).

semiotic interpretation. Thus, one returns to the epilogue of the chapter. Undoubtedly Stravinsky's first two aesthetic paradigms are comprised of works assuming 'a masked character': they 'posit' themselves as a semantic 'enigma', 'defying all others to decipher their language'. They 'thus place themselves outside the common law' of encultured expectations, 'claiming for themselves the use of a freedom all the larger for not being limited, momentarily, by social conventions'. Returning, then, to (the lower section of) *Example 5-1*, whether through the cubist aesthetic of *subversion* or the neoclassic aesthetic of *deviation*, these works of Stravinsky's, spanning some four decades, confront the listener through a masked *external perspective*. Whether that mask is *evocative* (of the *ethnic* and *ancestral familiarity*, prototypical of the cubist aesthetic) or *prescient* (within the *classical* and *contemporary familiarity* of the neoclassic aesthetic), the overwhelming sense of this music is that which *conceals a personality* through a process of *defamiliarising within a context of familiarity*. Since familiar gestures defamiliarised, is the basic unit of Stravinsky's currency in these works, they are ripe for semiotic interpretation. A sensitive reading of the cultural signs with which Stravinsky *plays* on his musical surfaces, holds the key to mediating the semantic problem they pose. By tracing his prototypical dialogues and marked oppositions back to the fundamental *Ur-code* in which *masked* mechanical, structural dissonance is dismantled to disclose a *personality* of human structural consonance, one not only exposes the semantic framework for interpreting Stravinsky's aesthetics paradigmatically, but reveals a possible semantic framework for interpreting Stravinsky's aesthetic progress in the syntagmatic dimension, in which the *external* perspective of the cubist and neoclassic aesthetics yield to the *internal* perspective of the serial aesthetic.

Ecoian Perspective

The lower section of *Example 5-1* labels this syntagmatic aesthetic progress according to Eco's descriptives of the 'closed' and 'open work', respectively.[343] These labels correspond to Lévi-Strauss' distinction between *structuralist* and *serialist* thought, outlined in his book, *The raw and the cooked*.[344] As with the

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[343] The terms are taken explicitly, and implicitly, from the title of Eco, *The open work*.

[344] Claude Lévi-Strauss, *The raw and the cooked* (New York: Harper and Row, 1969).

Meyerhold analogy, a concluding chapter is no place for a detailed unpacking of new theoretical concepts, however, their discussion—promised in chapter three—at this point enables one to place Stravinsky's aesthetic framework in the context of a recognisable semiotic environment and clarifies the relationship between the external facades of deadlock and multivalency with the internalised aesthetic of serialism. At the risk of oversimplification, *Example 5-2* summarises Eco's deconstruction of Lévi-Strauss' concepts in a context to which Stravinsky's syntagmatic aesthetic progress can be assimilated.

According to Eco's deconstruction, *structural thought* is concerned with retracing every act of communication back to an *Ur-code*, much as I have attempted to trace Stravinsky's works to the so-called 'Petrushka syndrome'; *serial thought*, on the other hand, questions that *Ur-code*. Both are problematic for Eco who criticises the former for confusing *ideolect* for *metalanguage*, and the latter for loosing its power to signify. *Structural thought*, is materialistic in nature, seeking to reduce diversity to 'common mental structures' which act as 'universals' through which the 'immutable nature' of thought (or musical convention) is expressed. (As such *structural thought* can readily be related to Max Weber's *ideal type* theory, explored in chapter three.) *Serial thought*, by contrast, creates 'idealistic generative structures' which assert the 'mind's liberty' over conformance to universality. These idealistic generative structures, represent 'mere historic phenomena' or 'pseudo universals'. In short, *structural thought* regresses to *Ur-code* convention, whereas *serial thought* questions the *Ur-code* by which it is judged.

Dichotomy

Closed work **vs.** *Open work*

Structural Thought **vs.** **Serial Thought**

Code-Message correlation vs. Message questions code

Primary & Secondary articulations of language vs. Ulterior articulations emerge from primary articulations

Determinate causation vs. Polyvalent field of possibilities

Regress to *Ur-code* Questions *Ur-code*

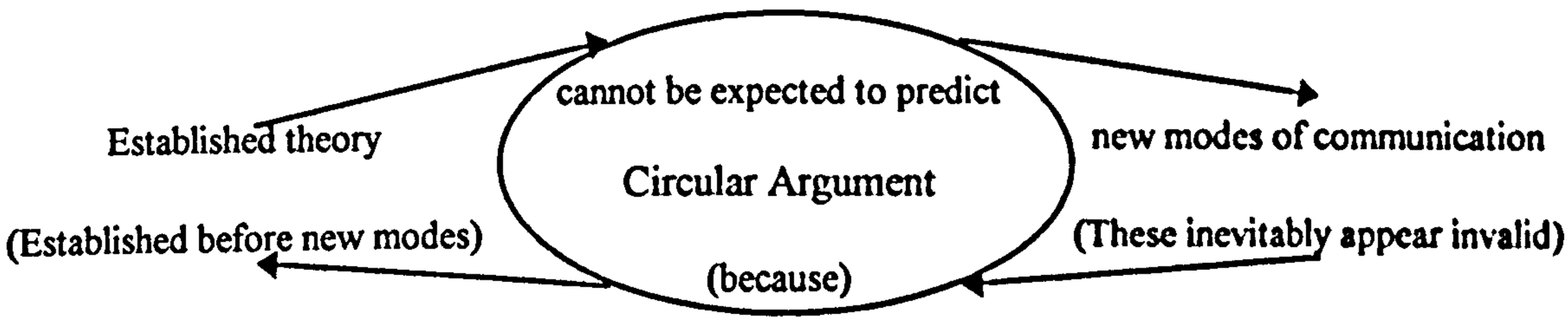
Criticism

Confuses *Ideolect* for *Metalanguage*
Materialistic
Common Mental Structures
Universals
(Immutable nature)

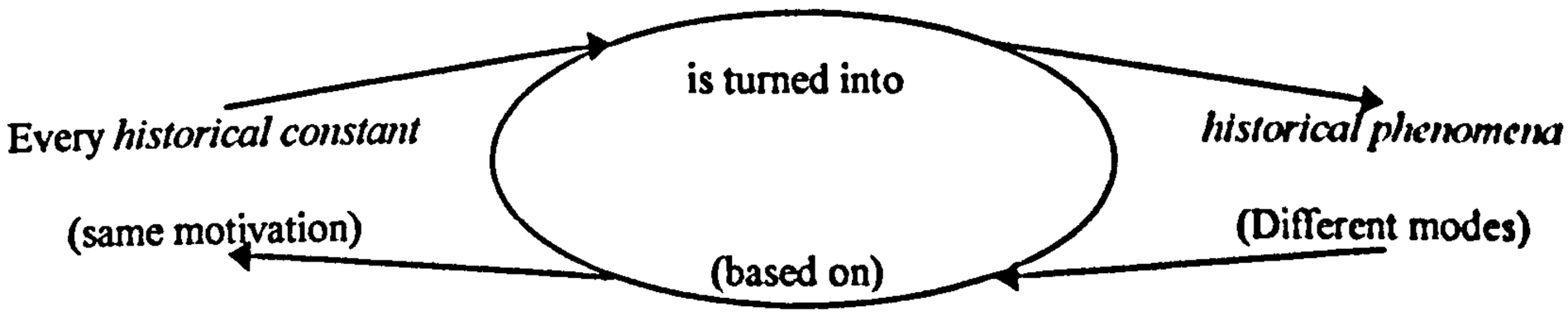
(Ultimate Determinates)

Loses Power to Signify 'ship adrift'
Idealistic Generative Structures
Assertion of Mind's Liberty
Pseudo-universals
(Mere historic phenomena)

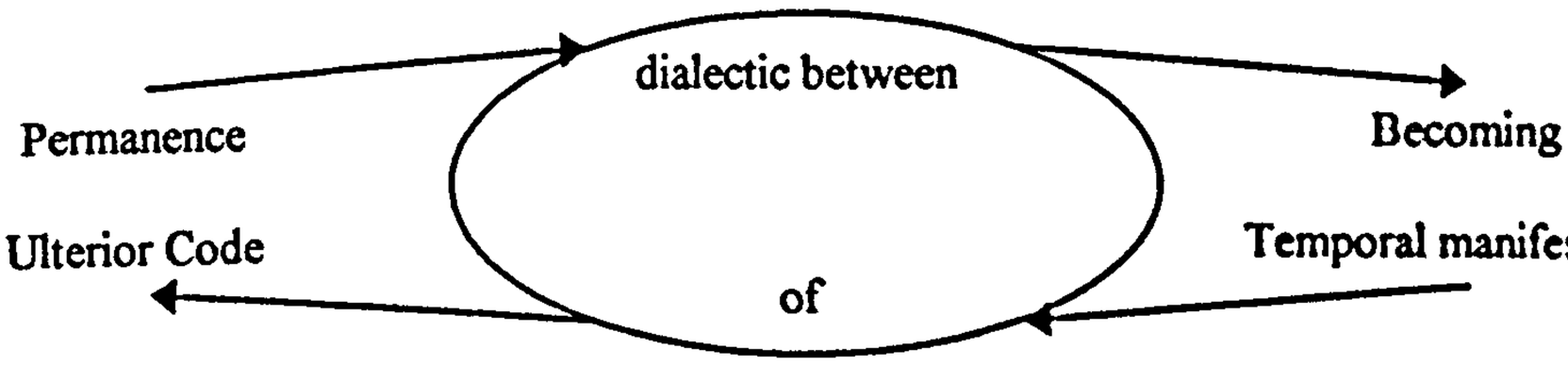
1. Serial Thought is Ahistorical?



2. Illusion of Constants



3. Dialectical structure



Example 5-2: Stravinsky Assimilated in Eco's Deconstruction of Lévi-Strauss

The implications for the conclusion of this thesis, then, are self-evident: in trying to infer in Stravinsky's works an *Ur-code* opposition between the mechanical and human, there is a tendency to simply construe every individual instantiations into this overarching *Ur-code*, thus negating the individualism of each instantiation. On

the other hand, failure to adopt such an approach simply concedes to Stravinsky's semantic gambit, hearing in the music only the loss of any power to signify. The advantages of the former clearly outweigh the dangers of the latter when it comes to semantic inquiry which itself is fundamentally an act of decoding. This can be inferred from Eco's caveat of *serial thought*:

> it is a system adrift, after cutting the cables by which it was attached. It is like a sailless ship, driven out to sea by its captain, who has grown tired of its being used only as a pontoon, and who is privately convinced that by subjecting life aboard to the rules of an elaborate protocol, he will prevent the crew from thinking nostalgically either of their home port or of their ultimate destination.[345]

The picture is predictably more complex than the paradigmatic classifications attributed to the aesthetics in *Example 5-1*. Whilst one can see in the cubist and neoclassic aesthetics a prominence of *structural thought*, indicative of the 'closed work', governing Stravinsky's syntactic play on conventions—i.e. a syntax from which meaning is inferred by regression to *Ur-codes* (the identification with the *familiar*)—there is equally a sense in which these aesthetics bring the code into question (*defamiliarises* the *familiar*). To understand this one can relate Hatten and Eco's notions of *emergent meanings*—the hallmark of the truly 'open work'.

Eco states that *emergent meanings* occur when 'ulterior instances of articulation' are identified 'in relation to their initial articulations', i.e. 'the linguistic unit extracted from a different context and inserted, as a new unit of articulation, within a discourse where what matters are the meanings that emerge out of the conjunction and not the primary meanings of the syntagmatic unit in its natural context'.[346] When, for example, in *Excentrique* a theme is *defamiliarised* by a cadential identity, or an accompaniment by the loss of its theme, or in Oedipus' aria the clarinets' antecedent phrase is *defamiliarised* by Oedipus' consequent phrase, or in *The Rake's Progress' Trio*, Baba's recitative style is *defamiliarised* by the heteroglossia of Anne and Tom's aria style and the dialogized heteroglossia of her monologue and impotent dominant seventh's, within that recitative style, then what matters, for the sensitised semantic interpreter, is the meanings that emerge from

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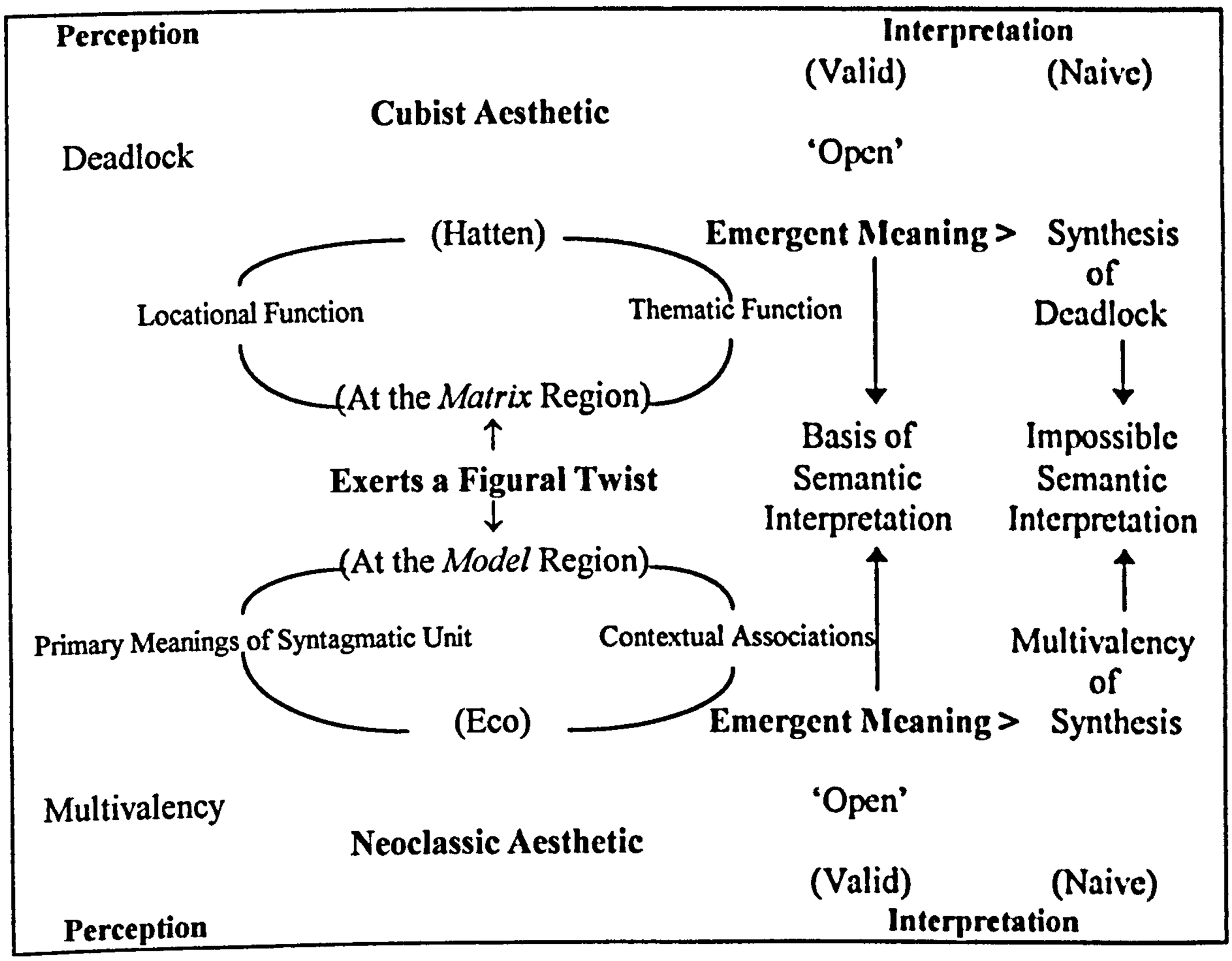
[345] Lévi-Strauss, *The Raw and the* cooked, 25, cited Eco, *The open work*, 225.

[346] Ibid., 220.

these conjunctions and not the primary meanings of the syntagmatic units in their natural context.

Hatten's notion of *emergent meanings* can be recalled from chapter one's distinction of his *attributional* and *speculative* models: 'meaning might involve either a simple synthesis of two separate meanings [*attributional model*] ("my end is my beginning" or "in my beginning is my end" or a third meaning that *emerges* from their interaction [*speculative model*] ("nothing is ever finished," or the play of incongruity that yields humour)'.[347] This process of sensitised interpretation through Eco and Hatten's notions of emergent meanings is summarised for the cubist and neoclassic aesthetics in *Example 5-3*.



Example 5-3: Hatten and Eco: Deconstructing the 'Open Work'

Example 5-3 demonstrates the problem of reading only *structuralist thought* into the cubist and neoclasssic aesthetics. Such readings are labelled 'naive' in the diagram because in seeing the interpretative process as one which simply traces syntactic units back to their codes, one only apprehends, rather than deconstructs,

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[347] Hatten, *Musical meaning in Beethoven*, 169. (The italics are mine for emphasis.)

the semantic challenge of the aesthetics. The cubist aesthetic, for example, generates a syntax of *deadlocked oppositions*, the mere synthesis of which renders impossible credible semantic interpretation. The reader will recall from chapter two that this is akin to interpreting the music according to a *mimetic* rather than a *constitutive* poetic. What is required above such synthesis of deadlock, is to seek an *emergent meaning* in the *figural twist* between the oppositions generating the deadlock. The overall emergent meaning for *Excentrique*, for instance is found in its *abnegation*, rather than *affirmation*, of a mechanical-liquefacient opposition. In this sense the work can be said to be 'open' and exhibiting *serial thought*, since the music questions the *Ur-code*. The reason, therefore, that the cubist aesthetic is summarised as a 'closed work' in *Example 5-1* is that its 'closed', *structural* properties (i.e. the music's *mask*) appear *unmarked*—the foregrounded salient feature of the music—in relation to its *marked*, 'open' *serial* properties (i.e. the *soul* behind the *mask*) which requires interpretative decoding. The same principle holds true for the neoclassic aesthetic which generates a syntax of *multivalent conflation*; the mere synthesis of which challenges credible semantic interpretation. What is required above such a synthesis, again is to seek an *emergent meaning* in the *figural twist* between the primary meaning of the syntactic unit and its contextual associations which generate the multivalency. The emergent meaning for *Oedipus Rex*, for instance was found in its *exotopic*, rather than its *colonising* resolution of the mechanical-human opposition. In this sense, the work was again 'open' and exhibiting *serial thought*, since the music questioned the *Ur-code* to which it referred. Hence, the neoclassic, like the cubist aesthetic, is summarised as a 'closed work' in *Example 5-1* because its 'closed', *structural* properties (i.e. the music's *mask*) are unmarked in relation to its 'open' *serial* properties (i.e. the *soul* behind the *mask*).

These Ecoian summaries of Stravinsky's cubist and neoclassic aesthetic paradigms represent, as it were, the task of the semantic inquirer. Having been confronted by a defamiliarisation of familiar *Ur-code* relations, the valid semantic interpretation is to actively open the work and engage with it from a *serial thought* perspective. Thinking back to the concept-context spirals of chapter one, the process is akin to that in which a *level two* conceptual norm (the closed work's point of reference) is contextually played with (the open work's tendency to bring the *Ur-code* into

question) prior to its being reinterpreted as a *level three* conceptual norm again (a newly defined *Ur-code* to which future closed works will refer). This highlights the three main criticisms which Eco charges against Lévi-Strauss' distinctions of *structural* and *serial thought* (these charges of circularity are diagrammatically summarised in *Example 5-2*, above). First, that *serial thought* is 'ahistorical' since the established theory (of *structural thought*) cannot be expected to predict new modes of communication, as these inevitably appear invalid because they are naively evaluated according to *structural Ur-codes*, established before the new modes of communication. This is really Eco's way of saying that signs are always in advance of theory and what, in 1914, was *Excentrique*'s radical negation of quartet convention, is today readily referable to *Ur-codes*, established in theory as modes of communication. Second, this phenomenon can be described as 'the illusion of constants' because the interaction of *structural and serial thought* turns every 'historical constant' into 'historical phenomena' because, the pseudo-universals of serial thought, though based on different modes of communication, can ultimately be traced back to the same motivation governing the universals of *structural thought*. *Excentrique*'s death of the theme strategy, for example, though based on radically different modes of communication, operates on very similar motivations to the thematic tricks of Haydn's quartets. There is, therefore, a 'dialectic structure' (Eco's third charge of circularity) between the 'permanence' of *structural thought* and the 'becoming' of *serial thought*, whereby the latter is merely a temporal manifestation of the an ulterior code belonging to the former. It is such a dialectic structure that epitomises Stravinsky's cubist and neoclassic aesthetic paradigms; each embodies a seemingly irresolute dialogue between an *external perspective*, concealing the *internal personality* of his music. Many of Stravinsky's critics, however, display a prominent lack of sensitivity to the semantic task of opening Stravinsky's 'closed' persona. For such critics, *externalisation* is adjudged 'suppressionist' in character and pejoratively dismissed as a deficiency of the music. Adorno's following assessment is something of a *locus classicus* in this respect.

> there are for Stravinsky no communicative symbols for that abyss between the regressive impulse and its musical materialization...The outspoken sado-masochistic pleasure in self-annihilation—an element so clearly perceptible in his anti-psychologism—is

> determined by the dynamics of the basic drives and not by the demands of musical objectivity. This characterizes the type of human being whose external measurements are taken by Stravinsky's works; he is to tolerate no introspection or self-contemplation. The obstinate health, which clings to the external and denies the spiritual—as though this were already an illness of the soul—is the product of defense mechanisms in the Freudian sense....In Stravinsky—whose works are in no sense to be understood as the organ of an inner force—the immanently musical validity is, as a consequence, almost impotent: the structure is externally superimposed by the composer's will which determines the nature of his formulations and, further, those elements which they are expected to renounce.[348]

The negating external facades of Stravinsky's music which this thesis attempts to semantically dismantle, therefore, are at one level pejoratively interpreted as uninterpretable; dismissed as offering little semantic interest with their 'sado-masochistic pleasure in self-annihilation'. The attitude—perhaps embroiled in Germanic resistance to Russian, French and American aesthetic fronts—, further vindicated by Schenker and Schenkerian methodology, is fundamentally one of reluctance to accept the syntactic gambit Stravinsky plays. The failure to attempt to remove Stravinsky's negatory mask, the confusion of facade with reality and an over-dependence on 'classical' models of categorisation, all contribute towards the plethora of aesthetically de-sensitised interpretations of Stravinsky's music. Even great friends and advocates of his music all too readily succumb to regarding Stravinsky's so-called 'suppressionism' as an end in itself rather than the means to expression. (And since Stravinsky spent a great deal of his life vindicating that attitude—albeit a quite deliberate case of donning a public mask—who can blame them?). Keller aptly summarises the legacy of Stravinsky's desensitised legacy.

> The phenomenon of Stravinsky's creative personality is without the remotest parallel: Picasso may be a comparable mind-changer, but he is not a suppressionist, nor is there any sign of Stravinsky's suppressionism as such being capable of exerting a favourable influence. So far, in fact, this influence has proved a mere, powerful excuse for saying nothing—a pseudo-creative activity which is more popular nowadays than it ever was. Quite often a contemporary composer will have met the demands of his conscience if, instead of saying something, he makes absolutely clear what he is not going to say, what he feels aggressive about—what in his view, is improper artistic behaviour. Not seldom with Stravinsky's help, he will have

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[348] Adorno, *Philosophy of modern music*, 167.

accumulated a bunch of anti sentimental gestures, of ruthless ostinatos, of spiced-up, unfunctional demi-semi-diatonic harmonies which will inform the listener to which camp the composer does not belong; such an introductory exposition of the composer's premise will easily prove so enjoyable to the composer that it will soon lose its introductoriness and replace the creative act altogether: again for the first time in the history of music, it has become possible, permissible, even reputable, to say what one is against and leave it at that. In both composition and performance, avoidance poses as art.[349]

Calling the Code into Question

Rather than misconstruing Stravinsky's negatory aesthetics as ones in which 'avoidance poses as art', this thesis has argued that the task of the sensitive semantic interpreter is to seek in the music 'emergent' meanings underpinning the deadlock or multivalent gestures of the cubist and neoclassical aesthetics. In what is essentially an Ecoian perspective, sensitive interpretation comes from interpreting 'ulterior instances of articulation in relation to their initial articulations'[350]. Stravinsky's 'suppressionist' language must be recontextualised as 'a field of possibilities that generates multiple choices'. In so doing Stravinsky's aesthetics question the 'double articulation of language' in which communication is made possible when 'units of secondary articulation (a determined repertory of the code, endowed with an oppositional value, resulting from their position within the system) emerge out of the choice and combination of units belonging to the primary level of articulation'. Eco's notion of serial thought and—by hypothetical extension—Stravinsky's aesthetics, therefore, can be understood as languages based on the 'identification of historical codes in order to question them, generating new forms of communication' in the process; 'every message calls the code into question' and each narrative becomes 'a discourse on the language that generates it'. This is not, as Adorno and Schenker might imply, a semantic problem which mitigates dismissing the aesthetic, but a semantic challenge which demands sensitised interpretation. Their lack of sensitivity, resulting from their centred, ideological perspective and zeal for inappropriate analytic tools, is accurately

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[349] Keller et al., *Stravinsky seen and heard*, 42-43.

[350] Eco, *The open work*, 220.

summarised by drawing a parallel to Said's discussion of '*Orientalizing the Oriental*':

> If the mind must suddenly deal with what it takes to be a radically new form of life—as Islam appeared in the early Middle Ages—the response on the whole is conservative and defensive. Islam is judged to be a fraudulent new version of some previous experience, in this case Christianity. The threat is muted, familiar values impose themselves, and in the end the mind reduces the pressure upon it by accommodating things to itself as either "original" or "repetitious." Islam thereafter is "handled": its novelty and its suggestiveness are brought under control so that relatively nuanced discriminations are now made that would have been impossible had the raw novelty of Islam been left unattended. The Orient at large, therefore, vacillates between the West's contempt for what is familiar and its shivers of delight in—or fear of—novelty.
>
> There is nothing especially controversial or reprehensible about such domestications of the exotic; they take place between all cultures, certainly, and between all men....But what is...important...is the limited vocabulary and imagery that impose themselves as a consequence....
>
> the idea being for Christians to make it clear to Muslims that Islam was just a misguided version of Christianity....
>
> it is...Western ignorance which becomes more refined and complex, not some body of positive Western knowledge which increases in size and accuracy.[351]

To counter such *colonising* approaches, Eco draws an interesting parallel to the origins of the 'open work' in the French symbolist poets of Verlaine and Mallarmé. (Stravinsky's symbolist connections are well documented and can, of course, be related to the Russian strand of Meyerhold, discussed above.) Just as Mallarmé chooses words for their evocative qualities, so Stravinsky's employs ancestral models as objective sonorous units, capable of evoking synthetic musical histories or prescient musical identities which, whilst implicated, are simultaneously 'suppressed' by the syntactic play of deadlock or multivalency. The resulting conflation of suggestive models renders it impossible—or rather, analytically insensitive—to identify a primary articulative unit. To this extent Stravinsky's aesthetics are 'open' in the sense to which Eco alludes.

> Mallarmé's programmatic statement is...pronounced in this context: "Nommer un objet c'est supprimer les trois quarts de la jouissance du poème, qui est faite du bonheur de deviner peu à peu:

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[351] Said, *Orientalism*, 59, 60, 61, 62.

> le suggérer...voilà le rêve" ("To name an object is to suppress three-fourths of the enjoyment of the poem, which is composed of the pleasure of guessing little by little: to suggest...there is the dream"). The important thing is to prevent a single sense from imposing itself at the very outset of the receptive process. Blank space surrounding a word, typographical adjustments, and spatial composition in the page setting of the poetic text—all contribute to create a halo of indefiniteness and to make the text pregnant with infinite suggestive possibilities. This search for *suggestiveness* is a deliberate move to "open" the work to the free response of the addressee.[352]

Stravinsky's works exhibit suggestive indefiniteness through their masks of syntactic negation. Stravinsky did not stand alone, historically, in adopting a communicative discourse based on the principles of the 'open' work; for example, Eco, refers to many pillars of twentieth century thought and artistic endeavour, amongst whom Stravinsky would not be misplaced. Indeed cross-referencing to their historical time lines reveals striking similarities of life spans and emergent key works in the 1920s and thirties. Joyce's use of complex narrative strategies—particularly streams of consciousness, parody and compound and coined words—in *Ulysses* (1922) and *Finnegans Wake* (1939) resonate with Stravinsky's 'suppressionist' or 'sado-masochistic' indefiniteness. Stravinsky and Joyce both exploit musical or textual worlds which could be termed 'multivalent'—perhaps even 'deadlocked' in places—appearing to be constantly changing as they are perceived by different observers, adopting different perspectives. Along similar lines, one can invoke the more obvious French connection with Proust's seminal text, *À la recherche du temps perdu*, a work preoccupied with its own, fluctuating, narrative relationships. Another obvious literary parallel resides in Brecht's processes of defamiliarisation, or alienation (a parallel very similar to the Meyerholdian analogy outlined above). One might also invoke the perceptive ambiguities which form the basis of Sartre's existential philosophy of apprehending the self through otherness (as previously mentioned in chapter three—see *footnote 252*). The parallels also extend to the scientific world of Einsteinian thought in which 'fields of possibilities' replace theories of cause and effect. Just as the linguistic theories of markedness and prototypicality replace classical theories, not just in linguistics, but in all fields of categorisation, so too 'multi-value logics are

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[352] Eco, *The open work*, 8-9.

now gaining currency...capable of incorporating indeterminacy as a valid stepping stone in the cognitive process'.[353] Indeterminacy was revealed in chapter four as something of Stravinsky's *quasi-Heiligenstadt* confession of terror at the moment of composition (as seen in *Example 4-9*). The 'infinitude of possibilities' to which he referred, represents something of an admission of the 'open' aesthetic outlook he held—something he held in check by his play with conventions. Stravinsky neatly illustrates this point in the *Poetics of Music* which—through allusion to G. K. Chesterton—offers an insight into his so-called 'suppressionist' aesthetics.

> "In everything that yields gracefully," G. K. Chesterton says somewhere, "there must be resistance. Bows are beautiful when they bend only because they seek to remain rigid. Rigidity that slightly yields, like Justice swayed by Pity, is all the beauty of earth...."[354]

This thesis, then, has contested the desensitised interpretations of Stravinsky's music which fail to acknowledge the double articulation of Stravinsky's language. At their worst, these constitute a defensive ideological reaction which sees the 'bend' of Stravinsky's music as a negation of the 'rigidity' of conventions: conventions which are more readily articulated through structuralist and phenomenological models into which Stravinsky does not easily fit. At their best, desensitised interpretations are the inevitable result of failing to find more accurate interpretative tools with which to dismantle Stravinsky's music. To this end this thesis has purported to replace classical theories of categorisation with the linguistic tools of *markedness* and *prototypicality* theory; to replace *colonising* attitudes towards resolution with *conversing* attitudes; to replace abstract phenomenological or structural models of musical motivation with semiotically articulated narratives built on metaphor; and to find in Stravinsky's individual works and paradigmatic aesthetics, the same motivating oppositions as those governing his syntagmatic aesthetic progress. In turning to encoded surface *gestures* over deep-rooted harmonic structures; in turning to masks to deconstruct an *Ur-code* of human *art* over mechanical *puppets*; in turning to *twisted*—subversive or deviant—syntactic units as the fount of all that made Stravinsky's music definitively *new*; in turning to

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[353] Eco, *The open work*, 15.

[354] Stravinsky, *Poetics of music*, 54.

dialogues of contradictions and disputations to uncover genuine communicative mechanisms of the composer as *dialectician*; this thesis strongly contests Schenker's attack on Stravinsky; a charge directed towards the Concerto for piano and wind instruments (*Example 3-10*) but underscoring a greater division in music theory, analysis, perception, cognition and semantics.

> Now the gestures of this kind of progress will one day surely vanish, and it will be recognized that the puppets of progress have twisted the simplest things just to be able to palm them off as new....for art gets its laws from geniuses, not from dialecticians who lack intimate acquaintance even with the first things of art....
> such ignorance of the art of genius cannot bear witness against the genius![355]

The theoretical models explored in this thesis which define the *aesthete's progress* of Igor Stravinsky, reveal precisely the diametric opposite of Schenker's opinion; namely that a semiotic evaluation of the mechanisms of Stravinsky's musical meaning *can* disclose the *art of his genius*, precisely *in* the act of uncovering his processes of *bearing witness against the genius*. That Stravinsky bears witness against established cultural conventions, handed down through generations of geniuses, is, at one level, indisputable but, that he fails to communicate and generate new laws of art through his syntax of negation, is a tragic misconception of arguably this century's greatest musical genius. By accepting the semantic gambit Stravinsky's music plays and seeking a semiotically informed, interpretative framework capable of seeing through the masks, one realises that far from negating meaning, new meanings arise out of Stravinsky's new contexts. From Tomlinson's perspective, one might say of Stravinsky's music that, once traced to its legitimate *Ur-codes*, it weaves new threads around the ever widening *web of culture*. Since this web is fundamentally determined by language, it is fitting that the interpretative tools capable of tracing these *Ur-code* relationships—markedness and prototypicality—emerged from *linguistic theory* as concepts which themselves add to the web of culture by fundamentally challenging conventional theories of categorisation.

> Cultural history, like cultural anthropology, searches for meaning, not proof. And meaning, once again arises as a function of

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[355] Schenker, *Masterwork in music*, 18.

> context, deepened as that context is made richer, fuller, more complete....
> "The knower finds himself within a continuous matrix that connects the world of 'objective' reality, directly given through experience and activity, with consciousness." In Geertz's conception this matrix is, of course, culture itself. It is a web of our own making, of each individual's own making in interaction with other individuals around him and the world at large. And the nature of these interactions, it seems clear, is determined fundamentally by language.[356]

Stravinsky's musical language is that of masquerade and, as Bédouin states (see the epigraph of this concluding chapter): 'a masked character...posits himself as an enigma, and he defies all others to decipher his language.' This thesis has made no attempt comprehensively to decipher Stravinsky's musical language but it has proposed certain theoretical frameworks within which the semantic interpreter can accept Stravinsky's aesthetic gambits and attempt to play them out in all their complexities further to decipher what is undoubtedly one of the most multifaceted languages to have entered the musical lexicon.

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[356] Gary Tomlinson, "The web of culture: a context for musicology," *Nineteenth century music* VII, no. 3 (1984): 355.

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