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Structuralism, post-structuralism, and a classical musical text:
A new look at Chopin's "Preludes", Opus 28

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The University of Texas at Austin, 1987

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STRUCTURALISM, POST-STRUCTURALISM, AND A CLASSIC MUSICAL TEXT: A NEW LOOK AT CHOPIN'S PRELUDES OPUS 28

by

DAVID BUNKER SCHWARZ, B. A., M. A.

DISSERTATION

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STRUCTURALISM, POST-STRUCTURALISM, AND A CLASSIC MUSICAL TEXT: A NEW LOOK AT CHOPIN'S PRELUDES OP. 28

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To Jenny and Marlies

ACKNOWLEDGEMENTS

ABSTRACT

The study begins with a survey of semiotics from its origins in the writings of Ferdinand de Saussure to recent literary scholars such as Roland Barthes, Jacques Derrida, and Emile Benveniste. On the one hand, the essentially binary quality of Saussurian semiotics is shown to have influenced structuralism in literary criticism, and, on the other hand, the multiplicity of relations among signifier(s) and signified(s) of post-Saussurian linguistics is shown to have influenced post-structuralists in a wide variety of fields. These ideas are applied to music as follows: 1) all available tools of musical analysis are considered codes which may be used in a variety of combinations aimed at an empirically adequate account of the structure of a piece of music, 2) the interaction between signifier and signified in semiotics is applied to cross-referential features to form an additional, paratactic code. A musical event marked for memory works as a signifier which points across linear time to a signified (which may or may not be present). This musical signifier and signified seem placed next to each other on a level above the strictly linear--thus the term parataxis, which means juxtaposition or side-by-sideness.

The system of codes is applied in detail to the Prelude #1 in C Major. Aspects of the Prelude #2 in A Minor, #4 in E Minor, #6 in B Minor, #8 in F-sharp Minor, #9 in E Major, #12 in G-sharp

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Minor, and #19 in E-flat Major are discussed in terms of the way in which cross-reference works with an emphasis upon one parameter of the music such as pitch, texture, register. The discussion of the Prelude #21 in B-flat Major deals with the issue of how aspects of Schenkerian voice-leading relate to chromatic tonicization. Proposals are made according to which a chromatic background can be heard as an alternate to a diatonic, Schenkerian background. The conclusion suggests how the cross-referential codes might be extended to form the basis of a theory of music perception. The work seeks adjacency with critiques of structuralism in a wide variety of fields in general; in particular, the work builds upon the theories of Leonard Meyer, Eugene Narmour, David Lewin, and Edward T. Cone in music theory.

What can look at itself is not one; and the law of the addition of the origin to its representation, of the thing to its image, is that one plus one makes at least three.

Jacques Derrida, <u>Of Grammatology</u>

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Foreword

The interpretations of Chopin's Preludes Op. 28 that follow arise from three experiences: 1) close analyses of the Preludes, 2) readings in contemporary music theory, and 3) readings in linguistic and literary theory.[1] During the course of the introduction that follows, I shall trace syntactic aspects of linguistic theory from their inception early in this century in the works of Ferdinand de Saussure[2] to the work of recent theorists such as Roland Barthes, Michel Foucault, and Jacques Derrida.[3]

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[1]My readings in linguistics and literary criticism begin with Saussure's work of the first decade of this century and end with current works of major literary figures; my readings in musical-theoretical writings stress material ranging from Schenker's Der freie Satz published in 1935 to current articles.

[2]Saussure (1857-1913) was a professor of linguistics at the University of Geneva. For a thorough treatment of Saussure's life and work the reader is referred to Jonathan Culler, Ferdinand de Saussure.

[3]Barthes was an innovative literary critic in France whose works first alienated, then were accepted by, the French academic community. Toward the end of his life, he taught at the Collège de France. For a thorough treatment of his life and work, the reader is referred to Jonathan Culler, Roland Barthes. Foucault was a historian who specialized in the history of western medicine and medical institutions; Derrida is founder of that aspect of post-structural discourse referred to as "deconstruction". He lives and teaches in Paris.

The pluralistic approach of this study is grounded in a wide variety of current scholarly writings. In musicology, Janet Levy has studied how unstated values lie beneath the surface of recent musical-theoretical writings,[4] and Joseph Kerman has pointed out the ideological bases of theoretical models.[5] In music theory, Edward T. Cone and David Lewin have developed pluralistic models of analysis.[6] I seek, as well, to align myself with new theoretical writings which point to models capable of analyzing the pitch structure of western, tonal music in a non-Schenkerian fashion.[7] In the broadest terms, however, I seek adjacency to those critics in a variety of fields,[8] who are calling into

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[4]See Janet M. Levy, "Covert and Casual Values in Recent Writings about Music".

[5]See Joseph Kerman, "How We Got into Analysis, and How to Get Out", and Contemplating Music.

[6]See Cone's "Schubert's Unfinished Business" and David Lewin's "Morgengruss", in particular.

[7]See especially Leonard Meyer, Emotion and Meaning in Music, and Eugene Narmour's Beyond Schenkerism.

[8]See, in particular, Bas C. van Fraassen, The Scientific Image, and Claude Lévi-Strauss, The Savage Mind.

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question the notion of the absolute priority of scientific inquiry.[9]

Among others, Milton Babbitt has claimed the priority of science for music theory: "there is but one kind of language, one kind of method for the verbal formulation of 'concepts' and the verbal analysis of such formulations: 'scientific' language and 'scientific' method" (Babbitt, "Past and Present Concepts of the Nature and Limits of Music" 3). I distance myself from this claim by asserting that the empirical nature of the analyses below require systematic, but not necessarily scientific inquiry. The validity of such an approach has been asserted by van Fraassen, who posits anti-realism or constructive empiricism against traditional scientific realism (or, to use Kuhn's term--normal science):

> According to the realist, when someone proposes a theory, he is asserting it to be true. But according to the anti-realist the proposer does not assert the theory; he displays it, and claims certain witness for it. These writers may fall short of truth: empirical adequacy, perhaps; comprehensiveness, acceptability for various purposes. (van Fraassen 9-10)

In his work The Savage Mind, Claude Lévi-Strauss also posits an alternative to science:

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[9]For a thorough treatment of the components of traditional scientific inquiry, the reader is referred to Thomas Kuhn, The Structure of Scientific Revolutions. Kuhn's interpretation of the significance of normal science is far from traditional, however. He posits the development of science in terms of the replacement of one theory, or paradigm with another; he thus denies the cumulative notion of progress.

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/concrete logic/ works rather like a kaleidoscope, an instrument which also contains bits and pieces by means of which structural patterns are realized. The fragments are products of a process of breaking up and destroying, in itself a contingent matter, but they have to be homologous in various respects, such as size, brightness of colouring, transparency. (36)

The distinction between science and system will be explored in a subsequent section of this study dealing with structuralism and post-structuralism.

Chapter #1 will begin with an examination of Saussure's distinction between language and speech (in French--langue and parole, respectively) as mutually dependent terms in an opposition that had previously been blurred by the use of the monolithic term language.[10] While these terms will be explored at some length in the introduction, it will perhaps be useful to point out here that for Saussure, language is the theoretical, passive, general resource, out of which the actual, active, specific enactment (speech) arises.[11]

The argument will proceed by showing how post-Saussurian linguists and critics have called into question the fixed, binary

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[10]For an excellent, brief introduction to semiotics, the reader is referred to Marshall Blonsky's "Introduction" to On Signs.

[11]See Saussure, Chapter 3.

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oppositions of which Saussure had asserted the sign to be composed. I shall then show how the dualisms of Saussure helped form the basis of structuralism, relying mainly on three current figures in literary criticism--Roland Barthes, Fredric Jameson, and Jonathan Culler.[12] Post-structuralism will then be explored as a product of the exploration of intermediate categories between terms of Saussure's binary oppositions. While it is premature to discuss the complex distinctions between structural and post-structural analyses at this point, a few basic ideas may be outlined. By structural, and post-structural, I refer less to schools of thought producing specific products, than to modes of inquiry, which overlap considerably. Structural thought suggests an enclosed science based on dualisms; post-structural thought suggests a system based on dialectics.[13] Jameson has pointed out that the difference between dualism and dialectic in the following:

...both poles of the binary opposition are positive, both are

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[12]See Barthes' Elements of Semiology, and "The Structuralist Activity", Jameson's The Prison House of Language, and Culler's Structuralist Poetics.

[13]In the entry entitles "Dialectics" in The Encyclopedia of Philosophy, it is pointed out that the term dialectics originated in ancient Greek rhetoric and had to do with debate strategies. In the Middle Ages it became a synonym for logic; dialectics as an interaction of thesis and antithesis to produce a synthesis began with Johann Gottlieb Fichte's Grundlage der gesamten Wissenschaftslehre of 1794. Fichte's notion of the synthesis involved little more than a sense of the sum of thesis plus antithesis--a limitation which Hegel was to transcend (Volume 2 385-388).

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existants, equally present to the naked eye: whereas what makes up a genuine dialectical opposition is that one of the terms is negative, one is an absence. (119-120)

This idea will be fully explicated in a later section of this study, in which the application of semiotic issues to a musical-theoretical model of analysis is complete.[14]

Section 1.3 will initiate the musical application of literary models to the construction of a model for musical-theoretical analysis. Having put aside the unitary transcendence of science in favor of the pluralism of systems, post-structuralists often use several different analytic tools in their work. The multiplicity of codes thus replaces a single all-inclusive theory. To show how codes work in literary analyses, I examine Barthes' S/Z--an extended analysis of a short story by Balzac. I shall examine the purposes of Barthes' method (to create an active writerly text rather than to reflect upon a passive readerly text), and I shall show how Barthes' aims can be productively applied to musical analysis.

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[14]Section 1.2 will deal with a problem that may be outlined here--the difficulties of distinguishing between structuralism and post-structuralism. While it can be argued that the former becomes transformed into the latter in terms of the breaking apart of binary oppositions mentioned above, it can also be argued, to the contrary, that the intensity of close analysis of much post-structural writing is itself structural, or formalistic, par excellence. It will be an essential burden of subsequent sections of the first chapter to show how post-structuralism is characterized by what I designate "essential paradoxes" which must be distinguished from logical error. A simple example is the essential paradox of using a subject / predicate sentence structure to explore what a subject / predicate sentence structure might be shown to deny.

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More specifically, I then draw together an analogous system of codes with which to analyze selections from the Chopin Preludes Op. 28. While aspects of the musical-theoretical codes will differ from aspects of their literary antecedents, three features will provide a link between them: 1) certain codes are partially adopted from readily available analytic tools while some involve newly formulated methods, 2) the plurality of codes is meant to provide as engaging and active an analysis of the contours of a text as possible, and 3) relations among linear and cross-referential features are stressed.

In a recent article, Steven Feld cautions against the casual application of linguistic models in ethnomusicology.[15] I base the subsequent analyses on a model derived from linguistics and literary criticism for two reasons. First, the evolution of a wide range of scholarship in which binary oppositions are put into question provides a historical basis for the pluralism upon which the analytic techniques of this study are based. I take over from literary criticism, in particular, the idea that the contours of a work of art tend to be blurred by the deployment of a closed, formal science, and that a pluralistic system, on the other hand, draws attention away from a transcendental syntax to

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[15]See Steven Feld, "Linguistics and Ethnomusicology".

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the work of art itself. Second, The term parataxis provides a unique opportunity for a scheme of cross-reference, aspects of which have been touched upon, but not systema. zed in the writings of contemporary music theorists. A full definition of parataxis can be found in a subsequent section of this study. For the moment, it may be useful to point out that the word means juxtaposition, or side-by-sideness. The conceptual link between the cross-reference of musical events out of linear time and parataxis lies in the idea that events cross-referenced seem placed next to one another on a level above linear time.

Section 1.4 of this study will show how explicitly the paratactic codes derive from Saussure's binary oppositions. I shall show that the marking of a musical event (or the opening of a structural gap) works in music as a signifier which points toward a signified later in the music (an element filling, or denying a structural gap, or simply a cross-reference). My discussion of linguistics and music deviates in one important repect from standard semiotic scholarship, however. Modern, post-Saussurian linguistics is based on the dual articulation--that language works at once on a syntactic and semantic level. The following

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study of Chopin's <u>Preludes</u> deals only with syntactic issues.[16]

I understand the word "classic" in the title of this study in its everyday use as synonymous with words such as monumental, great, well-known. I have chosen a text from the early nineteenth century because I believe that cross-referential features in music are plentiful in this period. I have chosen instrumental pieces to avoid cross-reference of musical events which can be explained in non-musical terms, relating, for example, musical events to a text or program. I have arrived at Chopin somewhat arbitrarily; the following analyses focus on the <u>Preludes</u> since these pieces are unique in Chopin's work in terms of a collection of miscellaneous works none of which are informed with a pre-determined form or style. I have included analyses from certain <u>Preludes</u> only in order to give one example of how cross-reference works with one other musical parameter. In addition, I have chosen a classic text because of the implicit advantage of exploring a challenging approach with pieces with which the reader is quite familiar, and for which a wealth of historical and analytic material is available.

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[16]While a discussion of semantics in music would be possible (though of minimal interest in the Chopin <u>Preludes</u>), I agree with Narmour who points out that "in contrast to language, the meaning of music is primarily syntactic, not semantic" (207). Or, to quote Babbitt: "/Music is/ that wonderful language which permits anything to be said and virtually nothing to be communicated" ("The Structure and Function of Music Theory" 11).

Analyses will proceed from impression to analytic detail in a sequence of applications of different tools, or codes, the arrangement of which has not been strictly pre-determined. The systematic, empirical approach depends upon being vigilant that analytic detail is based on aural responses.[17] Thus, a single, transcendent theory is resisted. Analyses will, however, tend to follow the following order: discussion of gestural downbeat, harmony and phrasing, followed by large-scale Schenkerian issues, and cross-referential features. I shall be less interested in detailed Schenkerian sketches than in large-scale Schenkerian issues such as the location of head tones of the fundamental line for two reasons: 1) because I accept as given, and therefore unnecessary to demonstrate, that Schenker's theories of pitch relations provide a comprehensive syntax for tonal pieces that can be articulated in graphic notation so that every note is heard as part of an organic whole, and 2) because I am interested more in how Schenkerian details relate to other aspects of music than in how they work within a closed apparatus of pitch relations.

While Chapter #2 will involve detailed analyses of the Prelude #1

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[17]In his "Morgengruss" study, David Lewin emphasizes that the source of musical-theoretical material must lie in aural phenomena: "METHODOLOGICAL RULE-OF-THUMB: Every valid analytic statement is of the basic form 'I hear this about this specific piece' as qualified by an implicit 'and I think you can too.' " (111).

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in C Major, Chapter #3 will link isolated aspects of cross-reference to specific musical parameters such as pitch, pitch-class, key, or register within selected Preludes. The discussion will be extended in Chapter #4 to a consideration of how Schenkerian and chromatic issues can be synthesized through an application of a narrative model from an essay by Roland Barthes.[18] Chapter #5 will outline how cross-referential codes might be extended into an inclusive theory of music perception based on an expansion of the application of signifier / signified relations to music.

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[18]This discussion is based on Barthes' "Introduction to the Structural Analysis of Narrative" in Image-Music-Text.

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Chapter 1

Theoretical Foundations

1.1 Semiotics from Saussure to Benveniste

1.1.1 Saussure

Shortly after the death of Ferdinand de Saussure in 1913, two of his students (Charles Bally and Albert Sechehaye) gathered together and edited notes from a seminar in linguistics which Saussure gave at the University of Geneva in 1907, 1908-1909, and 1910-1911 (Culler, Saussure 24-25). The text became known as the <u>Course in General Linguistics</u> and is considered the foundation of modern linguistics (Culler, <u>Saussure</u> 15).[19] Saussure was aware that he was in the process of founding a new science:

> <u>A science that studies the life of signs within society</u>
> /emphasis Saussure's/ is conceivable; it would be a part of

---

[19]In <u>The Subject of Semiotics</u>, Kaja Silverman points out that the American Charles Sanders Peirce developed quite independent of Saussure a semiotics which has also been important. Peirce's two triads of semiotic categories differ most sharply from Saussure's categories in terms of Peirce's concern with real objects, the real world (14-25).

1

social psychology and consequently of general psychology; I shall
call it semiology from the Greek "sign". Semiology would show
what constitutes signs, what laws govern them. Since the
science does not yet exist, no one can say what it would be;
but it has a right to exist, a place staked out in advance (16)[20]

While the Course in General Linguistics covers a wide range of

topics from phonetics and phonology, to theories of the sign itself, I

shall focus on four pairs of terms, the binary nature of which is

essential for the paratactic codes to be discussed in section 1.4 of this

chapter. The pairs are: 1) language and speech, 2) the signifier and the

signified, 3) syntagmatic and associative relations, and 4) synchrony and

diachrony.

language and speech

Saussure's contribution to modern linguistics is founded on his idea

that what had been considered simply as "language" must be re-

evaluated as an opposition between a general, passive potential (langue)

and specific, active enactments (parole) (Saussure 9). For Saussure,

language represents purity and perfection while "speech is many-sided

---

[20]It may be useful to keep in mind that semiotics is a discipline partly within,
partly beyond linguistics. The latter can be understood as a science of language(s) in
general; the former, a science of signs. Semiotics grew out of, then beyond, the field
of linguistics. See Culler, Structuralist Poetics, Part I.

and heterogeneous; straddling several areas simultaneously--physical, physiological, and psychological--it belongs both to the individual and to society, we cannot put it into the category of human facts, for we cannot discover its unity" (Saussure 9). But as with all of Saussure's binary oppositions, it is the dynamic inteiaction of terms which is essential: "Language is necessary if speaking is to be intelligible and produce all its effects; but speaking is necessary for the establishment of language, and historically its actuality comes first" (Saussure 18). While speech derives primarily from the individual, language derives from a community of speakers: (See Figure A)

Figure A

language

community
of
speakers
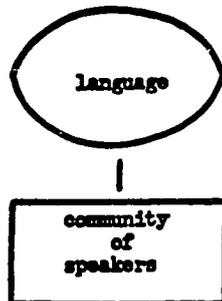
signifier and signified

Just as Saussure had understood "language" to be composed of a relation between language and speech, so, too, is the sign constructed of the relationship between "concept" and "sound image": (Saussure 66)(See Figure B)

Figure B
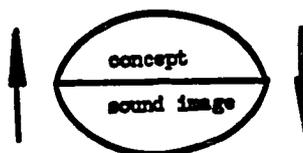
The arrows in Saussure's sketch represent reciprocal relations between the two terms.[21] Saussure then clarifies the figure above by suggesting that the whole is the <u>sign</u>; the concept is the <u>signified</u>; the sound-image is the <u>signifier</u> (Saussure 67). His diagram then becomes: (Saussure 114) (See Figure C)

Figure C
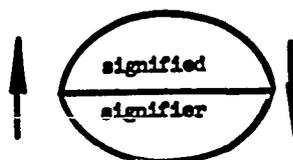
Using the word "tree" as an example of a sign, Saussure proposes the following: (Saussure 67)(See Figure D)

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[21]This reciprocity is represented by arrows in Figures C and D, as well.

Figure D
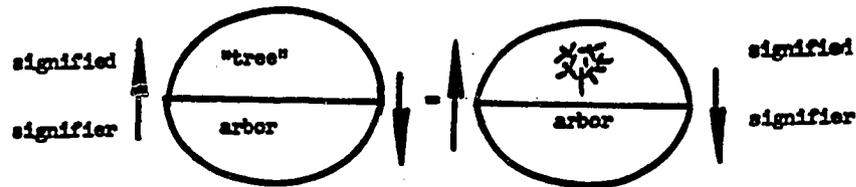
What allowed for the development of a new science of linguistics was the fact that Saussure felt that the signified was not an object, but a conception of an object. Thus for the first time, linguistics was freed from the necessity of considering issues of reality (See Barthes, Elements of Semiology 42). The inter-relatedness of signifier and signified is underscored by Saussure's notion of the arbitrariness of the sign. Jameson points out that in pre-Saussurian writings:

> ...the word "symbol" /was used/ to direct our attention towards the relationship between words and their objects or referents in the real world. Indeed, the very word "symbol" implies that the relationship between word and thing is not an arbitrary one at all, that there is some basic fitness in the initial association. (32)

syntagmatic and associative relations

Saussure uses these terms to refer to linear and non-linear relations between or among signs. Using words as examples of signs, Saussure points out that:

> In discourse...words acquire relations based on the linear nature of language because they are chained together. This rules out the possibility of pronouncing two elements simultaneously. The elements are arranged in sequence on the chain of speaking. Combinations supported by linearity are <u>syntagms</u>. (123)

Saussure points out, on the other hand, that:

> ...the co-ordinations formed outside discourse differ strikingly from those formed inside discourse. Those formed outside discourse are not supported by linearity. Their seat is in the brain; they are a part of the inner storehouse that makes up the language of each speaker. They are <u>associative relations</u>. (123)

Just as language and speech, signifier and signified had been mutually dependent, so, too, are associative and syntagmatic relations; according to Saussure:

> From the associative and syntagmatic viewpoint a linguistic unit is like a fixed part of a building, e.g. a column. On the one hand, the column has certain relation to the architrave that it supports; the arrangement of the two units in space suggest the syntagmatic relation. On the other hand, if the column is Doric, it suggests a mental comparison of this style with others (Ionic, Corinthian, etc.) although none of these elements is present in space: the relationship is associative. (123-4)[22]

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[22]Barthes has pointed out that Jakobson's theory of the relationship between *metaphor* and *metonymy* bears *striking resemblance to the interaction of Saussure's* associative and syntagmatic mode. See Jakobson, "The Metaphoric and Metonymic Poles".

synchrony and diachrony

Thus far, the pairs of terms under discussion have involved mutual dependence on one another. But when Saussure discusses the notions of synchrony and diachrony,[23] his definitions suggest mutual exclusion:

> ...if one speaks of law in synchrony, it is in the sense of an arrangement, a principle of regularity. Diachrony, on the contrary, supposes a dynamic force through which an effect is produced, a thing executed. (93)

Here Saussure refers to direction of relation among elements. To over-simplify, synchronic relations are out of time; diachronic relations are in time. Saussure makes this clear in the following, in which the vertical axis stands for movement in time; the horizontal axis stands for stasis: (See Figure E)

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[23]Websters defines diachronic as "of, relating to, or dealing with phenomena especially of language as they occur or change over a period of time" (349). Synchronic is defined as "concerned with the complex of events existing in a limited time period and ignoring historical antecedents" (1197).

Figure E

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              C
              |
              |
A ————————————+———————— B
              |
              |
              ▼
              D
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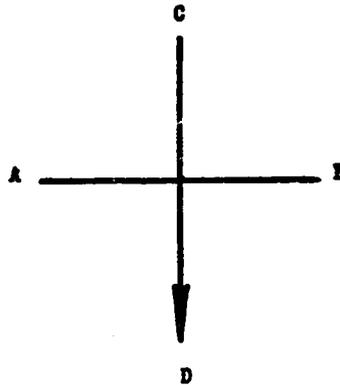
He comments on this diagram as follows:

> Everywhere distinctions should be made, according to the
> following illustration, between (1) the <u>axis of simultaneities</u>
> (AB), which stands for relations of coexisting things and from
> which the intervention of time is excluded; and (2) the <u>axis of</u>
> <u>successions</u> (CD), on which only one thing can be considered at
> a time but upon which are located all the things on the first
> axis with their changes. (79-80)

I would like to suggest that Saussure's four pairs of terms can be
arranged as follows:

A	B
signified	signifier
language	speech
syntagmatic mode	associative mode
synchrony	diachrony

The first three pairs on the top involve, according to Saussure, mutually reflecting concepts; the pair on the bottom involves elements which repel one another. Although Saussure avoids relating pairs to one another, it seems evident that the terms from column A suggest stasis, the terms from column B, movement. These columns will be expanded considerably during the rest of this chapter as a means of developing the argument and initiating the application of literary-critical concepts to a model for musical analysis. A review of the columns will form the basis for the concluding remarks of Chapter #5.

Post-Saussurian linguists call increasingly into question the priority of binary categories in semiotics. Martinet, Hjelmslev, and Barthes modify pairs of terms by introducing a third element to a binary opposition.[24] It will be shown in section 1.2 of this study how reliance on binary opposition influenced structural analysis, and, accordingly, how exploration of intermediate and third categories influenced, in part, post-structural inquiry. While third categories are necessary for Martinet, Hjelmslev, and Barthes, a multiplicity of signifiers / signifieds is necessary for Foucault and Derrida.

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[24]Martinet was a recent professor of linguistics at the Sorbonne, who wrote extensively on linguistic theory. Louis Hjelmslev was part of the Copenhagen School and influenced Barthes' notions concerning the applications of linguistic theory to literary criticism (Culler, Saussure 95).

1.1.2 Martinet, Hjelmslev, and Barthes

While André Martinet takes over Saussure's pairs of binary oppositions, he adds a category between language and speech:

> ...a term used in linguistics to refer to the linguistic system of an individual speaker--his personal DIALECT. A dialect can be seen as an abstraction deriving from the analysis of a large number of idiolects. Some linguists give the term a more restricted definition, referring to the speech habits of a person as displayed in a particular variety at a given time.[25]

In his A Functional View of Language, Martinet discusses how an idiolect wavers between speech acts and a general language. He writes of the idiolect as "a frame of linguistic description", of "language spoken by a single individual", which can evolve into a dialect and become, in turn, a feature of language (A Functional View of Language 106).

Hjelmslev modifies two of Saussure's pairs of terms. First, he draws more attention to the importance of the conceptual line in Figure C than did Saussure. He re-names the signifier the "plane of expression" which he abbreviates with the letter E. He re-names the signified the "plane of content" which he abbreviates with the letter C. The horizontal line in Figure C becomes the relationship between the planes of expression and content, which he abbreviates with the letter R. His notation for the sign then becomes the ternary configuration: ERC (See Barthes, Elements of Semiology 40). Thus Hjelmslev makes a ternary configuration out of Saussure's binary notion of the sign.

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[25]Quoted in A First Dictionary of Linguistics and Phonetics 179.

In addition, Hjelmslev modifies Saussure's notions of the relationship between language and speech. He re-names language as schema, speech as usage, and inserts norm between them. Hjelmslev's notion of norm being beyond the individual but still concrete bears similarity to Martinet's sense of the dialect and idiolect (See Barthes, Elements of Semiology 17, and Culler, Saussure 96-97).

Barthes' early writings criticize Saussure's ideas of language and speech by adding the fact that in modern society deciding groups affect and even determine the contours of language, and that popular culture has added the intermediate level of the fixed expression, the stereotype, between language and speech (Barthes, Elements of Semiology 31-33). Barthes became crucial for contemporary semiotics, however, when he applied semiotics to non-traditional areas. In his System of Fashion, Barthes offers a semiotics of the fashion industry (See Culler, Structuralist Poetics 32-40).

But it is in a more recent essay that Barthes discusses meaning neither in terms of binary opposition, nor in terms of a category between elements of a binary opposition. In "The Third Meaning", Barthes develops a semiotics of photography in which meanings are placed conceptually along a continuum from the evident to the extremely subtle.[26] Barthes' terms for meaning are: 1) the informational level, 2)

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[26]The reader is also referred to Camera Lucida for another version of Barthes' semiology of photography. In this work, Barthes calls the punctum that single detail in a photograph which draws the viewer into its realm of expression.

the symbolic meaning, and 3) the obtuse meaning (Barthes, "The Third Meaning" 52-57). The informational level is simply represented by the collection of items photographed; the symbolic level deals with the significance (on an obvious level) of the arrangement of the items. The obtuse meaning is subtle; it captures the inadvertent in the photograph: "first and foremost, obtuse meaning is discontinuous, indifferent to the story and to the obvious meaning" (61), or: "the obtuse meaning is a signifier without a signified, hence the difficulty in naming it" (61).

1.1.3 Derrida and Benveniste

The contemporary literary critic Jacques Derrida is often associated with the term "deconstruction". In quite general terms, deconstruction refers to post-structuralism as a whole. Derrida uses the term in a quite specific way, however. For him, deconstruction involves finding a single detail in a text (used here in the widest sense) which allows the critic access to deeper, submerged levels of meanings inside and outside the work itself (See Of Grammatology lxxv).

In her Preface to Of Grammatology, Gayatri Spivak points out how Derrida's masterpiece of criticism grew out of a group of articles, and how his argument is generated by a re-reading of Saussure.[27]

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[27]Spivak points out, as well, how Derrida's theories develop from re-readings of Freud, Nietzsche, Heidegger, and Huserl. See "Translator's Preface" in Of Grammatology.

Accordingly, another definition of deconstruction involves Derrida's interest in first "de-" then "re-" constructing Saussure's notion of the sign. He asserts that rather than forming an enclosed unit of signifier and signified, the sign is composed of signifying elements which point to but never reach signified elements. In Derrida's revision of Saussure, the sign is "under erasure". In the following explanation of this concept, Spivak shows how Derrida x's out a word in order to show how the signified is pointed to, but absent; the word and its x remain to show that a signifier points to and yet only partially designates a signified:[28]

> .../Derrida is interested in/ writing "sous rature", which I translate as "under erasure". This is to write a word, cross it out, and then print both word and deletion. (Since the word is inaccurate, it is crossed out. Since it is necessary, it remains legible). To take an example from Derrida that I shall cite again: "the sign ~~is~~ that ill-named ~~thing~~...which escapes the instituting question of philosophy". (Spivak, "Translator's Preface" xiv)

The words represent signifiers; the x's represent signifieds which are never reached.

What is also central to Derrida's work is the addition of the term "writing" to Saussure's language and speech opposition. Writing is far from a straightforward concept to Derrida. On the one hand, grammatology itself represents a semiotics based on writing which he

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[28]Derrida articulates the notion of absence in the sign in his article "Différances" /sic/ which will be discussed in connection with an aspect of a paratactic code in Chapter #2.

defines in elusive terms: "psychology will never be able to accommodate within its space that which constitutes the absence of the signatory, to say nothing of the absence of the referent. Writing is the name of these two absences" (Derrida, Of Grammatology 40-41).

On the other hand, Derrida opposes his notion of writing to Saussure, who Culler had pointed out despised the act of writing in and of itself (Culler, Saussure 23). Derrida reads Saussure's reluctance to write as an imposition of will to keep the purity of language intact. What this purity allows Saussure is the notion of absolute origin, and a clear separation between binary categories. Derrida, on the other hand, suggests that:

> What is intolerable and fascinating is indeed the intimacy intertwining image and thing, graph, i.e. phoné, to the point where by a mirroring, inverting, and perverting effect, speech seems in its turn the speculum of writing, which "manages to usurp the main role". Representation mingles with what it represents, to the point where one speaks as one writes, one thinks as if the represented were nothing more than the shadow of reflection of the representer. A dangerous promiscuity and a nefarious complicity between the reflection and the reflected which lets itself be seduced narcissistically. In this play of representation, the point of origin becomes ungraspable.
> (Derrida, Of Grammatology 36)

Kaja Silverman points out that the linguist Emile Benveniste renamed Saussure's langue and parole, language and discourse, respectively. Benveniste added the term subjectivity to the configuration. Silverman points out how important the first person pronoun is for Benveniste in the following:

> One of the points which Benveniste makes...is that the signifier "I" always implies a speaker, to whom it refers. Similarly, the signifier "you" always implies a listener, to whom the speaker talks. These roles are endlessly reversible, as are the signifiers which depend upon them; the person who functions as a speaker for one moment functions as a listener for the next. They are also only intermittently activated, as a consequence of which the signifiers "I" and "you" have only a periodic meaning. (Kaja Silverman, The Subject of Semiotics 44)

In section 1.2 that follows, the trends traced by the discussion above will be applied to structuralism and post-structuralism in literary studies. The basis will then have been established for the application of semiotic and literary models to a musical-theoretical model for analysis.

1.2 Semiotics, Structuralism, and Post-Structuralism

1.2.1 Semiotics and Structuralism

In The Prison House of Language, Jameson locates structuralism in the following historical terms:

> Structuralism...may be conveniently dated from the publication of Lévi-Strauss' Tristes tropiques in 1955, and which may be said to have reached a zenith of sorts (following such important sign-posts as the foundation of Tel Quel in 1960 and the publication of Lévi-Strauss' La pensée sauvage in 1962) with the twin appearance, during the 1966-1967 season of Lacan's already legendary Écrits and of Derrida's three major texts.[29] (ix)

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[29]Tel Quel was a journal published in France which was influential in forming a basis for structural and post-structural discourse. The three texts of Derrida are: Of Grammatology, Writing and Difference, and Speech and Phenomena.

In terms of a definition of structuralism, critics seem to agree on two points: 1) that structuralism is based on semiotics, on the linguistic analogy, and 2) that formal configurations in a work are emphasized, that meaning is bracketed-off. The importance of the linguistic analogy for structuralism has been pointed out by Jameson (ix), Culler (Structuralist Poetics 4, 6, 55), and Barthes (Elements of Semiology 12). Jameson points out the emphasis on formal configuration for structuralists in the following:

> The most characteristic feature of structuralist criticism lies precisely in a kind of transformation of form into content, in which the form of structuralist research (stories are organized like sentences, like linguistic enunciations) turns into a proposition about content: literary works are about language, take the process of speech itself as their essential subject. (198-199)

But aside from these two elementary aspects, structuralism is very difficult to define. Culler addresses the problem directly in the following:

> A commentator analyzing an essay by Roland Barthes might distinguish its specifically structuralist moves from its other procedures, thus drawing upon and contributing to a highly restricted notion of structuralism. A critic of broader ambitions, trying to describe the fundamental procedures of modern thought, might, on the other hand, contrast the "structuralism" of twentieth-century thinking with an earlier "essentialism", making us all structuralists today, whatever our claims. A plausible defense of each use of the term could be mounted, since the distinctions that are crucial at one level fade away at another; but if the functioning of structuralism aptly illustrates the structural determination of meaning that structuralism purports to describe, the results are still confusing for anyone who hopes that the term will serve as a convenient and reliable label. Vincent Descombes's Le Même et l'autre, a powerful

account of French philosophy from 1933-1978, scrupulously
explores distinctions until it makes Michel Serres the only real
structuralist.   (Culler, On Deconstruction 18)

As a way of connecting a discussion of structuralism and post-

structuralism with the semiotic issues of section 1.1, on the one hand,

and as a way of leading to the musical-theoretical applications of

sections 1.3 and 1.4, on the other, I shall discuss structuralism drawing

from terms from column A below; I shall then discuss post-structuralism

drawing from terms from column B. Such an approach avoids the

impossibility of defining structuralism and post-structuralism as fixed

realities, and locates the discussion in a configuration of terms, the

binary, passive, and closed members of which suggest structuralism, the

plural, active, and open members of which suggest post-structuralism.

These pairs are an expansion of Saussures dualisms discussed in the

previous chapter:[30]

A	B
science	system
language	speech
synchrony	diachrony
organic metaphors	constructed metaphors

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[30]I shall continue to add to these columns when appropriate. It is hoped that the
columns provide a useful reference for a central issue of this study--the ways in which
critical discourse can privilege one, while borrowing from the other, of these broad
categories.

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dualistic          dialectic
opposition         opposition

a signified        signifieds
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1.2.2 Structuralism

This discussion of structuralism will focus on the terms language, organic metaphor, and binary opposition. In the following, Jameson states that structuralists emphasize general syntactic principles behind works of art:[31]

> The Formalists were ultimately concerned with the way in which the individual work of art (or parole) was perceived differently against the background of the literary system as a whole (or langue). The Structuralists, however, dissolving the individual unit back into the langue of which it is a partial articulation, set themselves the task of describing the organization of the total sign-system itself. (101)

This quote makes clear how structuralists took Saussure's notion of a transcendental syntax behind speech and applied it to the notion of general principles behind a work of art.

For structuralists the organic metaphor is crucial to describe the way in which works derive from basic principles. According to Jameson:

> The advantage of the notion of organism was that in it the realms of the diachronic and synchronic found a living synthesis, or rather had not yet been separated, for it is the diachronic (the observation of gradual change in the organism)

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[31]The formalists were primarily Russian theorists who worked roughly in the first quarter of this century. See Jameson, Part 1.

which leads the attention of the observer to the synchronic
structure (those organs which have changed and evolved and
which are now to be understood in their simultaneous
coexistence with each other in the life of the organism itself).
Such notions as function are thus to be found at the very
intersection between the two dimensions, and with them history
wins its claim to be an independent mode of understanding in
its own right. (vi)

In her article "The Living Work: Organicism and Musical Analysis",

Ruth Solie has pointed out how the theories of Schenker are based on

organic metaphors. In his assertion of basic principles informing all

works with an order based on the organic metaphor, Schenker can be

understood as a musical structuralist. Solie points out as well, that not

only did Schenker arrive at a procedure of discussing works as organic

wholes, but that his theories pointed to the goals of idealistic

philosophy: "an organism, then, is an ideal substance which expresses

the universe in a wider sense" (149). Another recent work in music

theory is structural in its use of the linguistic analogy as the basis for a

theory of music, and in terms of its proposal of a general syntax from

which pieces spring. The work is Fred Lerdahl and Ray Jackendoff's A

Generative Theory of Tonal Music. In his review of this book, Richard

Cohn refers to structuralism in musical-theoretical writing as follows:

"Most recent music theory has focused attention exclusively on the

musical text, independent of both the process of creation, and the act of

perception. This viewpoint...we may characterize as structuralist" (Cohn

30). While Cohn is quite correct in his assessment of the primary

impetus of structural analyses, I would add that it is not only the focus upon the text which marks structural inquiry, but the way in which the text is viewed. While a structural analysis would articulate configurations of language (musical or verbal), in a text as evidence of a truth, a post-structural approach, as will be shown below, might view it as more a site where a host of factors intersect, pointing less toward a clear truth, than in different, not necessarily rigorously definable paths.

Both Culler and Barthes have pointed out the essentially binary nature of structuralism:

> The relations that are the most important in structural analysis are the simplest: binary oppositions. Whatever else the linguistic model may have done, it has undoubtedly encouraged structuralists to think in binary terms, to look for functional oppositions in whatever they are studying. (Culler, Structuralist Poetics 14)

Or:

> ...the reader will...notice that the binary classification of concepts seems frequent in structural thought, as if the metalanguage of the linguist reproduced, like a mirror, the binary structure of the system it is describing. (Barthes, Elements of Semiology 12)

In his essay "The Structuralist Activity", Barthes describes the process of a structural analysis of a work of art in terms of the binary interaction between dissection and articulation. He discusses the former as follows:

> The dissection operation thus produces an initial dispersal state of the simulacrum, but the units of the structure are not

at all anarchic: before being distributed and fixed in the
continuity of the composition, each one forms with its own
virtual group or reservoir an intelligent organism, subject to a
sovereign motor principle.   (1197)

Of the latter he points out that: "once the units are posited, structural

man must discover in them or establish for them certain rules of

association: this is the activity or articulation" (1198). Barthes has

referred in the above to the binary nature of dissection and articulation

in structural analysis.   Barthes' use of the term simulacrum[32] reflects

another binary opposition which is essential for structural analysis--the

work of art itself, on the one hand, and the work of criticism on the

other. The work of criticism reflects, but stands clearly apart; it frames

but does not intrude upon the sovereign territory of the work of art:

> The goal of all structural activity whether reflexive or poetic,
> is to reconstruct as "object" in such a way as to manifest
> thereby the rules of functioning...of this object. Structure is
> therefore actually a simulacrum of the object, but a directed,
> interested simulacrum, since the imitated object makes
> something appear which remained invisible, or if one prefers,
> unintelligible in the natural object. ("The Structuralist
> Activity" 1196)

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[32]Websters defines simulacrum as "1. image, representation. 2. an insubstantial form
or semblance of something" (1099).

1.2.3 Post-Structuralism

Having sketched a definition of structuralism from column A, I shall now sketch a definition of post-structuralism from column B; the pairs are given below for mnemonic purposes:

A	B
science	system
language	speech
synchrony	diachrony
organic metaphors	constructed metaphors
dualistic opposition	dialectic opposition
a signified	signifieds

In his book <u>The Scientific Image</u>, van Fraassen discusses two kinds of science--scientific realism, and constructive empiricism (See van Fraassen, Chapter I). I understand the former as a synonym for structuralism, the latter, as a synonym for post-structuralism. In terms of the pairs given above, "science" represents "scientific realism", and "system" represents "constructive empiricism". Thus science / scientific realism / structuralism are opposed to system / constructive empiricism / post-structuralism. Van Fraassen defines science in terms of the following:

> <u>Science aims to give us, in its theories, a literally true story of what the world is like; and acceptance of a scientific theory involves the belief that it is true.</u> This is the correct statement of scientific realism. (8)

He articulates an alternative as follows:

> Science aims to give us theories which are empirically adequate; and acceptance of a theory involves as belief only that it is empirically adequate. This is the statement of the anti-realist position I advocate; I shall call it constructive empiricism. (12)

I understand van Fraassen's constructive empiricism as a system which relies on belief, observable details, provisional conclusions, as opposed to the claim to absolute truth, and reliance on unobservable details of science.[33] The distinction between science and system can also be explored in a work of Lévi-Strauss. In The Savage Mind, he suggests that:

> ...there are two distinct modes of scientific thought. These are certainly not a function of different stages of development of the human mind but rather of two strategic levels at which nature is accessible to scientific inquiry: one roughly adapted to that of perception and the imagination: the other at a remove from it. It is as if the necessary connections which are the object of all science, neolithic or modern, could be arrived at by two different routes, one very close to, and the other more remote from, sensible intuition. (15)

More specifically, Lévi-Strauss opposes the engineer to the bricoleur. Lévi-Strauss refers to the engineer as an example of the scientist who works at a distance from personal experience; the bricoleur,

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[33]For a discussion on the role of the unobservable in traditional science, the reader is referred to van Fraassen 1-39.

on the other hand, works more empirically.[34] The bricoleur's "universe

of instruments is closed and the rules of his game are always to make

due with 'whatever is at hand', that is to say with a set of tools and

materials which is always finite and is also heterogeneous" (17).

In terms of the language / speech opposition, we have seen how

speech works in semiotics as a concrete enactment of an abstract

language. In literary criticism and other fields, texts themselves can be

seen as speech acts--specific versions of general principles.[35] A text can

range from an image, to a point of view, a work of art, a collection of

works of art, a period, style, culture. A text is, loosely, anything to be

studied. While structural and post-structural works have addressed a

wide variety of texts, it is the perception of the relationship between

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[34]Lévi-Strauss points out that the way in which the bricoleur works from immediate, observable facts derives from the etymology of the word: "In its old sense the verb 'bricoler' applied to ball games and billiards, to hunting, shooting and riding. It was however always used with reference to some extraneous movement: a ball rebounding, a dog straying or a horse swerving from its direct course to avoid an obstacle. And in our own time the 'bricoleur' is still someone who works with his hands and uses devious means compared to those of the craftsman" (16-17).

[35]Jameson, for example, refers in the following to Freud's sense of the dream as speech act: "For Freud the dream is a parole which can be understood only against the background of that unique and private langue which is the dreamer's past and present, the events of his personal history and chance associations of his life experience" (114).

text and general principles beyond that differs between them.[36]   Jacques

Derrida has contributed greatly to the idea of the fluid relationship

between text and whatever informs it:[37]

> ...up to the event which I wish to mark out and define /the
> appearance of post-structuralism/ structure--or rather
> structurality of structure--although it has always been at work,
> has always been neutralized or reduced, and this by a process
> of giving it a center or of referring it to a point of presence, a
> fixed origin. The function of this center was not only to orient,
> balance, and organize the structure--one cannot in fact conceive
> of an unorganized structure--but above all to make sure that
> the organizing principle of the structure would limit what we
> might call the play of the structure.   (Derrida, "Structure, Sign
> and Play in the Human Sciences" 278)

The word play is essential to much post-structural thought and refers,

rather loosely, to relations not reducible to binary oppositions.   Derrida

argues that structural thought imposes a center inside the text (its final

meaning) which is, paradoxically, outside the text--since the placing of

meaning inside the text is prior to the critic's confrontation of the text

itself. This internal / external center silences, for Derrida, the play of

the work's structure.   Derrida implies this notion in the following,

extended passage:

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[36]Post-structuralists assert that the deployment of a model based on a transcendental
syntax can obliterate the contours of a text. Similarly, in his Beyond Schenkerism,
Eugene Narmour criticizes voice-leading techniques: "Schenkerian analysis...can teach us
a lot about a given language but little about the nature of individual utterances"
(203).

[37]The following passages are meant to show an alternative to the implication of a
stable relationship between, for example, the work of criticism and the work of art in
Barthes' "The Structuralist Activity".

> ...it has always been thought that the center, which is by
> definition unique, constituted, that very thing within a structure
> which while governing the structure, escapes structurality. This
> is why classical thought concerning structure could say that the
> center is, paradoxically, <u>within</u> the structure and <u>outside</u> it. The
> center is at the center of the totality, and yet since the center
> does not belong to the totality (is not part of the totality), the
> totality <u>has its center elsewhere</u>. The center is not the center....
> The concept of a centered structure is in fact the concept of a
> play based on a fundamental ground, a play constituted on the
> basis of a fundamental immobility and a reassuring certitude,
> which is beyond the reach of play. (Derrida, "Structure, Sign
> and Play" 279)

At the moment at which Derrida calls the (internal / external) center

into question, the absolute, logocentric meaning, the signified of the text

becomes dislodged:

> This was the moment when language invaded the universal
> problematic, the moment when, in the absence of a center or
> origin, everything became discourse--provided we can agree on
> this word--that is to say, a system in which the central
> signified, the original or transcendental signified, is never
> absolutely present outside a system of differences. The absence
> of the transcendental signified extends the domain and the play
> of signification infinitely. (280)

Derrida's emphasis on absence, on signification pointing to, but never

reaching a transcendental signified suggest the dialectical opposition of

post-structural inquiry. We had pointed out above that Jameson makes

a distinction between binary opposition of present objects, and dialectical

opposition between a present object and an absent one (See Jameson

119-120, quoted above).[38]

As opposed to the presentation of a synchronic model in science, Michel Foucault proposes a more diachronic approach. His text is western history itself, and in the <u>Archaeology of Knowledge</u> Foucault discusses total history as that method of analysis in which events are subsumed by the "great span" or unifying motion of history. Against this approach, he posits a general history:

> /in total history/ it is supposed that history itself may be articulated into great units - stages or phases - which contain within themselves their own principle of cohesion. These are the postulates that are challenged by the new history when it speaks of series, divisions, limits, differences of level, drifts, chronological specificities, particular forms of rehandling, possible types of relation. (10)

Foucault discusses his concern with what is missed in science in the following:

> Beneath the great continuities of thought, beneath the solid, homogeneous manifestations of a single mind or of a collective mentality, beneath the stubborn development of a science striving to exist and to reach completion at the very outset, beneath the persistence of a particular genre, form, discipline, or theoretical activity, one is now trying to detect the incidence of interruption. (4)

As opposed to the organic relationship among elements of a text, Foucault suggests a more constructed model:

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[38]Jameson's notion of dialectical opposition obviously is derived from Hegel--with the modification that the synthesis of the thesis (present object of study for Hegel) and the antithesis (that which the thesis misses, what is left over by the thesis), does not occur.

> The problem now is to constitute series: to define the
> elements proper to each series, to fix, its boundaries, to reveal
> its own specific type of relation, to formulate its laws, and,
> beyond this, to describe the relations between different series,
> thus constituting series of series, or 'tables'. (7-8)

We can now add terms from van Fraassen and Lévi-Strauss to our list:

A	B
scientific realism	constructive empiricism
science	system
structuralism	post-structuralism
engineer	bricolage
language	speech
synchrony	diachrony
organic metaphors	constructed metaphors
dualistic opposition	dialectic opposition
a signified	signifieds
total history	general history

It may seem odd to the reader that Lévi-Strauss' term bricolage is

added under column B in light of the fact that Jameson has pointed

out Lévi-Strauss' role as a key founder of structuralism. But column A

is in no historical, chronological relation to column B. Rather, the

columns present two ways of looking at problems, which may overlap.

Derrida, for instance, claims that an aspect of Lévi-Strauss' use of the

term bricolage prefigures concerns of his own:

> The <u>bricoleur</u>...is someone who uses 'the means at hand', that is, the instruments he finds at his disposition around him, those which are already there, which had not been especially conceived with an eye to the operation for which they are to be used and to which one tries by trial and error to adapt, not hesitating to change them whenever it appears necessary, or to try several of them at once, even if their form and their origin are heterogeneous--and so forth. There is therefore a critique of language in the form of <u>bricolage</u>, and it has even been said that <u>bricolage</u> is critical language itself. ("Structure, Sign and Play" 285)

1.3 Musical Applications I: Barthes' <u>S/Z</u> and Musical-Theoretical Codes

1.3.1 Transition from Linguistics and Literary, to Musical Issues

We have shown above how Lévi-Strauss suggested that in broad terms, human thought is characterized by science, or engineering on the one hand (inquiry distanced from sensation), and empirical bricolage on the other (inquiry closer to sensation, to immediate circumstances).[39] Given the pervasiveness of these two modes of thought, one can choose, as analyst, whether to align oneself with the scientist or the bricoleur (Lévi-Strauss), with the scientific realist or the constructive empiricist (van Fraassen), depending on whether one seeks to assert an absolute truth, or demonstrate a model based on empirical adequacy. The

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[39]In the first chapter of <u>The Savage Mind</u>, Lévi-Strauss adds many other categories to this opposition, and he refines the discussion considerably. See, in particular, the discussion of games and rituals 32-35.

following analyses are the result of a constructive empiricism, 1) because no single model of musical analysis can articulate how all parameters of music work (either individually, or in combination with one another), and 2) because constructive empiricism results in a clearer description of the contours of a work than is possible in a scientific realist approach. I understand scientific realism as a type of structuralism, and constructive empiricism as a type of post-structuralism. Thus, to refer to our pairs above, I shall derive the subsequent analyses from terms which tend to derive from column B. Aspects of the paratactic codes will, however, derive from terms in column A; these points will be covered in section 1.4 of this study.

The constructive empiricist / post-structuralist / bricoleur who analyzes a literary text will seek a pluralistic model in order to avoid the transcendental signified of the scientific realist / structuralist / engineer. And the elements, the individual tools of the analysis are often called codes. The word "code" suggests that meaning can be deciphered short of an absolute truth. An influential literary analysis which formulates and deploys codes will now be explored as laying the groundwork for the musical-theoretical model of analysis to be articulated in section 1.4.

1.3.2 Barthes' <u>S/Z</u>: Literary-Critical Codes

Roland Barthes offers what he referred to as a "microanalysis"[40] of Balzac's story "Sarrasine" in his book-length study--<u>S/Z</u>.[41]

The discussion will begin with a discussion of the codes themselves, followed by examples of how they work in <u>S/Z</u>. Then the implications of Barthes' method of analysis will be examined, together with Barthes' reception in the literary-critical community. Barthes' codes are given below; to the left are the names of the codes, to the right, their abbreviations in <u>S/Z</u>:[42]

The Code of Narrative Actions	(ACT)
The Semantic Code	(SEM)
The Culture Code	(REF)
The Hermeneutic Code	(HER)
The Symbolic Field	(SYM)

In "On <u>S/Z</u>", Barthes comments on the codes as follows:

> 1. <u>The Code of Narrative Actions</u>, (or proairetic code) a term borrowed from Aristotelian rhetoric, which ensures that we read the novella as a story, a succession of actions.

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[40]See Roland Barthes, "On <u>S/Z</u> and <u>The Empire of Signs</u>" 69.

[41]For a comparable musical analysis which has contributed to the theoretical model of this study, the reader is referred to David Lewin's "Morgengruss" study. Like Barthes, Lewin has chosen a classic text and has submitted it to a detailed, step-by-step analysis--at once exhaustive, and left open for further contributions. As will be shown below, Lewin's term "internal resonance" will have implications for my approach to musical cross-reference.

[42]These are the dominant codes of the work, but they are by no means the only codes Barthes uses. See, for example, page 139 for "The Code of Passion", "The Novelistic Code", and "The Ironic Code", or page 128 for "The Rhetorical Code".

2. <u>The Semantic Code</u> gathers together signifieds which are more or less psychological, atmospheric, pertaining to character. It's the world of connotations, in the current sense of the term. For example, when a character's portrait is meant to transmit the message "He is irritable" but without ever pronouncing the word "irritability", then irritability becomes the signified of the portrait.

3. <u>The Culture Code</u>, broadly understood, i.e. the set of references and the general knowledge of a period which support the discourse. For example, psychological, sociological, medical knowledge, etc. These codes are often very strong, particularly in Balzac.

4. <u>The Hermeneutic Code</u> covers the setting into place of an enigma and the discovery of the truth it conceals. In a general fashion, this code governs all intrigues modeled on the detective novel.

5. <u>The Symbolic Field</u>. As we know, its logic differs radically from the logic of reasoning or of experience. It is defined, like the logic of dreams, by elements of intemporality, substitution, and reversibility. (74-75)

As codes of a systematic (as opposed to scientific) model, certain elements draw on traditional tools of research, certain elements are new. <u>The Code of Narrative Actions</u> represents the study of the linear sequence of events from classical rhetoric; <u>The Semantic Code</u> deals with traditional notions of secondary levels of meaning behind the surface of narrative; <u>The Culture Code</u> opens the text in traditional fashion to such extra-textual considerations as social background, biographical details of the author's life. The last two codes represent more original formulations. <u>The Hermeneutic Code</u> offers a technical model for the way in which narrative creates and delays the resolution of

expectations.[43] <u>The Symbolic Field</u> articulates how cross-reference out of linear time works in narrative. This code is used in a narrow sense in S/Z; it is often associated with antitheses.

A prominent feature of Barthes' analytic technique in S/Z is his refusal to synthesize the codes into a single structure:

> The five codes create a kind of network, a <u>topos</u> through which the entire text passes (or rather, in passing, becomes text). Thus if we make no effort to structure each code, or the five codes among themselves, we do so deliberately, in order to assume the multivalence of the text, its partial reversibility. We are, in fact, concerned not to manifest a structure but to produce a structuration. (S/Z 20)

The passage above clearly places Barthes in the constructive empiricist / post-structural tradition outlined above. This statement will be amplified after a brief examination of how the codes work in S/Z. Jameson has pointed out that S/Z is a modified form of classical scholarship--the commentary written in the margins of a text (209). While classical commentary would make a clear distinction between text and gloss, Barthes proceeds in large sections with quadruple spacing between them. Each section is numbered according to the fragment with which it begins in italics. A single black star introduces an analytic detail or a code + comment in bold print. Two black stars introduce another point

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[43]Barthes' acquaintance with the Russian formalists is clear in his writings after S/Z--particularly in <u>Image-Music-Text</u>. Barthes' hermeneutic code may have been influenced by the device in formalist models called <u>ostranenie</u>, or defamiliarization. See Jameson 75-90.

etc. This succession of fragments + comment is itself broken-off by short tangential essays ranging from half a page to several pages in length. The text of <u>S/Z</u> is an interweaving of two strands: 1) textual analysis, and 2) free essay. Strand 1) is, in turn, an interweaving of a) text, and b) comment. B) is an interweaving of connections between #1--a code and a feature of the text, and #2--analysis of <u>explication de texte</u> variety. To illustrate how the codes work in <u>S/Z</u>, two of Barthes' segments will be examined; #15 will be discussed first: (31)

(15) "You mean you don't know?" . . .
I stuck my head out and recognized the two speakers as members of that strange race which, in Paris, deals exclusively with "whys" and "hows," with "Where did they come from?" "What's happening?" "What has she done?" They lowered their voices and walked off to talk in greater comfort on some isolated sofa. Never had a richer vein been offered to seekers after mystery. * ACT. Hiding place: 2: to come out of hiding. ** REF. Ethnic psychology (Paris, worldly, slanderous, taletelling). *** Here we have two further terms of the hermeneutic code: the proposal of the enigma each time the discourse tells us, in one way or another, "There is an enigma," and the avoided (or suspended) answer: for had the discourse not moved the two speakers off to a secluded sofa, we would have quickly learned the answer to the enigma, the source of the Lanty fortune (however, then there would have been no story to tell) (HER. Enigma 2: proposal and suspended answer).

The story "Sarrasine" involves a young man at a ball with a young woman in Paris of the early nineteenth century. At the ball they observe an old man, and the rest of the story involves the main male character narrating a story to the main female character as to the history of the old man--an aged castrato. The segment above occurs early in the story when both main characters arrive at the ball and

listen to small talk. After the first star, the action (ACT) has a general quality as suggested by the phrases "hiding place" and "to come out of hiding". <u>The Code of Narrative Actions</u> addresses the fact that as part of the linear sequence of events of the story, the couple goes over to sit on the sofa. The double star introduces <u>The Culture Code</u> (REF) in terms of the hypothetical questions in quotation marks in t! story. The triple star introduces <u>The Hermeneutic Code</u> (HER) according to which an enigma is created with its solution approached, avoided, approached, and eventually solved in a narrative.[44] There are several enigmas in <u>S/Z</u>, and Barthes numbers them accordingly. Another segment from later in the piece will illustrate other codes. In #90, the old man has seated himself next to the two main characters: (63)

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[44]For a detailed application of Barthes' hermeneutic code to music, the reader is referred to McCreless, "Barthes' <u>S/Z</u> from a Musical Point of View".

(90) *whose neck, bosom, and arms were bare and white, whose figure was in the full bloom of its beauty, whose hair rose from her alabaster forehead and inspired love, whose eyes did not receive but gave off light, who was soft, fresh, and whose floating curls and sweet breath seemed too heavy, too hard, too powerful for this shadow, for this man of dust:* ***** SEM. Antithesis: B: (the young woman). ****** SEM. Vegetality (organic life). ******* The young woman was at the outset a child-woman, passively penetrated by the man's gaze (No. 60). Here, her symbolic situation is reversed; we find her in the field of action: *"her eyes did not receive but gave off light"*; she joins the Castrating Woman, of whom Mme de Lanty was the first example. This mutation can be explained by the purely paradigmatic needs of the Antithesis: in No. 60, as opposed to the petrified old man, it required a fresh young woman, frail, floreal; here, as opposed to "human wreckage," it requires a powerful vegetality that reassembles, that unites. This new paradigm, which turns the young woman into a castrating figure, will gradually establish itself and draw the narrator himself into its orbit; he will no longer have control over the young woman (as in No. 62), but, reversing his own symbolic role, he will shortly appear in the passive position of a dominated subject (SYM. The queen-woman).

The above shows Barthes' radical segmentation which slices through the grammar of the text to delineate his analytic segments. The single and double stars refer to <u>The Semantic Code</u> and show connotations of antithesis between the young sensuous woman and the old, dry man--or between the organic and the dead. The triple star introduces analytic material which relates segment #90 to #60. At the end of the segment, <u>The Symbolic Code</u> (SYM) relates the image of the woman in the story, and her acquisition of what Barthes refers to as her castrating power, to the figure of the "queen-woman".

Barthes' conception of the text places him within the post-structural tradition sketched in section 1.3 of this study. Barthes discusses a traditional procedure of the critic dealing passively with a

work of art as a "readerly text".[45] S/Z, on the other hand,

demonstrates the "writerly text". As opposed to the binary opposition of

work of art and simulacrum (work of criticism), text and gloss merge in

S/Z. Barthes refers to the readerly text in the following:

> Our literature is characterized by the pitiless divorce which
> the literary institution maintains between the producer of the
> text and its user, between its owner and its customer, between
> its author and its reader. This reader is thereby plunged into a
> kind of idleness--he is intransitive; he is, in short, serious:
> instead of functioning himself, instead of gaining access to the
> magic of the signifying, to the pleasure of writing he is left
> with no more than the poor freedom to accept or reject the
> text: reading is nothing more than a referendum. Opposite the
> writerly text, there is its countervalue, its negative, reactive
> value: what can be read, but not written: the readerly. (S/Z
> 4)

The concept of the readerly text and the writerly text as optional

approaches which an analyst can adopt when confronted with a work of

art, relates to the issues at hand as follows. It has been said in section

1.3 above, that a constructive empiricist / post-structural / bricolage

approach can illuminate the contours of a work better than a scientific

realistic / structuralist approach. I understand Barthes' readerly text as

an image of scientific realism, structuralism; the writerly text is an

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[45]Barthes' own earlier essay "The Structuralist Activity" seems to advocate readerly
texts. In terms of this and other points, one can see how Barthes' opinions changed as
he moved from structuralism to post-structuralism. Edward T. Cone has written about
the ways in which the reader and a work of literature (and a listener and a work of
music) contribute to a work's meaning. Cone posits three distinct phases of reading
(See "Three Ways of Reading a Detective Story--or a Brahms Intermezzo").

image of constructive empiricism, post-structuralism. We can thus add these terms to our columns as follows:

A	B
scientific realism	constructive empiricism
science	system
structuralism	post-structuralism
engineer	bricoleur
language	speech
synchrony	diachrony
organic metaphors	constructed metaphors
dualistic opposition	dialectic opposition
a signified	signified_s
total history	general history
readerly text	writerly text

More specifically, however, Kaja Silverman suggests how readerly texts blur the contours of a work. She asserts that: "S/Z draws our attention to the way in which a logo-centric semiotics tends to establish the denotative signified as a privileged and authoritative term, one which moreover results in impoverished texts" (240). Silverman's term impoverished text refers to the way in which the application of a formalist model in a readerly text deals with a work's greatness

exclusively as an enactment of a transcendental syntax. The work of art is a type of, a version of, something else.[46]

As opposed to the clear binary opposition which underlies the readerly text, the writerly text is open. Barthes asserts that analysis must:

> ...aim, ultimately, not at a legal structure of norms and departures, a narrative or poetic Law, but a perspective (of fragments, of voices from other texts, other codes), whose vanishing point is nonetheless ceaselessly pushed back, mysteriously opened.... (S/Z 12)

Accordingly, if an ultimate signified is reached in structural inquiry, the post-structuralism which informs S/Z aims at perpetual signification: "/the writerly text/ is a galaxy of signifiers, not a structure of signifieds; it has no beginning; it is reversible; we gain access to it by several entrances" (S/Z 5-6). Barthes links his emphasis on the plurality of signifiers and the absence of a signified to re-reading:

> ...it would be wrong to say that if we undertake to re-read the text we do so for some intellectual advantage (to understand better, to analyze on good grounds): it is actually and invariably for a ludic advantage: to multiply the signifiers, not to reach some ultimate signified. (S/Z 65)

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[46]I understand the sublimation of a work of literature in a readerly text as an analogue to the sublimation of a work of music to a transcendent model. A Schenkerian analysis of a work can thus be understood as a readerly-musical text. Such a text impoverishes the work by showing how one piece is similar to another (they are both enactments of the same syntax), rather than different from one another (they both may be enactments of the same syntax, but they may partly deny syntactic rules.)

1.3.3 The Reception of Barthes' Theories

In a recent article, Helen Vendler surveys Barthes' thought throughout his career. She discusses Barthes in terms of a tension between "syntactic" and "lexical" impulses:

> The logical side and "syntactic" side of Barthes made him eager to engage in intellectual debate; the dispersive, "lexical" side made him "spoil" the logic of the debate with "digressions' into various discourses, "indulgences" of language, what he called the "skids' and "drifts" of argument. (Vendler 44)

Vendler points out that particularly with respect to S/Z, Barthes was in part reacting against his strict, formalist background:

> Barthes' own commentaries on books or paintings combat the explication de texte in various ways. In S/Z for instance...he fragments the text into short phrases, and reads serially, piece by piece--a process that seemed nothing short of deranged to various readers who did not realize that to emphasize the temporal and incremental quality of reading was one way to rebel against the spatial quality of the "structure of ideas" required by conventional French explication. (45)

In Structuralist Poetics, Culler criticizes Barthes' use of codes: "not only does he preserve the notion of code, which entails collective knowledge and shared norms; it is in S/Z that the concept reaches its fullest development: the codes refer to all that has already been written, read, seen, done" (243). Culler broadens his critique in the following:

> To reject the concept of a system on the grounds that the interpretive codes which enable one to read the text produce a plurality of meanings is a curious non sequitur, for the fact that a variety of meanings and structures are possible is the strongest evidence we have of the complexity and importance of reading. If each text had a single meaning, then it might be

possible to argue that this meaning was inherent to it and dependent upon no general system, but the fact there is an open set of possible meanings indicates that we are dealing with interpretive processes of considerable power which require study. It is difficult to avoid the conclusion that the theories of the Tel Quel group and the arguments which they might bring to bear against the notions of a literary system and literary competence do, in fact, presuppose these notions which they claim to have rejected. (243)

While Culler is right to a certain extent, I think the above-cited passage should be linked to an issue other than non-sequitur. One of the binary oppositions upon which structural analysis rests is that of the work of criticism as a simulacrum of the work of art. As long as the aim of analysis is to mirror with a teleological language (language ruled by grammar) in a systematic form (the explication de texte) a work of art governed, as well, by a similar teleological language and system of meanings (form, content etc.), then the critical act poses no problem. Depending upon how close one wishes the gloss to approach the text, one can think of the former "framing", "mirroring", or "merging with", the latter. But when, as with post-structural analysis, one seeks with teleological language (a language ruled by grammar) in a systematic fashion (an analytic essay) to explore gaps, difference, then it becomes not an issue of non-sequitur but of essential paradox.[47] It is thus

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[47]Vendler refers to Barthes' awareness of this apparent contradiction in the following: "We consequently see him, in all these essays, combating the inherently assertive nature of the sentence itself (which he fully recognized) and trying for a lightness or urbanity of tone, a historical skepticism and a figurative language" (46).

circular to point out that post-structuralists (Barthes in S/Z, for example) contradict themselves by using logical structures (the subject / predicate sentence structure, for example, and the way in which no matter how long, all words in a sentence are linked to them), to undermine other logical structures. It is certainly possible in post-structural discourse to have non-sequiturs, but one can examine what seems to be a contradiction to see whether it might be traceable to one of what I propose to designate essential paradoxes, or whether a specific detail is flawed.

Let us consider the form of S/Z as an example. It has been mentioned above that the work has no conclusion; it stops as the reading / writing of the text ceases. One could argue that it is an act of logical incompetence to offer what in its details reads like a hyper-formalist analysis with no attempt to comment on, summarize one's ideas at the end. It is as if one pretends to make a logical point with premises only. But the flaw of the argument is that Barthes essentially withholds critical synthesis, and conclusion: 1) as a way of having the critical act mirror the text as closely as possible--the story has no conclusion ("And the Marquise remained pensive") so why should a reading / writing, 2) to let the friction between details gleaned by tools of a different logical class remain unresolved. Barthes wants us to remember the detail in all its clarity and not posited forms which would subsume them into a higher whole.

One could argue, as well, that in formulating his codes, Barthes violates the rules of classification according to which: 1) sub-divisions should not overlap, and 2) the principle of division should be the same (or of the same logical nature) at each level of classification.[48] We have already commented at some length on how Barthes seeks to avoid the a priori rigor of the explication de texte. But Barthes codes are meant to generate analytic details which add up in an open-ended accumulation to a writerly text.

1.3.4 Musical-Theoretical Codes

The rest of this study will attempt to create writerly-musical texts in each discussion of a piece from Chopin's Preludes Op. 28. The impoverishment of readerly-musical texts is avoided through plurality of analytic tools which draw the ear away from transcendental syntax to the work itself, and cross-referential codes.[49]

The link between my musical-theoretical codes, and Barthes' literary-critical codes is general: 1) because his codes are not exhaustive in terms of covering all aspects of narrative, and 2) because what links the discussion of literary-critical codes to the discussion of musical-

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[48]See John Ruszkiewicz, Well-Bound Words.

[49]By associating Schenker with the readerly-musical text, no polemics are intended. I seek adjacency with members of the critical community in music theory (notably Meyer and Narmour), as well as other fields, who are engaged in critiques of structuralism.

critical codes is a concern for a variety of linear and non-linear issues. What makes a one-to-one correspondence of literary-critical, and musical-theoretical code difficult and undesirable has to do with the issue of dual articulation mentioned in the Foreword of this study. Barthes' codes address a variety of semantic and syntactic features of "Sarrasine", such as the process of reading, and Balzac's cultural context. While it would be possible to discuss a musical equivalent of The Culture Code[50] in music, the codes discussed below refer to syntactic features of music only. The musical-theoretical codes of this study are: 1) gestural downbeat, 2) harmony and phrasing, 3) Schenkerian voice-leading,[51] and 4) parataxis. The first three codes will be discussed below; the paratactic codes will be discussed in section 1.4 as issues of semiotics and musical cross-reference are brought together.[52]

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[50]Such a consideration might include features of music which are supposed to represent states of mind, such as the association of the major mode with happiness, the minor mode with sadness.

[51]All Schenkerian points are meant to apply only to issues at hand; I do not assume that at every moment in an analysis all aspects of Schenkerian theory necessarily obtain.

[52]The approach of studying the syntax of a piece of music in terms of plurality of codes is similar in spirit to the flexible notion of the musical text explored by Jim Samson: "Studies in the history of reception have further encouraged a more fluid view of the work--a tendency to see it less in terms of a fixed object than as a set of interactions between more-or-less unchanging materials - the symbols on the score - and constantly changing receptive attitudes, determined by intersubjective factors" (The Music of Chopin 143).

1) gestural downbeat

In many of the <u>Preludes</u> under discussion,[53] I shall emphasize a

gestural downbeat at the high point of a one-part form.[54] Accordingly, I

have taken over the idea from Leichtentritt that many of the <u>Preludes</u>

develop one idea:

> It is not a question of linking together themes of various
> moods, nor is it a question of large, sophisticated forms such as
> the classic examples; rather it is a question of the most direct
> presentation possible of a single, musical idea.[55]

My notion of the gestural downbeat derives from Lerdahl and

Jackendoff's use of the term "phenomenal accent" in <u>A Generative</u>

<u>Theory of Tonal Music</u> (17). I shall represent a gestural downbeat by

an arrow pointing downward to a dot along a time line. The line stands

for the left-to-right diachronic real time of the piece; each dot will stand

for a measure of the music, as in the following: (See Figure F)

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[53]Particularly #1 in C Major, #4 in E Minor, #8 in F-sharp Minor, #12 in G-sharp Minor, #19 in E-flat Major, and #21 in B-flat Major.

[54]See Green, <u>Form in Tonal Music</u> 74.

[55]See Leichtentritt 125. The translation is mine; the German is: "Es handelt sich hier nicht um die Verknüpfung verschiedener Themen mannigfacher Stimmung, nicht um grössere Konstruktionen wie sie die verwickelten Formen bedingen, sondern nur um das möglichst eindringliche Hinstellen einer einzigen musikalischen Idee".

Figure F
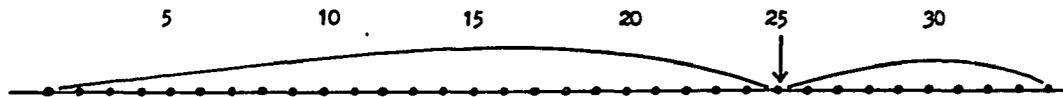
In the hypothetical piece which Figure F represents, the arrow

represents a gestural downbeat at a hypothetical m. 25, which has the

effect of dividing the piece into two gestures--one before, one after, the

high point. The slurs in a gestural downbeat sketch are meant only to

represent this "before" and "after" effect with which the gestural

downbeat informs a piece.[56]

2) harmony and phrasing

Under harmony and phrasing, I refer to standard harmonic analysis

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[56]My notion of gestural downbeat derives, in particular, from Edward T. Cone's notion of the structural downbeat. See "Analysis Today". The idea of gestural downbeat is also grounded in Aristotle who points out that: "every tragedy falls into two parts--complication and unraveling or denouement. Incidents extraneous to the action are frequently combined with a portion of the action proper, to form the complication; the rest is the unraveling. By the complication I mean all that extends from the beginning of the action to the part which marks the turning-point to good or bad fortune. The unraveling is that which extends from the beginning of the change to the end" (Poetics XVIII 58).

found in many available texts, and procedures for the analysis of phrase structure derive from Green's <u>Form in Tonal Music</u>.

3) Schenkerian voice-leading

Under Schenkerian voice-leading, I understand hearing musical structure as represented in the later writings of Heinrich Schenker, with which I assume the reader to be familiar--in particular, <u>Free Composition</u>. All voice-leading, analytic points are meant to conform to the rigors of linear analysis.

1.4 Musical Applications II: Semiotics and Parataxis

1.4.1 Introductory Remarks

Under parataxis, I understand five forms of cross-reference in music. The following discussion will open with a presentation of each form of parataxis including a definition, a musical illustration, and a brief account of its semiotic nature. Then a discussion of the literary-critical roots of parataxis will be explored, followed by a consideration of how the paratactic codes fit into a constructive empirical / post-structural / bricolage approach. The reader is reminded that parataxis means juxtaposition, or side-by-sideness, "the placing of propositions one

after another, without indicating by connecting words the relation (of coordination or subordination) between them" (Oxford English Dictionary Vol. 7 465). Parataxis is often used in opposition to hypotaxis, which refers to order created by hierarchy, elements being conceptually subsumed under larger concepts (Oxford English Dictionary Vol. 2 A-O 1361.) The synchronic, closed implications of hypotaxis, and the more open notion of the juxtaposition of parataxis suggest that we may add these terms to our columns of terms:

A	B
scientific realism	constructive empiricism
science	system
structuralism	post-structuralism
engineer	bricoleur
language	speech
synchrony	diachrony
organic metaphors	constructed metaphors
dualistic opposition	dialectic opposition
a signified	signifieds
total history	general history
readerly text	writerly text
hypotaxis	parataxis

I shall refer to the five forms of parataxis as parataxis 1), parataxis 2), parataxis 3), parataxis 4), and parataxis 5), respectively.

1.4.2 The Paratactic Codes

In parataxis 1), a gap is opened and is left open till the end of the piece. In the following and all subsequent sketches, dotted slurs with arrows at one or both ends below staves of music or a time line will be understood to represent paratactic cross-reference: (See Figure G)

Figure G
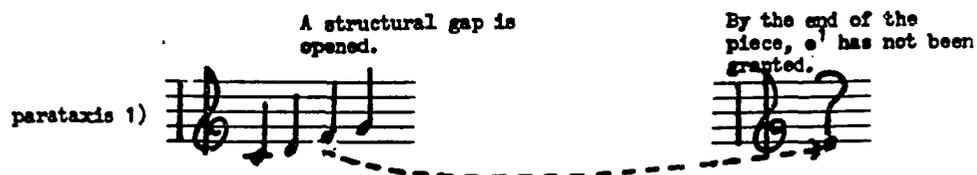
In the above and subsequent figures, I am indebted to Leonard Meyer and his notion of the structural gap. According to Meyer, "a structural gap occurs where something is felt to be left out" (104). Figure G illustrates the structural gap as a missing note in a melodic fragment.[57] The absence of a note is made clear as an accomplished fact at the end of the piece. Meyer points out that: "only when the sequence is timeless in memory can the relationship of its parts to one another and to the total series be comprehended" (177). In Beyond Schenkerism, Narmour bases his implication-realization model in part on the idea that works of art set up implications only some of which are realized.

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[57]In many of the analyses, however, a variety of musical parameters will be examined in terms of gaps--chords, keys, an aspect of texture....

Narmour's notion that aspects of works of music can be left open has provided an important intellectual basis for my definition of parataxis 1). Narmour points out that "behind the actualized events of every work, there exists a 'structure' of <u>unrealized</u> implications which contribute to the 'depth' of the piece and to the richness of our experience with it" (184). The link between the semiotic issues of section 1.1 and parataxis 1) can be seen in the following:

parataxis 1)

signifier   ~~signified~~
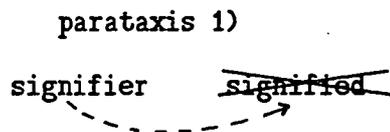
In the above, the structural gap works as a signifier pointing to a signified which is denied. The denial of filling a structural gap in music is like the sign under erasure in Derrida.[58]

In parataxis 2) a structural gap is opened, then closed at some point. It can be represented by the following: (See Figure H)

Figure H

A structural gap is opened.

E is granted.

parataxis 2)

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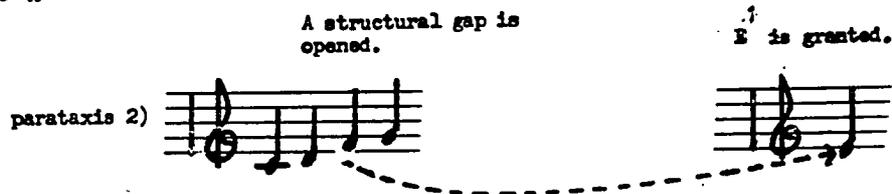
[58]See section 1.1.3 above for Spivak's account of this concept in Derrida's work.

Among the forms of cross-reference upon which the subsequent analyses are based, parataxis 2) conforms most clearly to Meyer's theories. Meyer asserts that the mind expects patterns to continue once set up. He states that affect is achieved when the pattern is broken: "Affect or emotion felt is aroused when an expectation--a tendency to respond-- activated by the musical stimulus, is temporarily inhibited or permanently blocked" (31). The completion of the pattern is essential for Meyer: "for to the human mind...states of doubt and confusion are abhorrent; and, when confronted with them, the mind attempts to resolve them into clarity and certainty" (15-16). Parataxis 1) implicitly calls into question the necessary closure upon which Meyer's work is based.[59] While Figure H shows the binary nature of parataxis 2), Chopin often delays the filling of the gap for as long as possible. A structural gap is opened; the music approaches the gap, retreats, fills it later in the piece. Since such a process pervades the Preludes, I designate it the "drama of deferral"; it will be discussed at length the first time it becomes appropriate in analytical discussions.[60] The binary nature of parataxis 2) can be represented semiotically as follows:

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[59]For another view in support of Meyer, the reader is referred to Edward T. Cone's Musical Form and Musical Performance, especially 38 and 58.

[60]The drama of deferral works like Barthes' hermeneutic code: "under the hermeneutic code, we list the various (formal) terms by which an enigma can be distinguished, suggested, formulated, held in suspense, and finally disclosed" (Barthes, S/Z 19).

parataxis 2)

signifier   signified
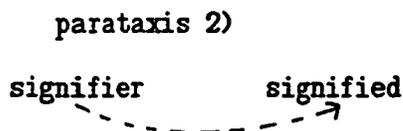
In both parataxis 1) and 2), the notion of a structural gap depends upon context. For example, given the pentatonic scale, there is no structural gap in the illustration above; given the diatonic scale of C Major, there is a missing E-natural[1]; given a chromatic context, there are more gaps than realized pitches and intervals between them.

In parataxis 3) there is an unexpected expansion, modification, change in significance, of an element which had been presented earlier. It can be represented by the following: (See Figure I)

Figure I

parataxis 3)

A pattern is established which does not imply expansion.

The pattern is unexpectedly expanded.

In Figure I, the composer gives a pattern which seems to imply no need for completion later in the piece. The way the C-natural[1] / D-natural[1] / E-natural[1] idea is expanded to C-natural[1] / D-natural[1] / E-natural[1] / F-natural[1] represents hearing back to the C-natural[1] / D-natural[1] / E-natural[1] as having been, contrary to what we had heard, an

incomplete pattern. The articulation of parataxis 3) is always a surprise; in Figure I, it occurs with the F-natural[1] to the far right. According to Meyer: "Surprise is most intense where no special expectation is active, where, because there has been no inhibition of a tendency, continuity is expected" (31). In Figure I, it is understood that other parameters must either support (as with a tonic harmony), or at least not interfere with the idea that the C-natural[1] / D-natural[1] / E-natural[1] fragment to the left is heard as stable. The difference between parataxis 2) and parataxis 3) has to do with expectation. In the former we are clearly aware of a structural gap being opened, then filled; in the latter we are simultaneously aware of the gap having existed in the past, and its being filled at the moment. Parataxis 3) is thus like an epiphany, in which a repressed potential suddenly becomes clear. Semiotically it can be represented by the following:

parataxis 3)

signified   signifier
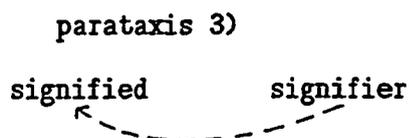
In the above illustrations of parataxis 3), there is an extension of a pattern which had been presented as stable. In the subsequent analyses, the sense of parataxis 3) will be extended to include an unexpected change in the significance of an event, as well.

Parataxis 4) refers to cross-referential quoting of musical material and can be represented by the following: (See Figure J)

Figure J

A note is marked for momory
through the relationship
between expression mark and
dynamics.

The note is cross-referenc
through a recurrence of
the relationship between
expression and dynamics.

parataxis 4)

PP

ff

It must be stressed that parataxis 4) differs from conventional repetition in that clear marking for memory is what makes cross-reference possible. In Figure J, the accent mark associated with E-natural[1] in a pianissimo context marks the event for memory. In the subsequent analyses, a variety of musical elements will be considered events marked for cross-reference, such as chords, keys, texture.[61] Parataxis 4) can be represented semiotically as follows:

parataxis 4)

a) signifier   signified

b) signified   signifier

---
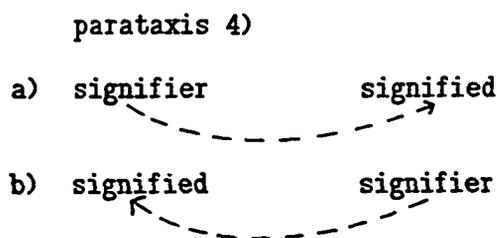
[61]In terms of my notion of the cross-reference of musical events outside the strictly linear time of music, I acknowledge an intellectual debt to Patrick McCreless who discusses the cross-reference of pitch-classes and keys in "Schenker and Chromatic Tonicization: A Reappraisal". McCreless' notion of Wagner's use of associative tonality in Siegfried also influenced the model under discussion here. See Siegfried (88-104).

The semiotic representation of parataxis 4) is split for the following reasons. When one hears the accented E-natural[1] to the <u>right</u> of Figure J, it sounds like a signified to which the accented E-natural[1] to the <u>left</u> of the figure had pointed as a signifier, as in a), above. Immediately after we perceive the signification represented by a), however, we hear the signification represented by b), in which the accented E-natural[1] to the right of Figure J sounds like a signifier which points back to the accented E-natural[1] to the left of the figure as a signified. Thus, parataxis 4) involves an oscillation between two marked musical events which signify each other:

parataxis 4)

signifier/signified   signifier/signified
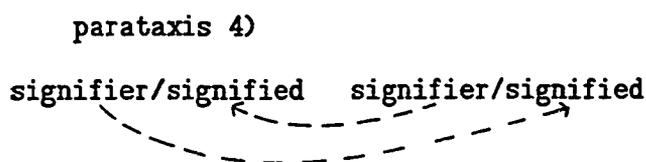
Parataxis 5) involves parataxis 2) followed by parataxis 1); it can be represented by the following: (See Figure K)

Figure K

A structural gap
is opened,   then filled,   then opened; a cross-
                                   ref. of the gaps results.

parataxis 5)

Semiotically, it can be represented by the following:

parataxis 5)

signifier   signified   ~~signified~~
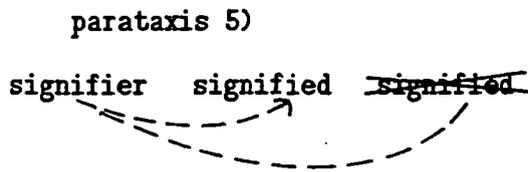
1.4.3 Parataxis and Literary-Critical Research

The term parataxis was introduced into literary criticism by
Theodor Adorno. In his article "Parataxis", Adorno discusses a
tendency in Friedrich Hölderlin's late poetry for images and syntax to
begin to break apart. We had shown above that the word parataxis
means juxtaposition of words or sentences with no linear connection.
Adorno adopts the grammatical definition of the word to larger syntactic
and semantic issues. In his article "On the Value of Narrativity in the
Representation of Reality", Hayden White discusses the parataxis of
entries in a medieval journal, as opposed to the hypotaxis of a historical
account. Here parataxis refers to the juxtaposition of one entry with
another in a journal the purpose of which is only to record that on a
certain day a certain event happened. In Santner's <u>Friedrich Hölderlin,
Narrative Vigilance, and the Poetic Imagination</u>, Adorno's ideas are
expanded into a theory of how paratactic and hypotactic elements merge
in Hölderlin's late poetry. In terms of the application of parataxis to
music in the subsequent analyses of this study, I propose that elements
marked for memory and cross-referenced with one another seem

juxtaposed on a level above the linear time of music.[62]

1.4.4 Parataxis, Structuralism, and Post-Structuralism

We have pointed out above that hypotaxis can be associated with the terms from column A of our pairs of terms traced throughout this study; parataxis has been associated with terms from column B. The remarks below will show that paratactic cross-reference stresses, but is not confined to, the terms from column B. What links the paratactic codes to semiotics has been described above for each code. Each cross-reference can now be understood as a musical sign. The essentially binary nature of the relation between signifier and signified upon which parataxis depends locates the cross-referential codes within the structural tradition (or column A). In terms of the difference between dualism and dialectic the reader is reminded of Jameson's distinction that binary opposition involves two present elements, while dialectical opposition involves a present and an absent element (119-120). Parataxis 2), 3), and 4) can thus be understood in terms of binary opposition (a member of column A):

---

[62]In a recent article, David Lewin develops a model for analysis based on: 1) phenomenological theory, 2) artificial intelligence, 3) recent musical-theoretical writings, and 4) musical interpretation. It is evident that Lewin has re-worked much of his "Morgengruss" paper in the present piece. Lewin's model for musical perception is based upon perceptual concerns similar to those explored in the five forms of parataxis here. Lewin discusses, for instance, the relationship between / among perceptions in terms which suggest parataxis 1) "denial", parataxis 2) "realization", parataxis 3) "sequential expansion", and parataxis 4) "direct correlation". Lewin focuses on a theory of musical perception which resembles a string command. See "Music Theory, Phenomenology, and Modes of Perception".

parataxis 2)   signifier   signified

parataxis 3)   signified   signifier

parataxis 4)   signifier   signified

signified   signifier
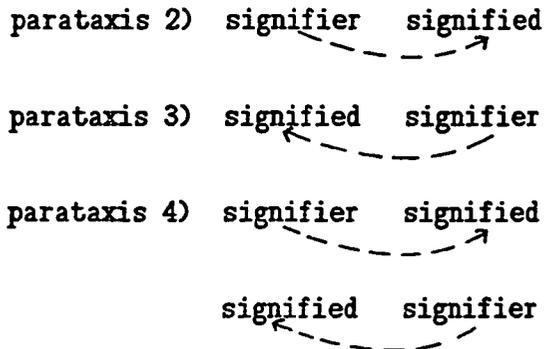
In their opposition of signifier and <u>denied</u> signified, parataxis 1)

and 5) can be understood as dialectical:

parataxis 1)   signifier   ~~signified~~

parataxis 5)   signifier   signified
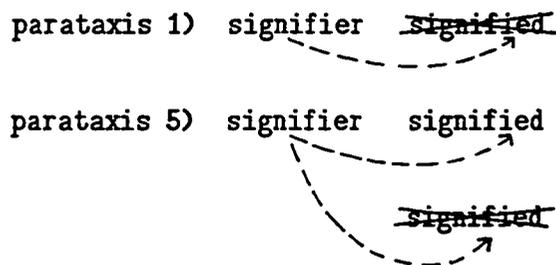
~~signified~~

To the extent, however, that there is the possibility of a signifier

pointing to a denied signified, parataxis 2) can also be understood as

dialectical. While a structural theory of signs is essentially synchronic,

the following analyses will explore diachronic issues in cross-reference, as

well.[63]

All the musical-theoretical codes work as a system, the empirical

adequacy of which will be demonstrated in subsequent analyses. The

---

[63]The concluding remarks in Chapter #5 will explore how the diachrony of terms from column B have been affected by the analytical material of Chapters #2, #3, and #4 of this study.

analyses will begin by listening for a gestural downbeat, following David Lewin's example:

> Let us begin with the impression.... And let us ask: what specific features of the piece create such an impression? In this way, we can test the general impression against description of concrete aspects of the work. We can then check the description to see how accurate and valid they really are, and also what they highlight. Our impressions might be revised or qualified accordingly. (Lewin, "Morgengruss" 4)

While I do not wish to over-burden the reader in terms of taking over subjective suppositions, I shall emphasize the first person singular in the following analyses for two reasons: 1) to maintain vigilance in terms of the aural source of analytic detail, and 2) to draw attention to the open-ended, the non-prescriptive, the persuasive in the analyses. From the gestural downbeat, I move to issues of harmony and phrasing, to aspects of Schenkerian voice-leading, to cross-referential details. While the precise ordering of the deployment of these tools remains flexible, it is hoped that the gradual shift from general comment to specific detail using various methods will put into as sharp a relief as possible the contours of the individual piece.

And now to the music at hand. Chapter #2 will begin with a brief survey of musicological issues concerning the composition of Chopin's Preludes Op. 28, followed by analyses.

Chapter 2

Chopin's Prelude #1 in C Major

2.1 Sources for the Preludes

A great deal of confusion pervades the musicological literature concerning the dates of the composition of the Preludes.[64] Toncitch, for example, gives the following as the dates of the composition of the Preludes:

1829	C-sharp minor	#10
	G-minor	#22
	A-minor	#2
1830	G-sharp minor	#12
1831	G major	#3
	F-sharp minor	#8
	D-minor	#24
1836	A major	#7
1837	A-flat major	#17
1838	F minor	#18
	C minor	#20
	E minor	#4
	D major	#5

---

[64]For a thorough discussion of Chopin's sources the reader is referred to: Jeffrey Kallberg, "The Chopin Sour_es: Variants and Versions in Later Manuscripts and Printed Editions". Kallberg points out that one reason for this confusion is that "Chopin most frequently turned to copyists for help in preparing texts...during his middle years in Paris 1835-41" (186).

60

	B minor	#6
	B major	#1
	E major	#9
	F-sharp major	#13
	C major	#1
	B-flat major	#21
	F major	#23
1839	E-flat minor	#14
	D-flat major	#15
	B-flat minor	#16[65]

Brown, on the other hand, offers a more flexible account for the composition of the pieces. In the following list, starred items refer, in Brown's view, to definite dates of composition:

1836	A major	#7*
1837	A-flat major	#17*
	C minor	#20
fall 1835 to		
October 1838	G major	#3
	F-sharp minor	#8
	G-sharp minor	#12
	F-sharp major	#13
	D-flat major	#15
	D minor	#24
	B minor	#6
	E major	#9
	B-flat minor	#16
	E-flat major	#19
	G minor	#22
	F major	#23
	D major	#5
	B major	#11
	E-flat minor	#14
	F minor	#18
October 1838 to		
January 1839	A minor	#2*
	E minor	#4*

---

[65]Voya Toncitch, "Régards sur les préludes de Chopin" 86. The author presents no criteria, however, for the presentation of these dates.

```
C-sharp minor    #10*
B-flat major     #21*
C major          #1⁶⁶
```

Toncitch and Brown agree on only the dates of the composition of the A major Prelude #7 and the Prelude in A-flat major #17. What is known, however, is that Chopin completed the Opus 28 set at Majorca during the winter of 1838-1839, having recently met Georges Sand. Brown fixes the date of the completion of Opus 28 at January 22, 1839 (Brown 423). Brown's date of January 22, 1839 is confirmed by the fact that Chopin wrote two letters on that date mentioning the completed Preludes--one to Fontana, the other to Pleyel (Chopin, Briefe 162-163).

The editions of Chopin's Preludes all derive from the following sources: 1) autograph fair copy: National Library, Warsaw facsimile edition published by Polish Music Publications, Cracow, 1951. 2) Fontana's copy of the autograph: Private Collection. 3) First French edition: Od. Catelin et Cie., Paris, 1839. 4) First German edition: Breitkopf and Härtel, Leipzig, 1839. 5) First English Edition: Weisel and Co., London, 1840.[67] For this study, I have consulted the Henle

---

[66]Maurice S. E. Brown, "The Chronology of Chopin's Preludes" 424.

[67]Chopin, Preludes Op. 28, ed. Thomas Higgins 57.

edition of the Preludes.[68]

Kallberg points out that in Chopin's work "imposed symmetrical tonal designs appear only twice. Best known are the Preludes Op. 28, in which major - relative minor pairs ascend by fifth until all twenty-four keys have been covered" ("The Chopin Sources" 202-203). Kobylanska, however, alludes to a possible alternative ordering principle in the following: "There is a sketch by Chopin in the R. O. Lehman collection in New York, which contains along the edge an interesting attempt to organize the Preludes Op. 28".[69]

2.2 Analyses of Chopin's Prelude #1 in C major

I shall begin these analyses taking Lewin's lead in terms of listening for an initial impression. I hear a gestural downbeat at m. 21 due to issues of range and dynamics. In terms of the former, the highest note in the piece is reached in m. 21; in terms of the latter, the climax

[68]The Preludes were first performed, according to Toncitch, by Chopin himself on April, 26, 1841 at Pleyel's salon in Paris (Toncitch 80). The reader is referred, as well, to the facsimile which is available under the following: Fryderyk Chopin, 24 Preludia, Faksymilowane Wydanie Autografow F. Chopina.

[69]The translation is mine; in German: "In den Samlungen von R. O. Lehman in New York befindet sich eine Skizze Chopins (s. VI 16, s. 258) die auf dem Rand einen interessanten Versuch zur Einteilung der Preludes Op. 28 enthält" (Chopin 60).

of the crescendo begun in m. 13 is reached.[70] In the following representation of the gestural downbeat, let each dot along the left to right diachronic time line stand for one measure of the music. The large arrow represents the gestural downbeat; the slurs show the division of the piece into sections before and after m. 21: (See Figure L)[71]

Figure L
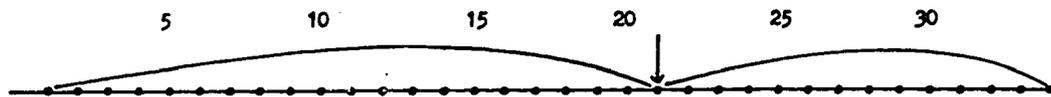
Listening more closely, I hear the long slur to the left of the arrow in the above figure broken into phrases[72] of four measures each: (See Figure M)

---

[70]Though many editions of the Preludes show a ff marking at m. 21, the Henle, and the facsimile show no dynamic marking at m. 21 at all. The crescendo does begin in m. 13, and it ends at the line between mm. 21 and 22, but no level is indicated. In the Henle and facsimile, the only dynamics are mf at the outset and p at m. 25. A copy of this Prelude attributed to Fontana curiously contains the above-mentioned crescendo through m. 23 only (Rokopisy Utworow Chopina 43).

[71]My rhythmic reduction, in which one dot equals one measure of music is used by David Lewin in his "Morgengruss" paper. See as well, Carl Schachter "Rhythm and Linear Analysis".

[72]My use of the term phrases has less to do with classical phrase structure than with hyper-metrical units.

Figure M
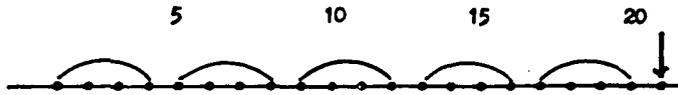
From mm. 1 to 12, the harmonic rhythm can be represented for each four measure phrase by the following, in which solid note heads represent one measure; hollow note heads represent two measures: (See Figure N)

Figure N
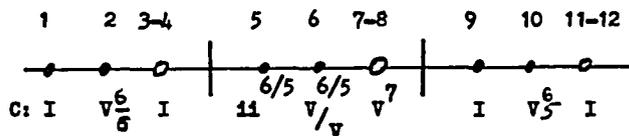
Yet a closer hearing of mm. 1-12 shows that the fourth, eighth, and twelvth measures have not simply prolonged the harmonies of mm. 3, 7, and 11, respectively. Thus I hear less: (See Figure O)

Figure O
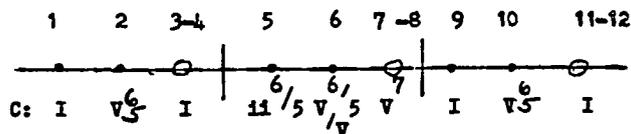
than: (See Figure P)
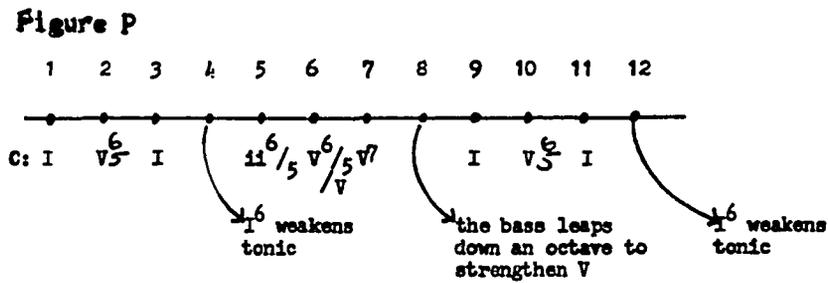
Figure P

Despite a steady forward motion in the bass from mm. 1-21, the harmonic importance of fourth measures of four-measure groupings suggested by the figure above becomes stronger with the approach of the gestural downbeat of m. 21: (See Figure Q)

Figure Q
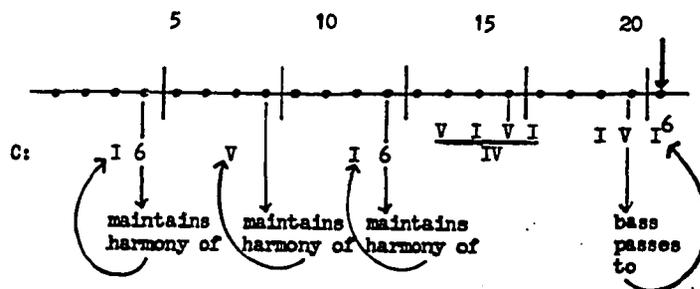
Thus far, harmony and phrasing verify m. 21 as gestural downbeat--for reasons of dynamics and register mentioned at the outset of these analyses, and now for reasons linked to the growing importance of fourth measures activating the harmony of four-measure phrases. After m. 21, mm. 21-24 continue the four-measure phrase structure, and

the eight measures of tonic pedal of mm. 25-32 suggest that on a large scale the piece involves an eight-measure phrase followed by two sections of twelve measures each:[73] (See Figure R)

Figure R
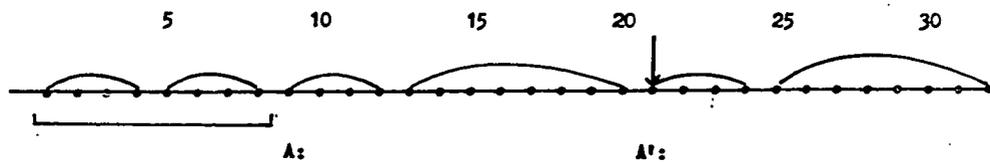
Hearing the piece in terms of two large sub-sections thus makes the gestural downbeat of m. 21 analogous to the downbeat at m. 9 which begins the A sub-section. Measures 9-12 correspond to mm. 1-4, recalling the common practice in pieces in a classical style of having the beginning of a dependent transition sound like another departure into the piece from the beginning (Green 192). The joint between mm. 8 and 9, seemingly so innocuous at the moment, will become crucial later on in the piece.

Another detail draws attention to m. 21--the chromatic ascent from m. 13 to m. 21; Chopin marks m. 13 for memory by having the beginning of the chromatic ascent break the four-measure phrase

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[73]The slur from mm. 13-20 includes the phrases mm. 13-16 and mm. 17-20 since they are linked by a chromatic ascent in the bass.

structure of the piece:[74]   (See Figure S)

Figure S
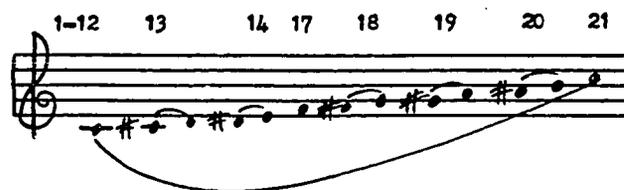
It is evident that attention is drawn to pitch-class C-natural in m. 21 for two reasons: 1) chromaticism vanishes from the piece after m. 22, and 2) th⸗ ⸗ is neither a C-sharp nor D-natural in m. 22. Thus the following elements reinforce the importance of m. 21 with which these remarks had begun: 1) the growing importance of fourth measures in the phrase structure from mm. 1-20, 2) the ascending chromatic ascent to C-natural in m. 21, 3) a formal division of the piece into an A and A' section drawing attention to an analogy between mm. 9 and 21.

In terms of Schenker, however, there is neither the arrival of a final descent in an upper voice in m. 21, nor root position consonant support for the tonic harmony. Rather, the C major of m. 25 sounds like the closing of the fundamental structure, with the head tone C-natural[2] projected into mm. 25-34. I shall now listen to the piece

_____

[74]The pitches shown in Figure S are doubled an octave higher; the register represented was chosen since the presence / absence of C-natural[2] is more important for the piece than the C-natural[3] of m. 21.

again, from the point of view of Schenker. Measures 1-8 involve an interruption in which E-natural^2 and D-natural^2 in mm. 5-7 answer the G-natural^1 / A-natural^1 motive of mm. 1-3 and mimic the stepwise descent of the fundamental line an octave lower.

I hear the E-natural$_1$ / G-natural$_1$ in the bass from mm. 4-7 being expanded into mm. 9-21. Thus the eight measures of dramatic ascent to m. 21 can now be heard in terms of the organic expansion of a detail from mm. 4-7: the E-natural$_1$ / G-natural$_1$ of mm. 4-7 is expanded from a third to a tenth in mm. 12-24:[75] (See Figure T)

Figure T

The G-natural$_1$ / A-natural$_1$ in the bass of mm. 16-17, represented by the unbeamed G-natural$_1$ / A-natural$_1$ in Figure T in parentheses is an augmented echo of the insistent G-natural^1 / A-natural^1 motive in the right hand at the outset of the piece. This insistent motive ascends, diatonically, to the C-natural^2 of m. 4--an idea which the above-mentioned chromatic ascent expands. The G-natural^1 / A-natural^1 idea

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[75]Berry comments on this motivic expansion as well. See Berry "Metric and Rhythmic Articulation in Music" 19.

of mm. 1-3 adds an element of tension to the phrase structure of mm.

9-21 in terms of the G-natural$_1$ / A-natural$_1$ / G-natural$_1$ / A-natural$_1$

motion in the bass in mm. 14-17. Measure 13 sounds like a

disconnected measure between two four-measure groupings, with m. 17

sounding both like the fourth measure, and first measure of a group:

(See Figure U)

Figure U

To return to the Schenkerian issues, m. 21 is clearly subservient to

m. 25 on a middleground level; the former completes the expansion of

E-natural$_1$ from m. 12, to e-natural m. 21 before beginning the final

descent of the fundamental line. Thus, mm. 12-25 expand and complete

what was begun and broken-off in mm. 1-8 in a typically Schenkerian

way: the $\hat{3}$-$\hat{2}$ of the fundamental line in mm. 1-8 is brought down in

mm. 24-25, and a detail in the bass in mm. 1-8 (the E-natural$_1$ /

G-natural$_1$ idea) is expanded in mm. 12-25: (See Figure V)

Figure V

In terms of both harmony and voice leading, the piece unfolds between

mm. 1-25, is resolved and concluded by the $\hat{1}$ on the first beat of m.

25, followed by the Coda.[76] Allen Forte points out that: "...the primary

tone is not so clearly established at the outset; in fact, it occurs directly

over a root-position tonic only at the very final chord, presumably after

the fundamental line has already run its course" (Forte 192-193).

We have examined the importance of m. 21 as the gestural

downbeat of the piece from the point of view of motivic expansion,

dynamics, register, and chromatic ascent. Another detail, suggested by

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[76]In his study, Leichtentritt hears a two-measure Coda. See 126.

Forte, adds weight to m. 21. Forte points out that a 7-6 pattern is introduced in m. 5 (Forte 191-192). At m. 5, the 7-6 idea is supported by a supertonic harmony; at m. 15, the 7-6 is supported by a subdominant. At its next appearance (m. 21), there is tonic support for the first time so that the E-natural^2 / D-natural^2 of m. 5, and the G-natural^2 / F-natural^2 of m. 15 are answered by the D-natural^3 / C-natural^3 of m. 21. I also hear the D-natural^3 / C-natural^3 m. 21 bring down the E-natural^2 / D-natural^2 of m. 5 in an upper register. It is still, however, possible to hear m. 21 as simply a preliminary point of arrival leading to the more essential arrival at m. 25, thus synthesizing the gestural downbeat and Schenkerian hearings of the piece. But I shall hear further, and see what other details reinforce one hearing over another.

Despite the stepwise descent from the D-natural^3 in m. 21 in the right hand to the G-natural^2 in m. 23, I hear the leap from the e-natural in the bass of m. 21 to the F-sharp$_1$ of m. 22 as a rupture. With this idea we approach for the first time in these analyses a paratactic code.

What enables paratactic cross-reference is the marking of musical events for memory across the linear time of a piece. My concept of musical marking is in part drawn from Lerdahl and Jackendoff, who point out that: "By phenomenal accent we mean any event at the musical surface that gives emphasis or stress to a moment in the

musical flow" (Lerdahl and Jackendoff 17). Leonard Meyer also points out that "anything is accented when it is marked for consciousness in some way. Such mental marking may be the result of difference in intensity, duration, melodic structure, harmonic progression, instrumentation" (Meyer 103). What the gestural downbeat does for the whole, paratactic marking does for details of musical language.

To return to the piece at hand, the F-sharp$_1$ in m. 22 sounds more to me like a cross-reference to the F-sharp$_1$ in m. 6, than a Schenkerian registral transfer from the e-natural in m. 21. Thus I hear less: (See Figure W)

Figure W

than
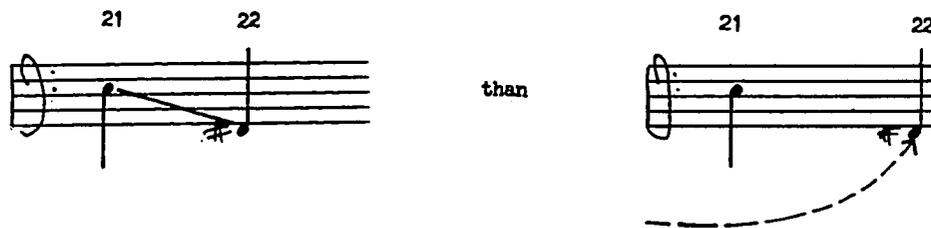
I hear the F-sharp$_1$ in m. 22 cross-referenced in parataxis 4) to the marked F-sharp$_1$ of m. 6 because: 1) the F-sharp$_1$ at m. 6 was the first altered pitch in the piece, 2) m. 22 is the only measure in which the pitch-class recurs in the bass, and it does so in the same register as the F-sharp at m. 6,[77] and 3) m. 22 is marked since the chromatic ascent

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[77]Another way of saying this would be to point out that pitch-class and pitch connect measures 6 and 22 in the bass.

stops in m. 21. Before continuing, a further discussion of parataxis 4)--cross-reference of musical events, is in order, particularly in terms of the theories of Edward T. Cone.

Edward T. Cone has discussed the music of Schubert in terms of cross-reference as follows: "One type of long-range commitment is what I have dubbed the 'promissory note', a specifically harmonic device involving aborted and delayed resolution" ("Schubert's Unfinished Business" 223).

Cone offers an extended description of how such a promissory note works in Beethoven's Eighth Symphony:

> ...in the finale of the Eighth Symphony, there is the famous C# that obtrudes into the statement of the opening theme. Harmonically, of course, this interruption is amply explained during the course of the movement, notably by the half step motion toward and away from the keys of the second subject-- Ab in the exposition, Db in the first recapitulation. But these progressions do not justify the explosive orchestration that characterizes the C# on each appearance. That is a rhetorical gesture, and it is at last rhetorically developed in the second recapitulation, when the C#, ever more insistent, takes over to introduce a climactic version of the theme in F# minor. When the F# resolves to F/-natural/, by implication completing the far-flung cycle Ab-G-Db-C of the second subject entries--then harmonic form, rhetoric, and drama reinforce one another in a typically Beethovenian way. ("Schubert's Unfinished Business" 223)

I shall discuss Lewis Lockwood's influence upon my interpretation of parataxis 4) later in these analyses.

Another listening to the piece suggests, though, that it is not just the F-sharp which refers back; the two G-naturals and C-natural refer back as well: (See Figure X)

Figure X
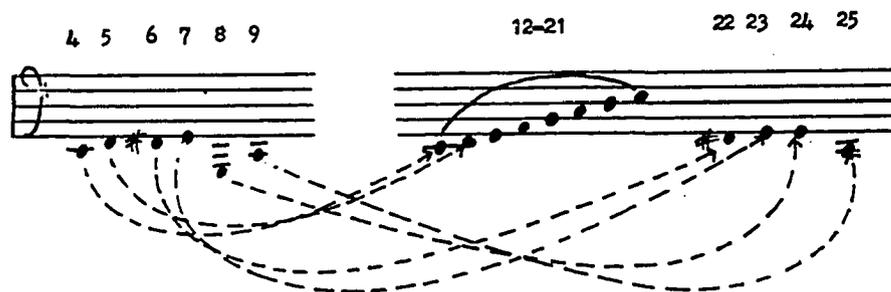
We can now hear the E-natural$_1$ of m. 4 expanded to the above
mentioned octave of mm. 12-21. And the parataxis 4) is expanded to
make the cross-reference between pitch-classes F-sharp, G-natural, and
C-natural between mm. 6-9, and mm. 22-25 clear: (See Figure Y)[78]

Figure Y

_____
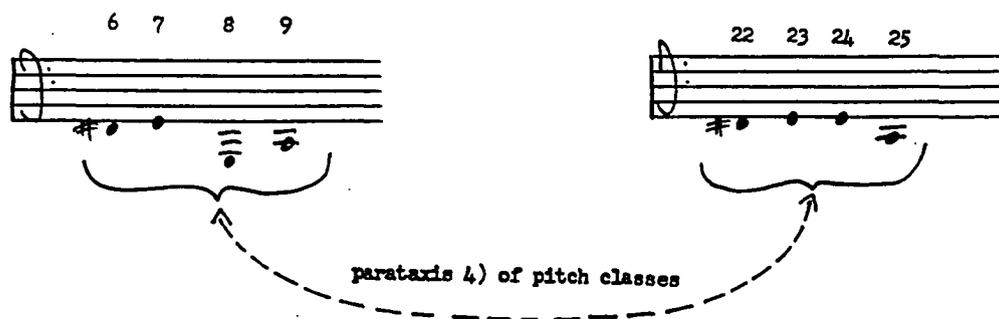
[78]I exclude e-natural from Figure B2 since the cross-reference is first marked by
F-sharp$_1$, not E-natural.

The above figure and the paratactic cross-reference which it illustrates mesh with Schenkerian considerations: measure 8 breaks off the descent of the fundamental line, while mm. 22-25 complete its descent.

But a more careful hearing of the final cadence in m. 25 (drawing back from the Schenkerian terminology for a moment) produces in my ear, first of all, the sense of missing the G-natural$_2$ of m. 8, in m. 24. And listening to the parataxis 4) sketched above now in terms of pitches and not pitch-classes, I hear not: (See Figure Z)

Figure Z
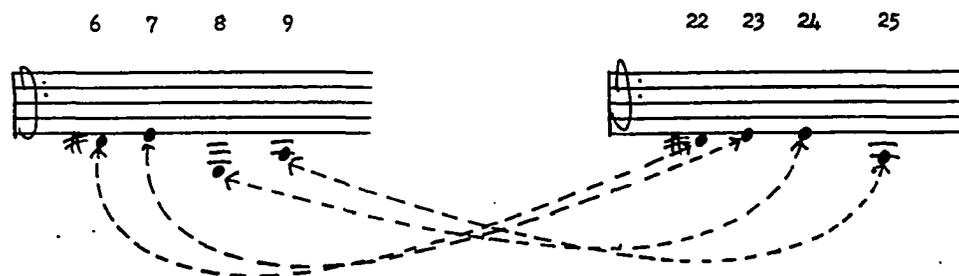
but: (See Figure A2)

Figure A2
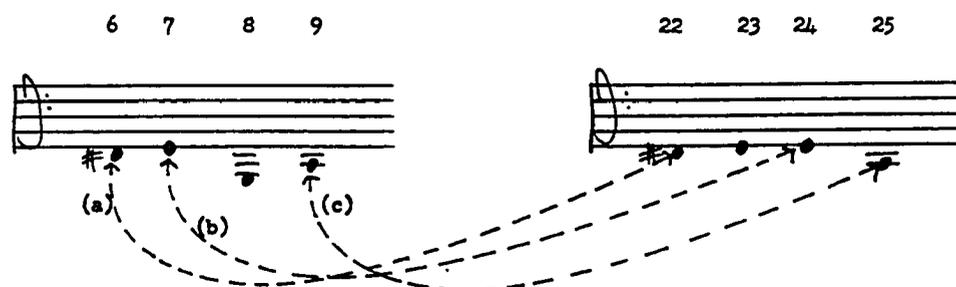
The parataxis 4) is more subtle than I had at first heard: arrow a) suggests the above-mentioned cross-reference between the F-sharp$_1$ in m. 6 and the F-sharp$_1$ of m. 22, which stands, so far, as valid. Arrow b) contradicts our association of m. 7 with m. 23. It is rather that the entire measure 24 is a cross-reference to the entire measure 7. And with only slight rhythmic alterations, m. 25 is a cross-reference to m. 9. With slight alterations and the pedal, mm. 26 and 28 refer back to m. 7; m. 27 refers back to m. 9. Arranging these instances of parataxis 4) together, we get the figure below, in which the numbers above represent the measures in the piece, that is, the music from mm. 24-28; the numbers in quotation marks represent the earlier measures which the measures between mm. 24-28 refer back to, in parataxis 4): (See Figure B2)

Figure 82

24 25 26 27 28

$$\text{---}\bullet\text{---}\bullet\text{---}\bullet\text{---}\bullet\text{---}$$

"7" "9" "7" "9" "7"

Thus the sense of the missing G-natural$_2$ in m. 24 has profound implications; it is not just that G-natural$_2$ is missing; the entire m. 8 is missing, as quoted cross-reference between the quoted mm. 7 and 9. If we heard a gap between the e-natural in the bass of m. 21 and the F-sharp$_1$ of m. 22, we hear a gap of an entire measure between mm. 24 and 25, and mm. 26 and 27. Thus measures 26 and 27 sound like an attempt to recapture a quoted m. 8, which is unsuccessful--a process which m. 28 begins but breaks off.

To summarize the points thus far, we have a gestural downbeat at m. 21 in terms of registral highpoint, reinforced by the pitch-class C-natural arrived at through chromatic ascent. We have the closing-off of this ascent, and a shift in register from the bass from m. 21 to 22 marking the F-sharp$_1$ of m. 22 to create parataxis 4) between mm. 22 and 6, and, modified by further hearing, to include a series of cross-references of quoted measure 7 and 9s from mm. 24-28. Before proceeding, I shall explore earlier parts of the piece for issues related to the above points.

Re-hearing mm. 1-8 reveals that m. 8 had been important, as well,

for another reason.[79] Not only do we hear the E-natural[2] / D-natural[2] of mm. 5-7 as a mimicking of the fundamental line in an interruption, but there is a missing C-natural[2] melodically in m. 8 which produces a structural gap. Thus, considering the upper voice in the right hand from mm. 1-11, instead of: (See Figure C2)

Figure C2

we got: (See Figure D2)[80]

Figure D2

In terms of a missing C-natural[2], we have structural gaps both at

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[79]Cooper and Meyer point out that the melody of mm. 1-8 ascends from the G-natural[1] of m. 1 due to a metrical conflict of levels: "one of the things which give this Prelude its agitated, unstable character is precisely that a temporal organization which is naturally end-accented has been forced to become beginning-accented" (36-37).

[80]I am indebted to Narmour's notion of the shadowgraph in this and subsequent sketches of an implied pattern, for example, of notes, chords, durations, underneath the surface of music. See 184.

m. 8, and between mm. 24-25 and mm. 26-27. I hear these two gaps working as follows. When we first heard m. 8, this missing C-natural^2 represented only a subtle paratactic gap, and comes as only a mild surprise. Thus we have a hypothetical melodic line which is both implied by mm. 7-8 in the right hand, and denied. In Figure E2 the question marks can be read as symbols for an expected, but absent note:[81]

Figure E2

When I hear m. 24 as a cross-reference to m. 7, I hear the structural gap widened between mm. 24 and 25: (See Figure F2)

Figure F2

becomes

I should point out that the quotation marks in the right half of Figure F2 work as follows: the quotation marks around the numbers 7

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[81]In this case the expectation is hightened since we did hear C-natural^2 in m. 4.

and 9 refer to parataxis 4)--cross-reference, while those in m. 8 refer to a missing m. 8.

I shall now relate Meyer's structural gap, parataxis 1), and aspects of Schenker to the issues at hand. What Meyer and Schenker share is the sense that gaps will be filled in pieces of great music--Meyer, explicitly, Schenker, implicitly. For Meyer, broken patterns result in gaps which the human psyche needs to have filled. For Schenker, particularly the breaking-off of the descent of the fundamental line and bass arpeggiation at an interruption, must lead to a completed descent to $\hat{1}$ and bass arpeggiation of I-V-I. My discussion approaches gaps from the point of view that some gaps may be left open in a piece, resulting in parataxis 1), while others are filled, resulting in parataxis 2).

We have pointed out that C-natural^2 is missing in mm. 7-8. We then expect, need, and will get the C-natural^2 at some point from Meyer's point of view; we will get it as the goal of a descent from the headtone E-natural^2 from a Schenkerian point of view; we may get C-natural^2 in terms of the paratactic possibilities, if the structural gap is filled resulting in parataxis 2). Or the missing C-natural^2 may remain missing, in which case parataxis 1) will result at the close of the piece.

Let us now consider the issue of the missing quoted measure 8 between mm. 24-25 and 26-27. As suggested above, the head tone E-natural^2 descends to $\hat{1}$ in m. 25. And yet I hear the $\hat{1}$ of m. 25 as undermined in two non-Schenkerian ways: 1) the G-natural$_2$ of m. 8 is

missing in the definition of tonic at m. 25, and 2) while one can hear a descent of the fundamental line in mm. 24-25 as E-natural^2 / D-natural^2 / C-natural^2, the widened structural gap between the D-natural^2 in m. 24 and the G-natural^1 in m. 25, weakens m. 25 through the absence of C-natural^2.

The pattern which mm. 24 and 25 set up, and mm. 26 and 27 continue, of a quoted m. 7 followed by a quoted m. 9 is broken-off as m. 28--another quoted 7 is not followed by m. 29 as quoted 9 . Chopin gives us not a quoted measure 8, but, instead, the note which m. 8 itself had left out--C-natural^2. Thus the structural gap is filled in Meyer's terms, and the structural gap yields to parataxis 2). The filling of the gap is done in m. 29 with explicit reference to the E-natural^2 / D-natural^2 mimic tones of mm. 1-8:   (See Figure G2)

Figure G2
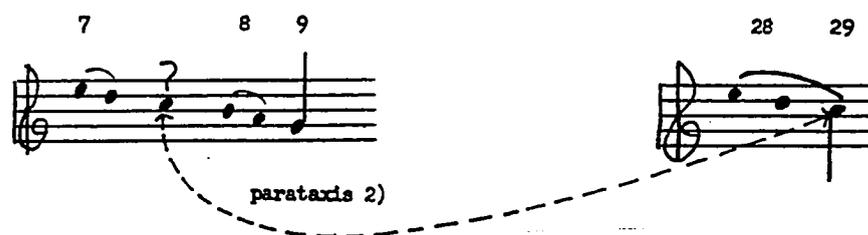
In general, the granting of C-natural^2 in m. 29 creates parataxis 2) in terms of the filling of the structural gap opened at m. 8. More specifically, I designate as "the drama of deferral" the filling of a gap

after a series of approaches and denials. In the following, let each note head represent one measure of music to show the drama of deferral: (See Figure H2)

Figure H2
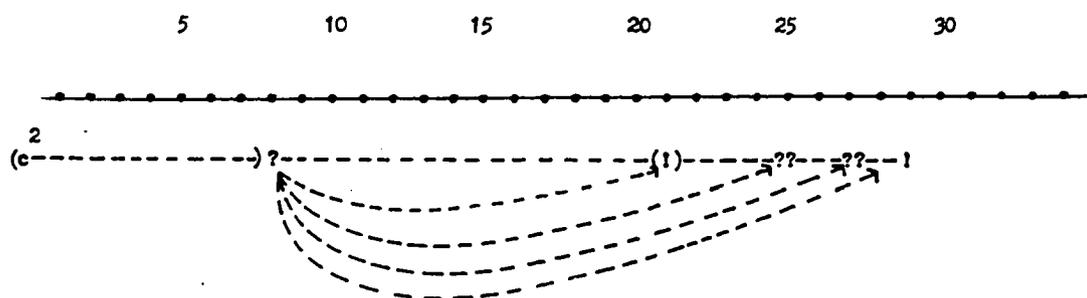
In general, the question marks refer to C-natural^{2}s implied but denied; exclamation points refer to granted C-natural^{2}s. Specifically, the single question mark refers to the structural gap opened at m. 8; the exclamation point in parentheses refers to the C-natural^2 in m. 21. The double question marks refer to the widened structural gap between the D-natural^2 and G-natural^1 of mm. 24-25 and 26-27; the exclamation point refers to the granted C-natural^2 arrived at through diatonic descent from the E-natural^2 / D-natural^2 of m. 28. Now it is clear why the C-natural^2 in m. 21 did not sound like the filling of the gap opened in m. 8: we needed (in Meyer's sense) not a chromatic ascent in an inner voice, but a diatonic descent in the top voice. The C-natural^2

and the hyphens through m. 8 show that the issue of C-natural[2] is not yet explicit in the piece. The rest of the hyphens show the linear, diachronic nature of the drama of deferral; the dotted slurs show synchronic, cross-referential features.

It could be argued that by m. 29 the issue of the missing quoted m. 8 is moot, since Chopin has provided what m. 8 had denied. Yet I hear as an example of parataxis 1) in this piece, the missing G-natural$_2$ of m. 8 not returning by the end of the piece: (See Figure I2)

Figure I2

structural gap opened—tonic
harmony of m. 25 not defined
by low G$_1$
24

low G$_1$ denied by
the end of the
piece
34

parataxis 1)
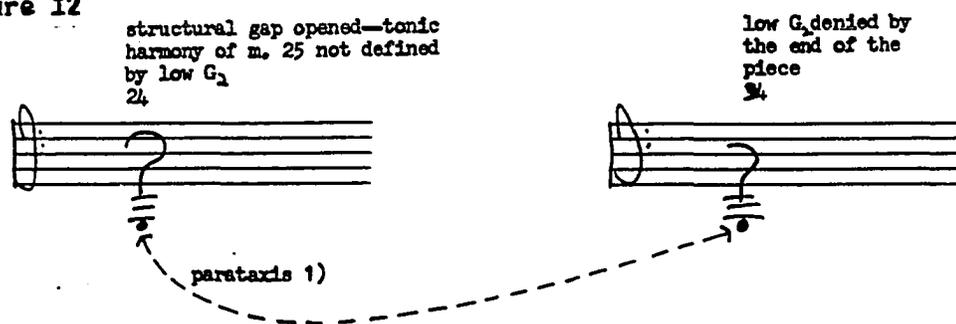
Continuing the argument from m. 29, I hear the fourth articulation of C-natural[2] in m. 32 rounding-off the piece in an unexpected way. As mentioned at the beginning of this chapter, the fourth measure of a four-measure phrase had often been crucial for the undermining or strengthening either a preceding or following harmony leading to the gestural downbeat of m. 21. We have examined the harmony of mm. 1-20 accordingly, but now let us look at the right hand of mm. 1-8. I hear three repeated large beats--one per measure--followed by a fourth which points ahead: (See Figure J2)

Figure J2
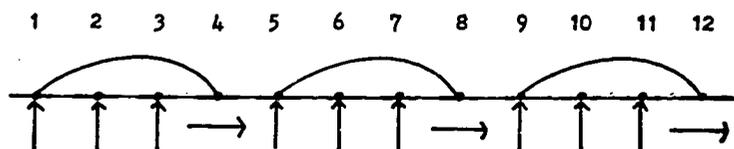
I hear the four C-natural^{2}s of mm. 29-32 re-interpret the above-mentioned pattern as something unstable, which mm. 2S-32 resolve: (See Figure K2)

Figure K2
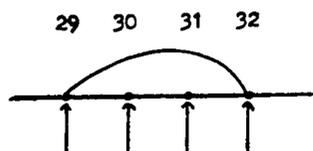
This represents parataxis 3); with the C-natural^2 in m. 32 we must hear back through the piece and re-interpret what we had heard as stable, as having been unstable. The clarity with which m. 32 gives us a fourth large beat, forces us to hear back through the piece and hear those large fourth beats being stilled by the C-natural^2 of m. 32. What the Coda as a whole (mm. 25-34) does for the harmony of the piece, the static four large beats of C-natural^{2}s in mm. 29-32 do for the organization of four large beats in the phrase structure.

This instance of parataxis 3) can be represented by the following in which each dot represents <u>four</u> measures of the music along the left to right time line of the piece. The single question marks refer to how we hear back at m. 32 to mm. 1-4, 5-8, 9-12 as having given us a pattern which will be completed by mm. 29-32: (See Figure L2)

Figure L2
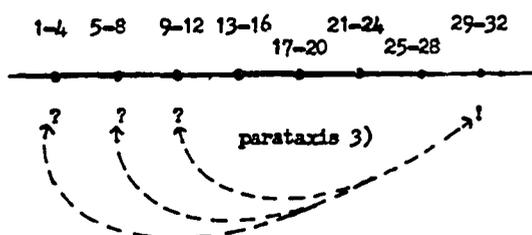
A closer hearing of this parataxis 3) reveals a connection between the phrase structure and the structural gap of the missing C-natural^2. It is thus less a question of how mm. 29-32 refer back to mm. 1-4, 5-8, 9-12, than how <u>m. 32</u> refers back to the <u>fourth</u> measures of each group (that is--mm. 4, 8, and 12).[82]

In the facsimile edition of the <u>Preludes</u>, a detail suggests that the C-natural^2 of m. 32 was important for Chopin. In the figure below,

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[82]Berry points to the importance of mm. 4 and 8 in terms of the "parenthetical" function of mm. 1-3 and mm. 5-7. Berry's language is implicitly cross-referential here in terms of mm. 1 and 4 operating on different temporal levels than the parenthetical measures which separate them ("Metric and Rhythmic Articulation in Music" 20).

Chopin notated m. 31 with a repeat sign, as if to say m. 31 = m. 30.

Chopin had no reason not to add another repeat sign for m. 32, as if to

say m. 30 = m. 31 = m. 32. Instead, Chopin writes out the right hand

part to bring out the emergence of C-natural^2 in m. 32: (Preludes

facsimile 1) (See Figure M2)

Figure M2

Chopin, Prelude #1, mm. 29-34.

It is the way in which an event forces us to hear back that

differentiates parataxis 2) from parataxis 3). With parataxis 2), we hear

a gap which is filled: the missing C-natural^2 in m. 8 is a structural

gap which then leads to parataxis 2) with the C-natural^2 of m. 29.

Thus the emphasis in parataxis 2) is on left-to-right temporal motion, or

the direction of the music itself. With parataxis 3), however, we are

given no reason to suspect that a pattern will be re-interpreted later in

the piece, and the moment of this re-interpretation involves right-to-left

temporal hearing. If parataxis 2) is diachronic, parataxis 3) is, to coin a

phrase, anti-diachronic.[83]

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[83]David Lewin uses a sense of time in his "Morgengruss" study, which is somewhat
similar to the right-to-left anti-diachronic time under discussion here. He often refers
to a hearing back to an earlier event as a piece ends in terms of "after all is said and
done".

Let us then relate the points in the discussion so far. One could synthesize the various hearings discussed above in terms of the gestural downbeat of m. 21 deferring to m. 25 the harmonic closure of the piece, which in turn, is weakened by paratactic cross-reference and a widened structural gap. This gap is then filled, four measures later, by a completion of the mimic idea, and the presence of the most important missing note--C-natural^2. Despite the fact that that this synthesis does justice to the piece and the multiplicity of its elements, let us consider other aspects for further details. On the one hand, the three-ness of the C-natural^2 articulations in mm. 29-31 recalls the three-ness of the E-natural^2 / D-natural^2 motive--as if the answer mimics what had been the question. Also, an aspect of mm. 29-34 remains to be discussed, since I hear in addition to a powerful filling of a gap in m. 29, a structural gap--the f-natural of m. 28 is not resolved in its register in m. 29. In fact I hear it resolving with the e-natural of m. 33: (See Figure N2)

Figure N2

28   29   33

parataxis 2)

(from m. 8)   structural gap   parataxis 2)

Let us now consider what this added paratactic detail adds to our analyses of the piece a) from the point of view of the importance of m. 21 in terms of gestural downbeat, and harmony and phrasing, b) from the importance of m. 25 as shown by Schenker, c) from the paratactic codes which can be related to a) and b) above.

I would like to consider combining the paratactic elements of the missing C-natural[2] at m. 8 and the missing e-natural of m. 29 into a hearing of the piece in which neither m. 21 nor m. 25 is the focus. I shall refer to this paratactic structure, in which two instances of parataxis 2) overlap at m. 29 and are closed off at m. 33, as what I had, in the previous chapter designated the "drama of deferral". In the figure below, the single question marks refer to the opening of the gap; double question marks represent a widened gap; exclamation points represent the filling of a gap. The way in which question marks present

a gap, reveals the affinity between the drama of deferral, and Barthes' hermeneutic code, discussed in the previous chapter: (See Figure O2)

Figure O2
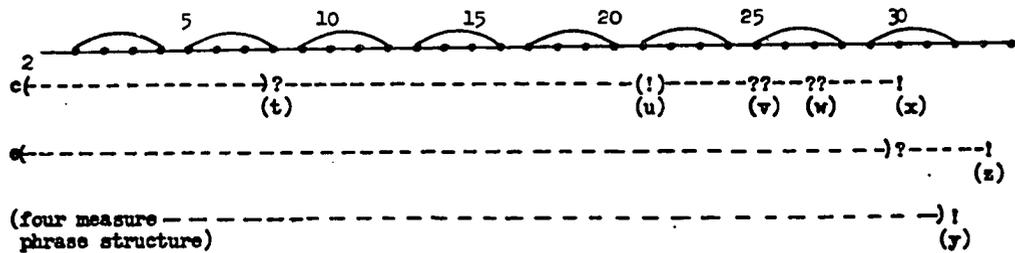
At (t), C-natural^2 is withheld producing an initial structural gap. At (u) C-natural^2 is granted after a chromatic ascent; at (v) m. 24 is associated with m. 7, and m. 25 is associated with m. 9 (parataxis 4)); the gap widens from the minor third between D-natural^2 and B-natural^1 of mm. 7-8 to the fifth between the D-natural^2 and G-natural^1 of mm. 24-25. (W) reiterates (v). At (x), the gap of the missing C-natural^2 is filled (parataxis 2)), with the simultaneous opening of another gap of a missing e-natural in the bass. At (y) parataxis 3) forces the right to left reinterpretation of the phrase structure as having been unstable; at (z), the gap opened at (x) is filled (parataxis 2)).

A brief look back at literary criticism will show how specifically
linguistics, post-structural criticism, and an instance of parataxis can
converge in a detail of Chopin's Prelude #1 in C Major--the C-natural^2
withheld in the final arpeggiation of the piece from mm. 33-34.[84]

I would like to begin by examining the drama of deferral in terms
of an explicit comparison with the relationship between the signifier and
the signified in Derrida. I shall then relate the paratactic codes to recent
music-theoretical writings, and discuss how the withheld C-natural^2
affects these analyses. I have borrowed the term deferral from Derrida's
article "Différances". Derrida, as we have seen in the previous chapter,
had re-interpreted Saussure's stable dualism of the signifier and the
signified into a non-binary process in which signifiers point toward but
never reach an ultimate signified. In the article under discussion, Derrida
articulates this basic idea in terms of his well-known, intentional mis-

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[84]A look back at Figure M2 will show that it seems that Chopin had originally
written a block C Major chord up to and including C-natural^2 in m. 33; he seems to
have scrawled it out in favor of a two measure arpeggio, and absent C-natural^2.

spelling of differances.[85] Culler interprets the substitution of "a" for "e" in différances as follows:

> Writing involves différances, which Derrida spells with an "a" to highlight the difference perceptible only within the written language and to emphasize the relation between difference and deferment. The written word is an object in its own right: different from meanings which it defers in a play of difference. (Structuralist Poetics 133)

What Derrida takes over from Saussure is the difference between the signifier and the signified; what he re-adjusts is the relation between them:

> The signified concept is never present in and of itself, in a sufficient presence that would refer only to itself. Essentially and lawfully, every concept is inscribed in a chain or in a system within which it refers to the other, to other concepts, by means of the systematic play of differences. Such a play, différances, is thus no longer simply a concept, but rather the possibility of conceptuality, of a conceptual process and system in general. ("Différances" 11)

Relating Derrida's sense of the deferral of the signified to our analyses, the exclamation points represent the signified to which the question marks were pointing as signifiers. The simultaneous filling-in of the C-natural[2] in m. 29, and the opening of the gap of the e (question mark / exclamation point) delay final signification, which the

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[85] In his article, Derrida discusses his associations with the visual marks which make up the capital A (the altered letter)--suggesting the monoliths of pyramids, which, in turn, stand for absolute meanings. In a similar way, Barthes discusses the associations of the marks S and Z in S/Z--in which the diagonal of the Z is itself a symbolic slash of castration. See Barthes S/Z, 106-107.

exclamation point at m. 33 offers. It is to this point in the analyses that we will return after an examination of the contributions of music theorists to the paratactic codes.

As a way of discussing the relationships between the paratactic codes and the ideas of Schenker, Lewin, and Lockwood, I shall use diachrony and synchrony as guides. I refer to diachrony in terms of events which occur in linear time; synchrony refers to events which occur out of linear time. We discussed these terms in the previous chapter in terms of Saussurian linguistics. While Saussure had used these terms to describe different approaches to the study of linguistics which could not overlap, I shall use the terms to refer to elements of time, each of which can dominate the other, but neither of which exists completely alone within a piece. While I shall thus consider different degrees of synchrony and diachrony in a musical event, my usage of these terms does not deny the standard definition given above. To review the paratactic codes in terms of degrees of synchrony and diachrony, let us examine the following: (See Figure P2)

Figure P2
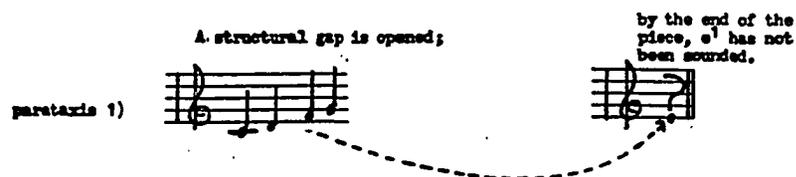
A structural gap is opened; ● sounds and fills the gap.

parataxis 2)

A pattern not implying expansion is set up; the pattern is unexpectedly expanded.

parataxis 3)

A note is marked for memory; the note is cross-referenced.

parataxis 4)

A structural gap is opened, then filled, then opened; a cross-reference of gaps results.

parataxis 5)

Parataxis 1) and 2) are both diachronic; parataxis 1) has synchronic features, when, at the end of the piece the absence of a musical event paradoxically rings in our ears. Parataxis 2) is synchronic

when a cross-reference occurs between a structural gap, and its being filled.[86] Parataxis 3) involves the right to left anti-diachronic time referred to above. A strong sense of synchrony is present in parataxis 3) with the moment of unexpected reinterpretation. Parataxis 4) is only as diachronic as necessary to separate two events in time; otherwise the effect is synchronic cross-reference. As stated earlier in this study, parataxis 5) involves parataxis 2) taken a step further. This final step, like parataxis 4), involves only enough diachronic time between the filling of a gap (see the granted E-natural[1] in the center of the figure) and its opening again (see the far right of the figure) to create a sense of distinct events. Otherwise parataxis 5) is as synchronic in its cross-reference of absence, as parataxis 4) is in its cross-reference of presence.

Despite the fact that he would be the last to entertain this thought, certain elements of Schenker's late theories have synchronic characteristics.[87] Particularly, the double slash of the background sketch of an interruption structure suggests that what is to the left of the slashes is mirrored by, and completed by what is presented to the right of the slashes. While I am not attempting to show that Schenker is a

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[86]The discussion above concerning the drama of deferral in the Prelude #1 in terms of the C-natural[2] involves such a synchronic cross-reference. In the next chapter we will see that an instance of parataxis 2) need not be synchronic—as in the cross-reference of Neapolitan harmonies in the Prelude #9 in E Major.

[87]I am indebted to Dr. Patrick McCreless for help in formulating the terms of this idea.

spiritual antecedent of Derrida or Barthes--an analogy works quite well

between Schenker and Saussure, however--I am merely showing aspects

of Schenker's theories which seem to me synchronic, and have

influenced, if only slightly, the formulation of the paratactic codes.[88]   In

addition, despite the ruthlessly diachronic nature of such Schenkerian

phenomena as unfolding, composing-out, ascent, descent, the way in

which motivic parallelism and hidden repetition suggest the re-

interpretation of a single idea outside the unfolding of basic materials,

suggests synchronic cross-reference.

David Lewin's "internal resonance" is poised between conventional

motivic expansion and synchronic cross-reference. In his "Morgengruss"

paper he points out that:

> The motivic rhythmic idea of transforming ♫ and its one
> echo into ♫ "echoing" indefinitely, is extraordinarily bold.
> The isolated plaintive questioning melodic turn is transformed
> thereby into an incessant resigned harmonic resonance. The
> notion of "internal resonance" which can be taken as strictly
> technical musical description...seems a useful metaphor to
> describe the effect. (Lewin "Morgengruss" 27-28)

Lewin's term arises out of a desire to associate music with text--a

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[88]A comparison of Schenker and Saussure would reveal striking similarities. Both lived and wrote in Europe during the late nineteenth centuries, and published their major works in the early twentieth; both were highly critical of the intellectual traditions in which they were schooled, and sought to establish a science, generative in nature, to explore their subjects--language for Saussure, tonal music for Schenker. Both showed that what had been considered unitary, was in reality, the product of abstract relations. Both are widely accepted as founding fathers of major disciplines--semiotics, for Saussure, linear analysis of tonal music for Schenker.

hermeneutic impulse similar to Cone's "promissory note". But it is in Lewis Lockwood's essay on Beethoven that we find a major musicologist developing a concept very close, indeed, to parataxis 4) discussed above. In terms of the synchronic cross-reference of musical events outside the diachronic time of a piece, Lockwood points out that:

> The category I have in mind can be characterized as "compositional strategy". By this I refer to Beethoven's deployment, as part of the design of this movement, of certain small-scale foreground units of musical structure in such a way as to shape the larger conformation of the movement using them as widely separated points of connection and association that are outside the sequential norms of exposition and recapitulation. Thus the importance of a particular musical idea may be projected over long time-spans and over the boundaries of the familiar large-scale divisions of the movement.[89]

Lockwood clarifies his ideas in the following:

> The kind of strategy operating here is of a type unlikely to be apprehended by purely motivic analysis, since what is important in the long term is not the complex derivation of one figure from another but the significant location of similar or associated events over long time-spans; and these events are more likely to consist in literal or nearly literal repetition than in subtle thematic transformations. (Lockwood 99)

We had left our analyses at the following point: the importance of m. 21 as the gestural downbeat of the piece had yielded to m. 25, less because of the closing of the fundamental structure, than in terms of the way in which the paratactic cross-references from mm. 24-26 prepare for

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[89]See Lewis Lockwood, "'Eroica' Perspectives: Strategy and Design in the First Movement" 96.

the drama of deferral. What the above discussion of diachronic and synchronic time has added to the discussion is the sense that the drama of deferral operates differently than that which had set the stage for its arrival--the closing of the fundamental structure in m. 25. In fact, a careful hearing of the piece reveals that though mm. 21 and 25 do play a role in the drama of deferral, they are not crucial measures. The reader is referred to Figure H2 in which question marks turn to exclamation points at neither mm. 21 nor 25. Let us continue to examine details of the piece.

Just as hearing the difference between pitch-class and pitch in m. 24 in the bass had altered our sense of the cross-reference between mm. 6-9 and mm. 22-25, so, too, can this distinction clarify the relation between the elements under discussion here. The missing C-natural[2] between mm. 7 and 8 is granted in m. 21 as mentioned above: (See Figure Q2)

Figure Q2
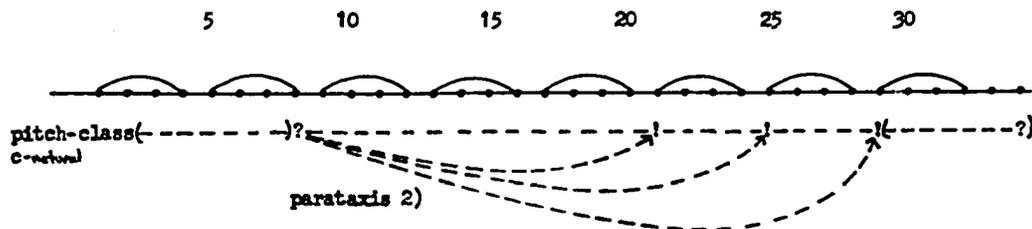
In the figure above, question marks refer to absence of expected C-

naturals; exclamation points refer to sounding C-naturals in the music. The question mark for m. 34 will be discussed below.

Hearing the piece in terms of C-natural^2 in the upper voice, we get: (See Figure R2)

Figure R2
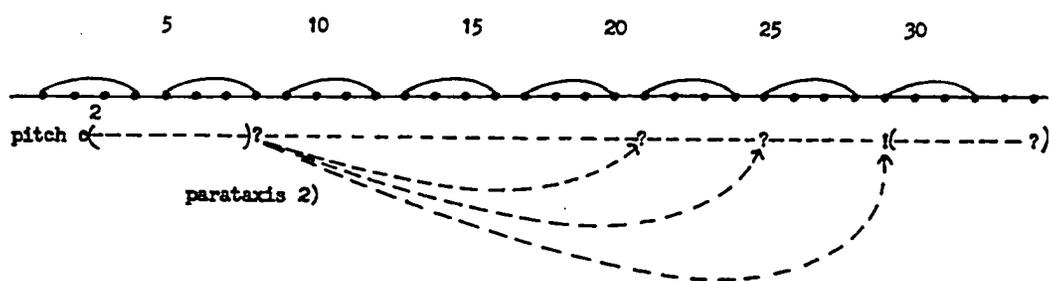
What the deferrals of the pitch-class C-natural, and the deferrals of the C-natural^2 have in common is the question mark at mm. 8 and 34. On the former we have commented at some length; on the latter, we have made only passing remarks. In a piece so dependent on C-natural^2, the halt of the arpeggio in mm. 33-34 on E-natural^1 does two things: 1) it leaves C-natural^2 not sounding, to let it ring in its absence in our ears, and 2) it ends the piece with an additional question mark--the space from E-natural^1 to C-natural^2 is left open--parataxis 1)--and the E-natural^1 both recalls the first note of the mimic motive discussed above, and the $\hat{3}$ of the fundamental line about to descend and be

undermined at m. 25.[90] Another way of hearing m. 34 is in terms of parataxis 5): the missing C-natural[2] in m. 34 refers back to the opening of the gap in m. 8. To isolate this form of parataxis from the drama of deferral, we hear less: (See Figure S2)

Figure S2
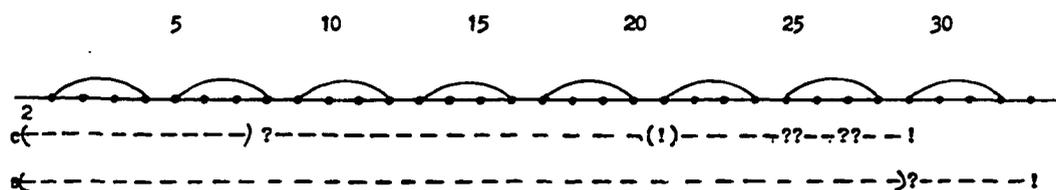
than: (See Figure T2)

---

[90]It is possible to hear the E-natural[1] at the end of the Prelude #1 as an elision to the E-natural[1] in the right hand at the beginning of the Prelude #2. For an extended discussion of such posited connections between pieces of Op. 28, see Charles Smith "On Hearing the Chopin Preludes as a Coherent Set" and for an extended discussion of Chopin's tendency to avoid closure in his late works see Jeffrey Kallberg "Chopin's Last Style".

Figure T2
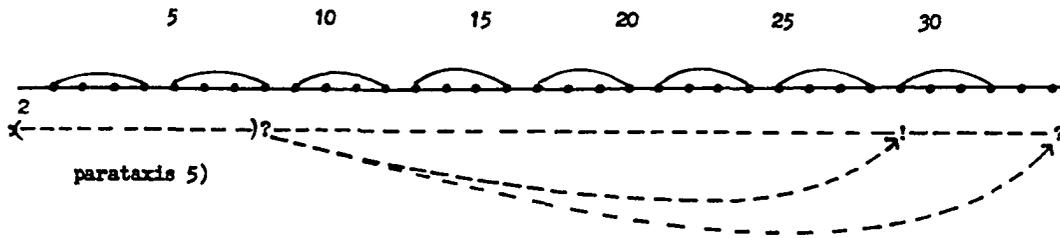
This instance of parataxis 5) informs the Prelude with an added element of open-ended deferral.

As we near the end of these analyses, the issue concerning synthesis of analytic detail arises. In S/Z, Barthes lets his codes stand in their multiplicity. David Lewin, as well, leaves the immense array of analytic detail in "Morgengruss" un-synthesized. Although I shall also avoid the necessity of a synthesis as teleological goal of this discussion, I shall compare with one another the details of the interpretations described above, in an attempt to determine whether, in the case of this piece, the different analytic tools produce ideas which repel one another, or can be heard to complement one another.[91] I hear mm. 7-8 as a starting point from which issues fan out: (See Figure U2)

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[91]A precedent for the comparison of the analytical material of various parameters can be found in Narmour's notion of the idiostructure. See 164.

Figure U2.
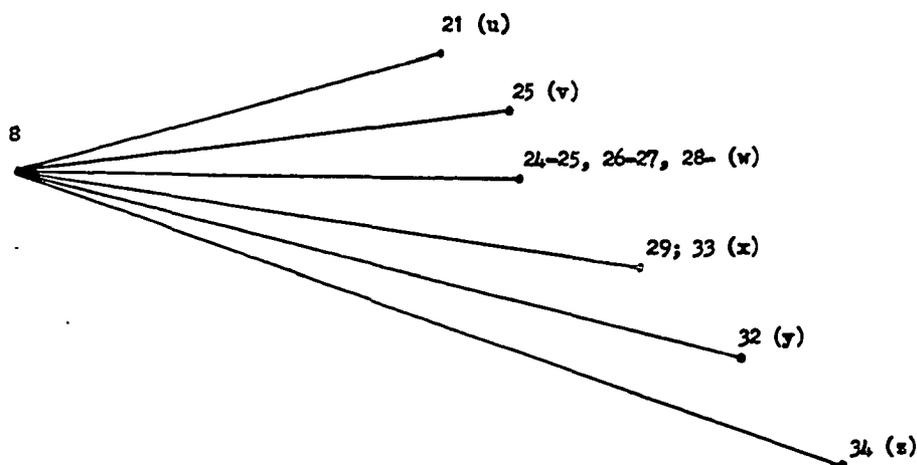
The line labeled (u) represents the registral and dynamic gestural

downbeat in addition to the C-natural^2 in an inner voice reached after a

chromatic ascent filling tentatively the gap opened at m. 8; (v) provides

the closing of the fundamental structure with tonic harmony not defined

by the G-natural$_2$ of m. 8. (W) represents the parataxis 4) of a series of

quoted m. 7 and m. 9s from mm. 24-28 highlighting the missing m. 8.

At (x), the drama of deferral in terms of the missing C-natural^2 is

ended with the C-natural^2 of m. 29 filling the gap opened at m. 8

through descending diatonic motion in the upper voice. The structural

gap of a missing e-natural is opened; it is closed in m. 33. At (y) the

C-natural^2 in m. 32 is linked to the parataxis 3) of reinterpreting the gestural quality of mm. 1-4, 5-8, and 9-12 as unstable. (Z) shows that as the piece ends we hear back to the structural gap of the missing G-natural$_2$ in m. 24 as parataxis 1). We are also denied C-natural^2 again, and parataxis 5) results with a cross-reference between the missing C-natural^2 of m. 8 and the missing C-natural^2 of m. 34.

I shall now leave the Prelude #1 in C Major, and move on to more condensed analyses of Preludes #2 in A Minor, #4 in E Minor, #6 in B Minor, #8 in F-sharp Minor, #9 in E Major, #12 in G-sharp Minor, and #19 in E-flat Major. While I shall continue to focus on individual pieces in each of the subsequent sections in order to provide as clear a sense as possible of the uniqueness of each piece, the focus will shift somewhat. The analyses shall highlight cross-referential, paratactic features, in conjunction with one other aspect of each piece. Conventional analytic remarks concerning form and harmonic analysis are kept to a minimum: 1) because it is assumed that the reader is sufficiently familiar with these pieces that such general considerations are unnecessary, and 2) to highlight what is newest, and perhaps most

controversial--the paratactic codes.[92]

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[92]While I shall no longer present the reader with examples of the drama of deferral, for two other clear examples of this kind of parataxis 2), I refer the reader to the Prelude #11 in B Major, and the Prelude #16 in B-flat Minor. In the former, we expect B-natural[1] on the downbeat of m. 21; in m. 24, B-natural[1] is present, but on the third and sixth eighth notes of the measure; the pitch is granted in m. 25. Similarly, in the latter, we expect B-flat[1] on the downbeat of m. 2; it is repeatedly approached, but granted only in m. 46 with the final chord of the piece.

Chapter 3

The Cross-Referential Codes

3.1 Harmonic Ambiguity and an Unexpected Motivic Expansion: Prelude #2 in A Minor

I would like to begin this discussion with a review of the musical-theoretical writings on this well-known <u>Prelude</u>. Among those who hear the A-minor chord at the end as having been preceded by a non-traditional, or ambiguous context, Bidou states that the Prelude "...starts in E Minor. The phrase on which it is based is heard in different keys, and it is not till the third repetition that it occurs in A Minor" (Bidou 176). Chailley provides a sketch which clearly emphasizes E Minor for most of the piece: (Chailley 33)(See Figure V2)

Figure V2

105
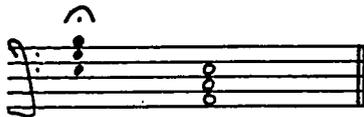
In a more recent article, Reed Hoyt points to the E Minor sonority of
the outset as a way of undermining A Minor:

> The minor V that opens the work...does not immediately
> define A Minor in any clear way. Quite the contrary: the initial
> harmonic fifth, E-B, points to E as the tonic. (Hoyt 10)

Other theorists, however, have heard a single, unified scheme. Of
these, it is Heinrich Schenker's analysis which Hoyt criticizes in the
above-cited article. Schenker hears the entire piece in A Minor with a
head tone of E-natural as $\hat{5}$.

In another analysis, Michael Rogers proposes a theory of the
pervasiveness of the Golden-Section in determining melodic proportions
(Rogers 245-250). Leichtentritt also hears the piece in terms of four
versions of a melodic segment which share a rhythmic shape of dotted-
quarter / (grace note) eighth / dotted-quarter / eighth in the middle:
(See Figure W2)

Figure W2

But it is with Leonard Meyer's notion of a simple, implied

harmonic progression underlying the piece, with which I would like to

begin these analyses. Meyer hears the piece outline the following

progression: (Meyer 95-96)(See Figure X2)

Fìgure X2

While Meyer hears G and D as harmonic areas, I hear E-Minor and B-

Minor setting up a pattern of ascending fifths, with the fifths· broken

into thirds. The E-Minor and B-Minor sonorities are more important

than the G Major sonority at m. 6, because the accompaniment in mm.

8-9 explicitly recalls the beginning of the piece. A detail of the notation

of the opening two bars will become important in terms of the

discussion of parataxis 3) below. Chopin beams E-naturals to G-

naturals, so that we hear: (Henle 12, also facsimile) (See Figure Y2)

Figure Y2

mm. 1-2 notes beamed together

mm. 1-2 notes beamed together

distinctly from

Meyer hears A Minor reached through two fifths--G to D, followed by D to A; I hear A Minor reached as a result of fifths moving upward from E-natural$_1$: (See Figure Z2)

Figure Z2

If we add measure numbers to the above sketch for harmonies which do appear, and if we add quotation marks around those that do not, we get: (See Figure A3)

Figure A3

1   6 8   23

Thus far, we are in accord with the spirit of Meyer's analysis; we have the breaking of a pattern followed by its completion (See especially

Meyer 93-97). A glance at Meyer's analysis will show that he hears the chord at m. 11 as an altered IV chord in A Minor. Similarly, I hear m. 11 marked for memory precisely because of the D-sharp in the chord. An expansion of Leichtentritt's sketch to include the elements under discussion will show how this marking takes place. I shall first add measure numbers and key areas as I hear them to the first two staves of Leichtentritt's scheme: (See Figure B3)

Figure B3

Leichtentritt's sketch shows that the melodic content of mm. 8-11 involves mm. 3-7 transposed up a fifth. We expect the harmony to move from B Minor (m. 8) to D Major on the downbeat of m. 11. While Meyer hears an altered IV in A Minor from mm. 11-15, I hear the F-natural$_1$ in the bass of m. 14 also marked for memory. We had expected a root position D Major sonority in mm. 11-12 to match the

root position G Major sonority of mm. 6-7. To review our hypothetical continuation of Chopin's progression from mm. 1-10, the following shows the harmonies present in the music, with implied harmonies in quotation marks: (See Figure C3)

Figure C3

Just as the substitution of D-sharp for D-natural in m. 11 marks the former pitch-class for memory, it is precisely the D-sharp which obscures the implied F-sharp Minor harmony of mm. 13-14.[93] And the F-natural[1] in the right hand of m. 16 is marked in terms of breaking the intervallic structure of the opening motive. Chopin has always given us a descending perfect fourth followed by an ascending minor third. With the F-natural[1] of m. 16, he breaks the pattern. In the following, numbers preceded by - signs indicate the number of descending half steps; numbers preceded by + signs indicate the number of ascending half steps: (See Figure D3)

---

[93] It is to be remembered that I refer here to harmonies implied by a continuation of the hypothetical progression only.

Figure D3

The F-natural$_1$ in the bass of m. 14 prefigures the F-natural[1] in
m. 16. The d-sharp of m. 11 and the F-natural$_1$ of m. 14 define A
Minor as follows: (See Figure E3)

Figure E3

A Minor: +6————————V
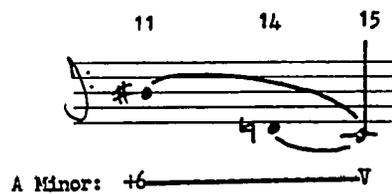
These substitutions can be related directly to Leichtentritt's sketch. The
parallel melodic structure which Leichtentritt hears in the piece can be
paraphrased by the following in which each time line refers to
Leichtentritt's melodic segments a), b), and c): (See Figure F3)

Figure F3
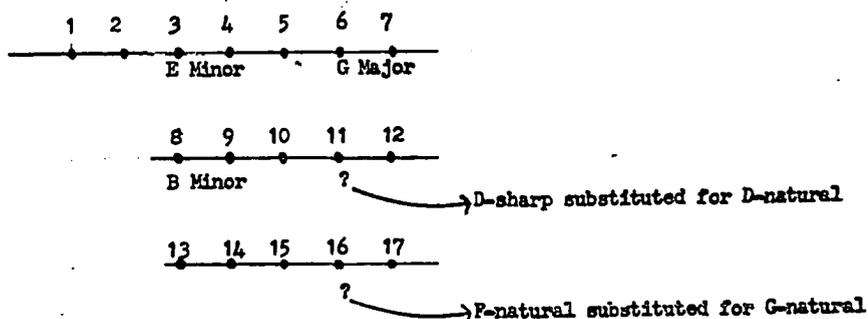
Measure 11 broke the pattern of ascending fifths (divided by thirds) with the substitution of D-sharp for D-natural. Measure 16 breaks the pattern of falling fourths followed by ascending minor thirds as shown in Figure D3.

To return to the hypothetical sketch of fifths broken by thirds, we can see that Chopin has substituted not pitch-classes, but accidentals to arrive at the A Minor sonority of the final measure. Instead of: (See Figure G3)
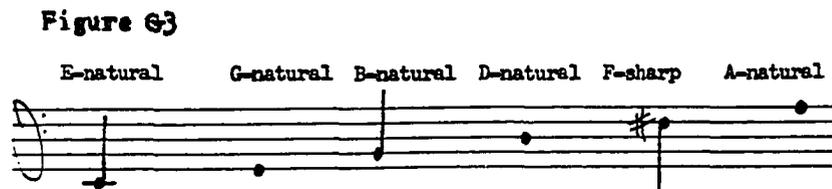
Figure G3

we get: (See Figure H3)

Figure H3

E-natural G-natural B-natural D-sharp   F-natural A-natural
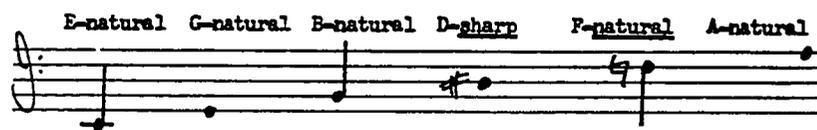
The substitution of accidentals results in: (See Figure I3)

Figure I3

becoming

In previous sections of this study, structural gaps were discussed in
terms of missing pitches in a melodic segment, as in the C-natural[2] and
e-natural in the Prelude #1 in C Major. In the Prelude #2 in A Minor,
it is possible to consider harmonic ambiguity as a structural gap. In
the present case, the gap consists of a question of significance concerning
chords such as the E Minor of mm. 1-3, and the G Major of mm. 6-7.
The Prelude can thus be understood in terms of a drama of deferral in
which definition of tonic is reached in m. 23. In the following, mm. 1-10
are enclosed within parentheses to represent the E Minor, G Major, B
Minor, to D Major progression; the double question marks refer to the

D-sharp and F-naturals which, in turn, define the dominant of A Minor

in m. 21; the exclamation point represents the A Minor chord of m. 23:

(See Figure J3)

Figure J3
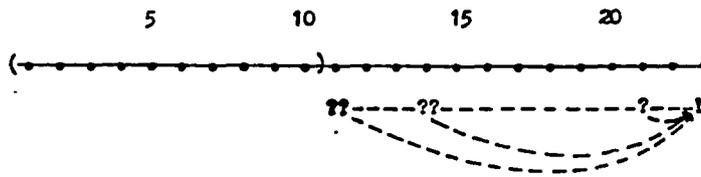
If the final cadence fills the structural gap discussed above in

terms of parataxis 2), then a detail of the cadence unexpectedly expands

a detail with which the piece has been saturated as well, in parataxis

3). The music has involved two textures; about the melody in the right

hand we have already spoken. The accompaniment consists of an

oscillating motion of eighth notes in groups of four. Meyer has pointed

out that: "durational differences tend to result in 'end-accented

rhythms'"; patterns of undifferentiated pulse tend to result in beginning-

accented rhythms (107). Thus, for Meyer, a pattern of repeated notes

will tend to be heard as trochaic, as in the following: (See Figure K3)

Figure K3
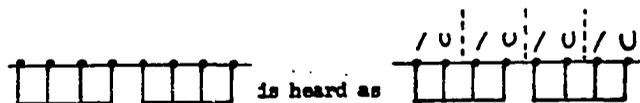
Measures 21 and 22 comment on this ostinato by presenting an augmented version of it as shown in the following: (See Figure L3)

Figure L3

What the longer durations of the chords in mm. 22 and 23 add to the piece, however, is a large-scale reversal of the trochaic ostinato into an iambic cadence. Meyer has pointed out that if a pattern of unequal pitches is heard, that the ear will hear iambs and not trochees (107): (See Figure M3)

Figure M3

The last two chords of m. 21, as well as both chords in m. 22, sound

like trochees. But iambs emerge as the cadence reaches m. 23, so that I

hear not: (See Figure N3)

Figure N3

This version of parataxis 3) in which the trochaic ostinato is heard

with the final cadence as having been reversed can be represented by

the following, in which the question mark shows the trochaic ostinato

throughout; the exclamation point in parentheses stands for the emerging

iambic meter from the fourth beat of m. 21 to the downbeat of m. 22;

the exclamation point represents the iambic close on A Minor: (See

Figure O3)

Figure Q3

parataxis 3)
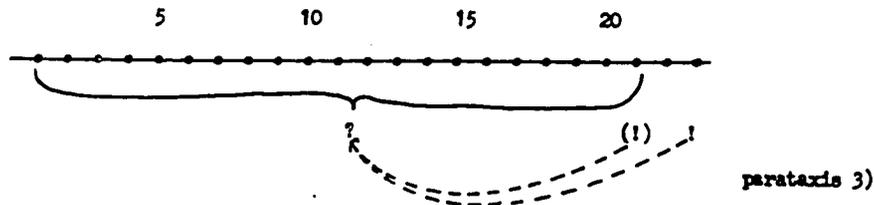
But the cadence comments on the pitch structure of the accompaniment as well, resulting in a cross-reference of pitch intervals. In the following, + signs refer to the number of half steps in an ascending interval; - signs refer to the number of descending half steps. It will be remembered that Chopin connected the E-natural$_1$s and g-naturals of mm. 1-2 in the bass so that the: (See Figure P3)

Figure P3

idea stands out quite clearly. The opening pattern is thus - 1 + 1 - 4. In the following, each dot along the time line stands for half a measure (the time required for each version of the - 1 + 1 - 4 interval structure to be completed); each x stands for the - 1 + 1 - 4 idea: (See Figure Q3)

Figure Q3
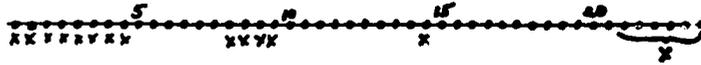
The x in parentheses refers to a - 1 + 1 - 4 pattern embedded in the final cadence and will be discussed below: (See Figure R3)

Figure R3

becomes

This parataxis 4) can be represented by the following in which exclamation points represent - 1 + 1 - 4 patterns: (See Figure S3)

Figure S3

parataxis 4)
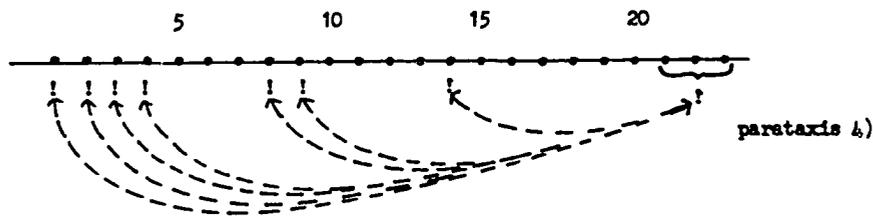
While the pattern occasionally becomes - 1 + 1 - 3, the - 1 + 1 - 2 version is more important, as will be shown below. In the following, the y's stand for the instances of - 1 + 1 - 2 in the piece, with each dot representing half a measure: (See Figure T3)

Figure T3

The y in parentheses represents the embedded - 1 + 1 - 2 in the final cadence. Or: (See Figure U3)

Figure U3

becomes

The convergence of the - 1 + 1 - 2 and the - 1 + 1 - 4 idea in mm. 21-22 can be illustrated by the following: (See Figure V3)

Figure V3

The final cadence thus provides: 1) a convergence of the - 1 + 1 - 4 and - 1 + 1 - 2 ideas, 2) tonal definition of A Minor, and 3) an iambic reversal of the trochaic ostinato with which the piece has been

pervaded. Thus the convergence of interval patterns, harmony, and meter give the Prelude in A Minor a unique sense of closure.

3.2 Register and Cross-Reference: Prelude #4 in E Minor

In the following remarks, I shall focus on the significance of m. 17 with particular emphasis upon the relationship between register and structural gaps. Since Lewin has shown that a valid pluralistic analysis can begin with the simplest of initial impressions, I shall begin with the idea of a gestural downbeat at m. 17. In the following figure, the representation of highpoint resembles the representation of the gestural downbeat in the above analyses of the Prelude #1 in C Major. Let the horizontal line represent the left to right real time of the music, with each dot standing for one measure of the piece; the vertical arrow represents the climactic gesture: (See Figure W3)

Figure W3

To show how events before m. 17 prefigure the climactic gesture of m. 17, however, the following details must be added: 1) a smaller gestural downbeat at m. 12, and 2) the sense of m. 16 as suddenly leading to a climactic gesture. In the following, the smaller, dotted arrow represents the smaller gestural downbeat, and the small arrow beneath the time

line shows the prefiguring in m. 16 of the larger gestural downbeat at

m. 17: (See Figure X3)

Figure X3
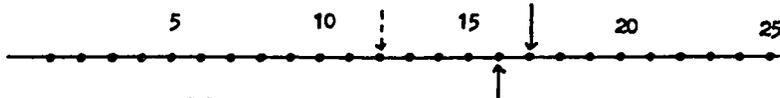
What m. 12 and m. 17 share is the articulation of a V^7 chord of the

tonic E Minor. The harmonies move, in case of mm. 1-12 and mm.

13-17, from a i^6 to V^7 chord through a well-known series of sonorities

which resist individual functional analysis. Leichtentritt points out how

mm. 13-17 re-articulate the harmonic motion of mm. 1-12 in abbreviated

form (Leichtentritt 134). In the following, the parentheses enclosing

hyphens represent the harmonies which are more a product of linear

chromatic descent than the signpost tonic and dominant harmonies

which frame mm. 1-12 and 13-17: (See Figure Y3)

Figure Y3
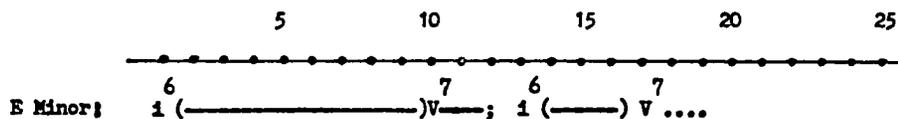
The semicolon in the above example separates two versions of first

inversion tonic to dominant motion which consists, in both cases, of a

chromatic descent in the bass from g-natural to B-natural: (See Figure Z3)

Figure Z3

In the representation of the descending bass from mm. 13-17 above, I hear a structural gap—a missing d-sharp and d-natural: (See Figure A4)

Figure A4

It is the opening of the above-mentioned structural gap which accounts, in part, for a sense of prefiguring the larger gestural downbeat of m. 17 represented by the arrow below the time line in Figure X3. In terms of pitch-class, the gap is filled in the right hand of mm. 17-18. In the following, the structural gap in the bass is shown in quotation marks, and the parataxis 2) which results in terms of pitch-classes filling the gap in the next two measures: (See Figure B4)

Figure B4

parataxis 2)

But I hear the structural gap in m. 16 drawing attention to another aspect of the music--the decoration of the pitch-class B-natural by its upper neighbor. Thus, in addition to hearing the parataxis 2) above, one can hear: (See Figure C4)

Figure C4

involving: (See Figure D4)

Figure D4

followed by

What the slur connecting the c-sharp, c-natural, and B-natural$_1$ makes explicit is the C-natural / B-natural idea which has permeated the piece. C-natural^2 is the upper neighbor to scale degree $\hat{5}$ from mm. 1 to 4; C-natural^1 is a passing tone to b-natural in an inner voice from mm. 5 to 9; from mm. 9 to 12 c-natural is an upper neighbor to B-natural$_1$. Thus mm. 1-12 can be heard in terms of the C-natural / B-natural idea (C-natural = auxiliary note; B-natural = main note) projected in four measure phrases in three registers: (See Figure E4)

Figure E4

The larger gestural downbeat of m. 17 extends the projection of the C-natural / B-natural idea one octave in each direction: (See Figure F4)

Figure P4

The above figure shows how striking m. 17 sounds in terms of the C-natural / B-natural idea being extended upward for the first time in the piece at m. 17, after a gradual descent which mirrors, on a broad scale, the gradually descending chromatic chords of the accompaniment throughout. Measure 17 opens a new kind of structural gap—an incomplete neighbor figure. The B-natural$_2$ in the bass of m. 17 is the first B-natural in the piece not preceded or followed by a C-natural in its register (aside from the first note of the piece). Similarly, the C-natural[3] in m. 17 is not resolved in its register. The following represents the new form of structural gap, in which the missing notes are given in question marks: (See Figure G4)

Figure G4

The C-natural / B-natural idea continues to the end of the piece, with the submediant in m. 21 presenting the most powerful embellishment of dominant harmony in the piece. What had been a note embellishing a note, becomes chord embellishing chord: (See Figure H4)

Figure H4

The fermatas in m. 23 only temporarily delay what the piece had been permeated by: C-natural as upper neighbor to B-natural. The fermata over the lower staff draws attention to, and strengthens, the slur in the following diagram. It is as strong in its silence in defining the upper neighbor to B-natural$_1$, as had been the submediant harmony of m. 21: (See Figure I4)

Figure I4

in mm. 21-22 and

in mm. 23-24
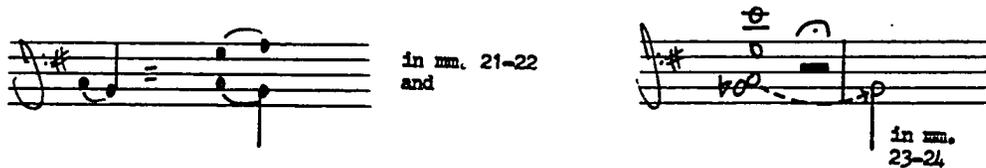
But if the fermata strengthens the C-natural / B-natural idea, then a gap is opened as well, with the unresolved bass note of m. 23--B-flat$_1$. Not only does B-flat$_1$ not resolve down to A-natural$_1$ in m. 23, as if the chord were a $V^4/_2$ of bII, but B-flat$_1$ opens up a new space; the bass had always descended chromatically from g-natural to B-natural$_1$. The structural gap created by the missing A-natural$_1$ (as a question mark in the following), results in parataxis 1) when, with the final cadence we realize that the gap will be left open: (See Figure J4)

Figure J4

Both gaps of incomplete neighbor notes in m. 17 become parataxis 1) at the end as well: (See Figure K4)

Figure K4

In dotted slur a), the structural gap of the missing B-natural[3] becomes parataxis 1) with neither C-natural[3] nor B-natural[3] sounded by the end of the piece. In dotted slur b) we hear either parataxis 4) or parataxis 1). We have seen how the return of a pitch-class in a particular register marked the F-sharp$_1$ of m. 6 in the Prelude #1 in C Major for

memory, creating parataxis 4) with the cross-reference to the F-sharp$_1$ of

m. 22. Similarly, the B-natural$_2$ of m. 17 is cross-referenced to the

B-natural$_2$ of m. 24 in the Prelude at hand. In the following, the

exclamation points refer to cross-referenced B-natural$_2$s: (See Figure L4)

Figure L4
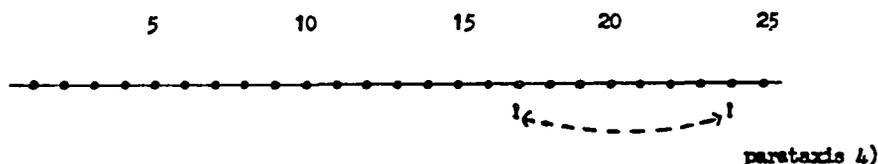
parataxis 4)

Or, to the extent that we hear a cross-reference of missing C-natural[3]s

between mm. 17 and 24, we hear parataxis 1). In the following, the

question marks refer to missing C-natural[3]s: (See Figure M4)

Figure M4 :

parataxis 1)
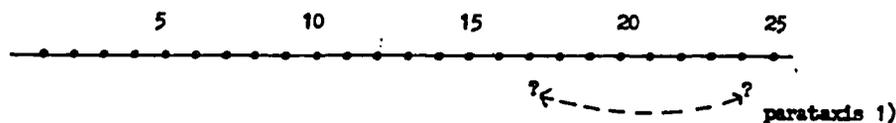
We have spoken of the unresolved B-flat$_1$ in the bass of m. 23.

But as we hear the note become A-sharp$_1$ with the resolution of the

chord re-interpreted as a German augmented sixth chord to the

B-natural$_1$ of m. 24, another issue becomes clear in the piece--the dual

role of pitch-class 10 as B-flat and A-sharp. B-flat[1] in m. 4 is marked

for memory by being the first altered pitch in the top voice; we can

now hear why m. 16 in yet another way prefigures the larger gestural downbeat at m. 17. Not only is there a structural gap in the bass of m. 16, but on the one hand, the A-sharp[1] in m. 16 moves to the a-sharp in the left hand and sounds like b-flat passing downward to a-natural. On the other hand, the same A-sharp[1] resolves to B-natural[1] in m. 17. It is the way in which a descending B-flat is re-interpreted as an A-sharp which resolves in its register to a B-natural which creates a large-scale parataxis 4) between mm. 16-17, and mm. 23-24. In the following, the large notes in the staff to the left represent the B-natural[1] to B-flat[1] (becoming A-sharp[1]) which resolves to B-natural[1] after intervening pitches; the staff to the right shows how economically Chopin quotes himself; the resolution of the A-sharp[1] of m. 16 in the top voice to the B-natural[1] of m. 17 reaches across the climactic gestures of m. 17, while the resolution of the A-sharp$_1$ in m. 23 reaches across the silence of the fermata: (See Figure N4)

Figure N4
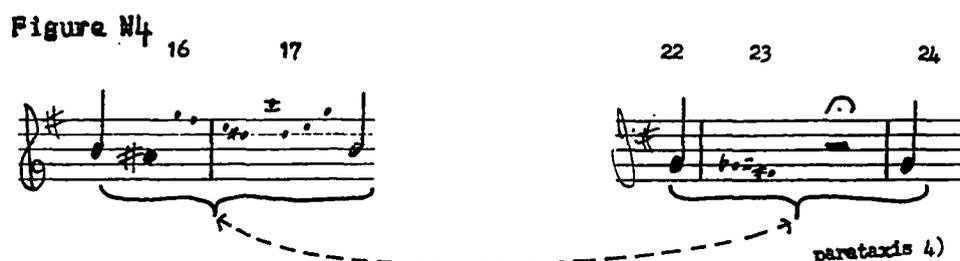
In another sense, however, the A-sharp[1] of m. 16 belongs to a more complicated process of exchange of pitch-classes in m. 16. In the

following, the pitch-classes of the second beat of m. 16 are re-arranged in the third beat to give the effect not of A-sharp[1] resolving up to a delayed B-natural[1] of m. 17, but down to a-natural in the fourth beat in the left hand: (See Figure O4)

Figure O4

There are two implications of the figure above. First, if the c-sharp and c-natural in the bass in m. 16 come from an inner voice, then we hear the bass hold on e-natural throughout m. 16 leading to an even larger structural gap than we had heard before: (See Figure P4)

Figure P4

This modification of the structural gap of the missing d-sharp and d-

natural in m. 16 does not alter the essence of the above remarks; the power of the gestural downbeat of m. 17 seems, if anything, even stronger.

Second, Chopin links what we have heard as a right hand melodic idea (the B-flat / A-sharp idea) to what we have heard as a left hand, accompanimental, idea. We have seen how the B-flat[1] in m. 4 descends to A-natural[1], and how the A-sharp[1] of m. 16 is transferred to another voice in m. 16 to resolve to a-natural. Parataxis 3) results when the a-natural of the fourth beat of m. 16 becomes in m. 17 the seventh of the dominant harmony of the piece, which resolves to g-natural; the first inversion tonic harmony of the last three chords of m. 17 are a clear cross-reference to mm. 1 and 13: (See Figure Q4)

Figure Q4

The parataxis 3) results from the 1) unexpected expansion of the descending B-natural / B-flat / A-natural idea, and 2) the unexpected application of a right hand idea to the accompaniment.

Just as we had seen how the C-natural / B-natural idea descends through three octaves from mm. 1-12, so, too, pitch-class 10 as A-sharp moves through three registers before resolving to the B-natural$_1$ of m. 24: (See Figure R4)

Figure R4
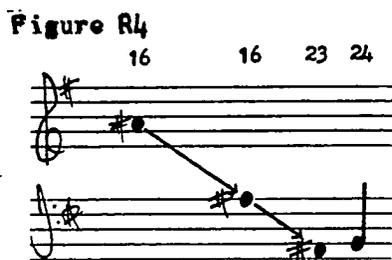
The addition of two voices to the cadential formula of mm. 24-25 draws attention to another feature of the work--B-naturals supported by dominant harmony not moving up a fourth or down a fifth to E-naturals. The first of these structural gaps is opened in m. 12: (See Figure S4)

Figure S4

E Minor: V
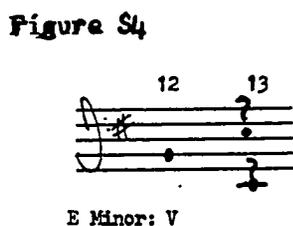
The gap is extended in m. 17 in what by now is a familiar process in this piece of associating gaps with register: (See Figure T4)

Figure T4

E Minor: V

Chopin thickens the texture of the cadence in order to grant us all three of the missing E-naturals. The parataxis 2) which results is a registral drama of deferral. It can be illustrated by the following, in which the single question mark stands for the missing e-natural and E-natural$_1$ of mm. 12-13; the double question marks refer to the missing e-natural, E-natural$_1$, and E-natural$_2$ of m. 17; the exclamation point refers to the granti..g of all three E-naturals on the final chord of the piece. As with the representation of the drama of deferral in the Prelude #1 in C Major, the hyphens show diachronic features; dotted slurs show synchronic, cross-referential features: (See Figure U4)

Figure U4

parataxis 2)
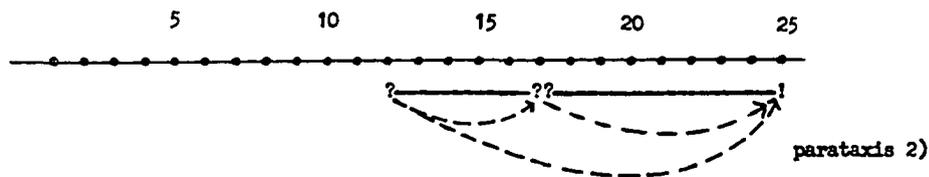
3.3 A-natural[1] and a Structural Gap: Prelude #6 in B Minor

The initial impression with which I would like to begin the following remarks involves the A-natural[1] in m. 22.[94] This pitch is marked in three ways: 1) it is the only A-natural in the right hand (the only A-natural in the left hand is the accented passing tone in mm. 17 and 21), 2) it is the only accented pitch in the right hand after measure 1[95], 3) the A-natural[1] is the only seventh in the piece which does not resolve down by step. I shall consider the implications of each of these markings in the order in which they have been presented above.[96]

What the natural sign in m. 22 adds to the piece is the sudden breaking open of what had been the large-scale projection of a double neighbor decorating B-natural[1]. From mm. 9-22, I hear the following: (See Figure V4)

---

[94]For an excellent discussion of the relationship between/among motivic details, and Schenkerian considerations, the reader is referred to Charles Burkhart, "The Polyphonic Melodic Line of Chopin's B-Minor Prelude".

[95]The facsimile shows that accent marks pervaded the piece, but that Chopin scratched out all, except those on the first, third, and fifth eighth notes of the opening measure, and over the A-natural[1] in m. 22.

[96]Meyer points out that marked musical phenomena have a greater effect later (as here) than earlier in a piece: "A deviant which might have only a slight effect at the beginning of a series, where expectation entertains a greater number of alternatives of approximately equal probability, may have a powerful effect toward the end of the series where expectation is more particular and where the probability of expectation is liable to be greater" (50).

Figure V4

9–11 12–14   15–22

With A-natural[1], Chopin unexpectedly opens the closed double neighbor figure. This instance of parataxis 3) involves a single gesture of undermining a large-scale projection of a motivic detail. In the following, the dot to the left represents the closed double neighbor motion around B-natural[1] in the right hand from m. 9 to the first two beats of m. 22; the exclamation point stands for the sense of completion which results from the departure from, and return to, B-natural[1]. The question mark stands for the opening of the figure through the A-natural[1] in m. 22 resulting in parataxis 3): (See Figure W4)

Figure W4

The double neighbor
of mm. 9-22:

The opening of the
double neighbor:

parataxis 3)
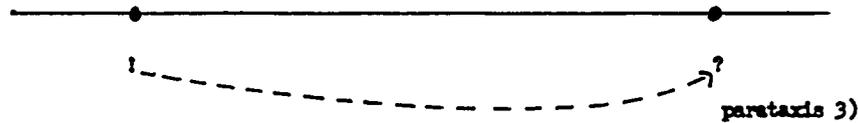
The above-mentioned breaking open of the double-neighbor motion
is implied <u>before</u> the sounding of the A-natural[1] of m. 22 by an
increasing insistence on the A-sharp[1] from m. 14 to the first two beats
of m. 22. While Chopin gives us <u>one upper</u> neighbor to B-natural[1], we
hear <u>six lower</u> neighbors before the A-natural[1] of m. 22 breaks off the
idea: (See Figure X4)

Figure X4

1-11 12-14 14 15 15-16 16 16-17 17-18 18-19 19 19-20 20 20-21 21 22
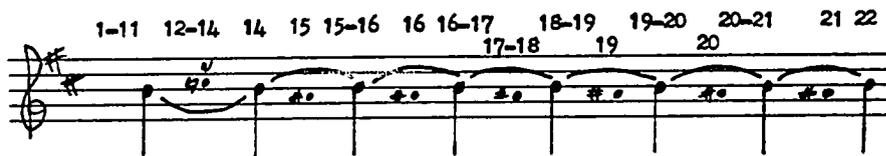
The second aspect of the A-natural[1] being marked involves the
way in which Chopin associates the end of the piece (the accented

A-natural[1] of m. 22), with the beginning (the accent marks Chopin did not scratch out over the first, third, and fifth B-natural[1] of m. 1). After the tonic closure of m. 22, Chopin repeats in the bass of mm. 23-24 the bass of mm. 1-2. Thus Chopin introduces the repeat of this segment with a feature which had characterized its initial appearance--an accent mark. This example of parataxis 4) can be represented by the following in which the exclamation point under m. 1 stands for the association of accent mark with the opening arpeggiation figure in the bass; the exclamation point under m. 23 stands for cross-reference of this association later in the piece: (See Figure Y4)

Figure Y4

parataxis 4)

The cross-reference between the bass of mm. 23-24 and mm. 1-2 involves a difference which informs the piece with another instance of parataxis 3). I hear the octave B-natural$_1$ to b-natural with which the arpeggiation in m. 23 begins unexpectedly make us hear back through the piece and reinterpret the thirds and fifths with which arpeggiation figures had begun, as having needed to expand to the octave of m. 23. In the following, question marks refer to thirds at the outset of

arpeggiation figures, exclamation points in parentheses to fifths; the exclamation point refers to the octave: (See Figure Z4)

Figure Z4
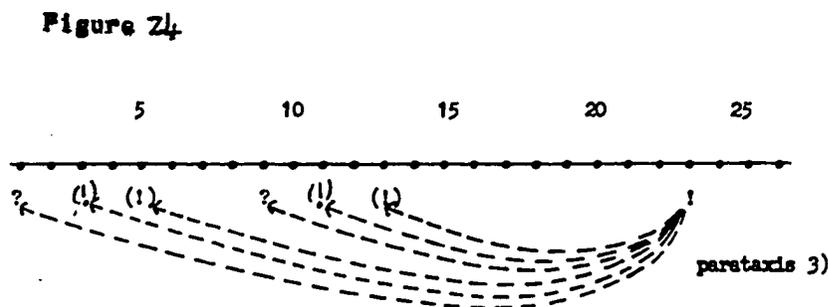
Burkhart has pointed out how the pedal markings in mm. 13 and 23 connect the C-natural$_2$ of m. 13 to the B-natural$_2$ of m. 22 (81-82). Burkhart's point, in addition to the metrical disruption in mm. 13-14 in which a 2/4 meter almost emerges, draws attention to the intervallic expansion upon which the parataxis 3) described above depends.

The final aspect of the marking of the A-natural[1] in m. 22 involves the fact that the pitch is the first seventh of a chord which does not resolve down by step. I hear a missing G-natural[1] after the A-natural[1] of m. 22, first because of the pattern which the piece has acknowledged of resolving sevenths down by step, and second, because the top voice has never moved by more than a step at all--the D-natural[2] in m. 3 involves a register transfer from an inner voice. The missing G-natural[1] is represented in the following: (See Figure A5)

Figure A5

Schenker discusses the beauty of the B-natural[1] / (accented) A-natural[1] / F-sharp[1] line from mm. 22-23 in terms of an interval filled best by step followed by leap.[97] Burkhart's explanation is similar to Schenker's. In the following, he refers to mm. 22-23:

> A particularly expressive one of these /a three-note falling motive/ is in the topmost voice at mm. 22-23: the space of a fourth rather than a third must here be spanned, but in only three notes if the motive is to be suggested. This accounts for the unusual incomplete passing tone on a[1]. (Burkhart 82-83)

The pitch-class G-natural has been important for this piece. The substitution of G-natural for F-sharp in m. 5 had introduced the submediant harmony with which the rest of the piece is saturated, leading to the deceptive cadence in m. 18. The root position submediant harmony of m. 18 has been pre-figured by mm. 15-17. I hear the melody in the bass of m. 15 pointing toward, but not reaching g-natural: (See Figure B5)

---

[97]See Schenker *Kontrapunkt* Part I 312-313.

Figure B5

The G-natural is granted, however, in a different register, in the right hand of m. 16, so that: (See Figure C5)

Figure C5

becomes
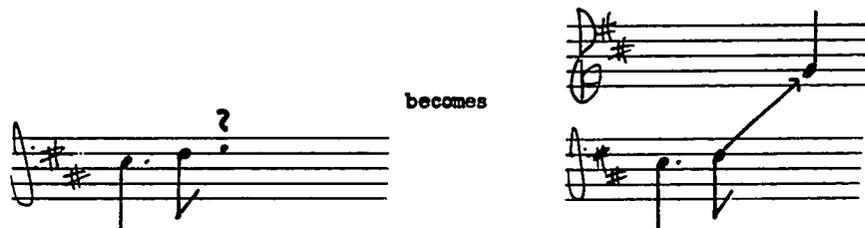
The saturation of the piece with the e-natural / f-sharp / G-natural[1] idea makes the absent G-natural[1] of m. 22 even more striking (See mm. 15-16, 16-17, 17-18, 19-20, and 20-21). Aside from an absent G-natural[1] on the downbeat of m. 23, I hear the A-natural[1] under discussion break off the upper voice in its entirety leading to a structural gap which persists till the end. In the following, the question mark under m. 23 refers to the structural gap created by the disappearance of the top voice; the question mark under m. 26 refers to the parataxis 1) which results when, at the end of the piece, the upper voice is not restored: (See Figure D5)

Figure D5
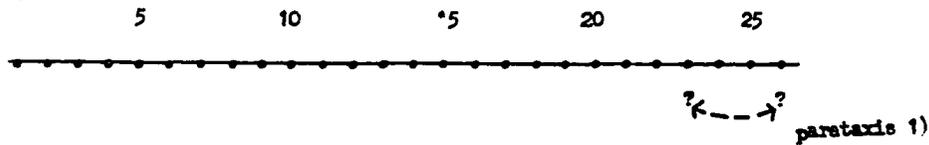
3.4 Cross-Reference and a Coda: Prelude #8 in F-sharp Minor

In his article "Compatibility in Chopin's Multipartite Publications",

Jeffrey Kallberg points out how important Codas are for the Mazurkas:

> Codas loom important throughout Chopin's Mazurkas.
> Particularly in ternary works where the primary material
> returns after the middle section in a considerably shorter guise
> than its first appearance do codas play a more fundamental role
> in the design of the piece....it is almost as if Chopin in his
> codas offers structural compensation for the foreshortened
> reprise. (404)

What Kallberg suggests above can be applied, as well, to the

Prelude at hand. Leichtentritt hears a ternary form which he describes

as an ABA: (See Figure E5)

Figure E5

```
A    8 measures
B    8 measures
A    8 measures
Coda 6 measures.   (Leichtentritt 140-141)[98]
```

---

[98]Since there are 34 measures in this piece, and Leichtentritt's analysis refers to 30, it is difficult to locate his formal divisions precisely.

A ternary form would suggest that the piece can be heard as follows: (See Figure F5)

Figure ⁻
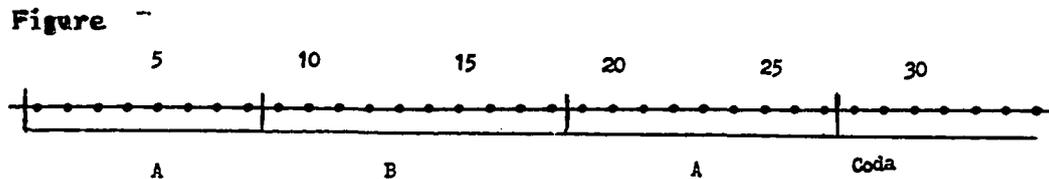
I shall now examine the harmonies of the B section and how cross-reference in the Coda comments on them. In m. 7 the harmony turns away from F-sharp Minor in pairs of chords which point to but never reach their respective tonic chords in parallel motion: (See Figure G5)

This pointing to E Minor, D Minor, and C Minor in mm. 7-8 can be represented by the following, in which the dominant preparation chords are represented by note heads; the dominants themselves are notated with stems: (See Figure H5)

Figure H5

Chopin continues the pattern, but he displaces the expected V / B-flat to the downbeat of m. 9, with a B-flat major chord granted only on the second beat of m. 11. By interpolating a move to C-flat major in the second half of m. 8 Chopin marks C-flat for memory. Thus while the pattern suggests: (See Figure I5)

Figure I5

ve get

After having tonicized E-flat Minor at the end of m. 12, Chopin tonicizes C-flat major with an augmentation of the same progression which had pointed to, but avoided C-flat in the last half of m. 8. The following represents this filling of a structural gap, in which the question mark stands for the motion toward C-flat in m. 8; the exclamation point stands for the rhythmic augmentation, and the resolution of a progression to C-flat Major in mm. 13-14: (See Figure J5)

Figure J5

parataxis 2)
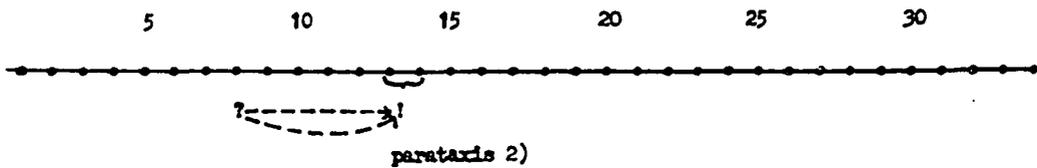
Or, in musical notation: (See Figure K5)

Figure K5

C-flat major   C-flat Major

Although C-flat Major is tonicized in m. 14, E-flat is the key of

the gestural downbeat of the piece (mm. 15-18) before the return to F-

sharp Minor. After the cadence at m. 27, an element in the Coda

creates a cross-reference with the C-flat Major of m. 14. With the B-

Major of m. 30, Chopin explicitly links what had been left as the

darkest sonority of the piece (the seven flats of C-flat Major) with the

brightened tonic of the Coda.[99]   This cross-reference can be represented
by the following, in which exclamation points connect the C-flat Major
of m. 14 with the B Major of m. 30. As is common in this study
generally, the dotted slur shows that the cross-reference is synchronic;
there is no line of hyphens because the cross-reference does not work
diachronically: (See Figure L5)

Figure L5.
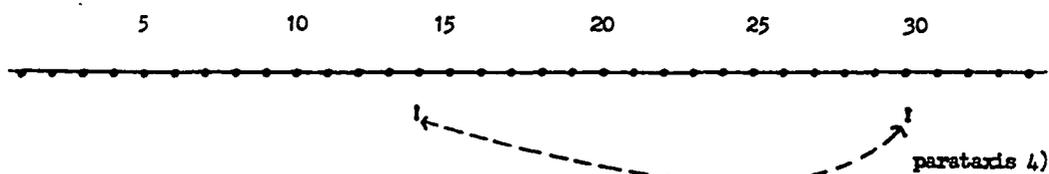
I shall now address the cadence which is striking in several ways.
Measures 27-32 sound so static because the harmonic rhythm of the
music is suddenly augmented in m. 27. The harmonic rhythm of the
main theme (mm. 1-2, 5-6, 19-20), had always been: (See Figure M5)

---

[99]In his "Notes on Beethoven's Codas", Joseph Kerman points out that "...again and
again /in Beethoven's music/ there seems to be some kind of instability, discontinuity,
or thrust in the first theme which is removed in the Coda. The aberration may be
linear, harmonic, rhythmic, registral, or textural" (149). In the Prelude at hand, the
aberration involves the suggestion of C-flat Minor in m. 8 and the tonicization of C-
flat Major in mm. 13-14; the removal of the aberration involves the B Major sonority
of the Coda which brings C-flat Major (turned into B Major) into diatonic relation
with the tonic key (turned major in the coda).

Figure N5
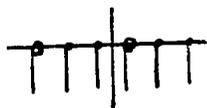
After the augmented harmonic rhythm of mm. 27-32, in which major

and minor tonic alternate with major and minor subdominant harmonies,

the cadence sounds paradoxically _less_ active (the _agitato_ texture vanishes

in m. 33), and _more_ active (the half / quarter / quarter harmonic

rhythm of the theme returns).

Taking Meyer's lead, I hear the harmonic rhythm of the main

theme as anapestic. Thus I hear: (See Figure N5)

Figure N5
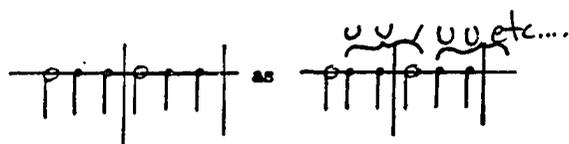
The stress of the second anapest is weaker than the stress of the first,

since mm. 3, 7, and 25 involve harmonies other than tonic:[100]   (See

Figure O5)

---

[100]In Cooper and Meyer's The Rhythmic Structure of Music, musical equivalents of poetic meter are discussed. Cooper and Meyer are more interested in how musical versions of poetic feet overlap into hierarchies of small units (feet) within larger units (composite feet). For a treatment of anapests, see 18-20.

Figure Q5

P-sharp Minor   to?   to: to?
                                     e, d, c....
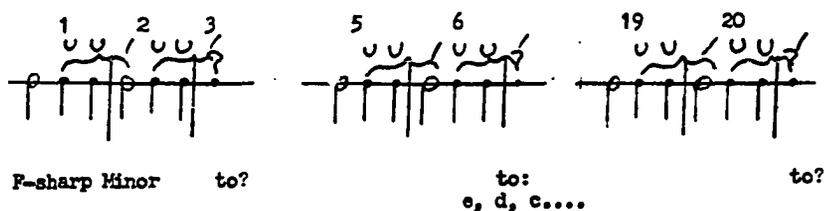
The final chord resolves this weak stress of the second anapest in

parataxis 2). In the following, the question marks refer to pairs of

anapests at mm. 1-3, 5-7, 19-21; the exclamation point represents the

way in which the final chord with its fermata closes the piece with a

very strong, final anapest. (See Figure P5)

Figure P5
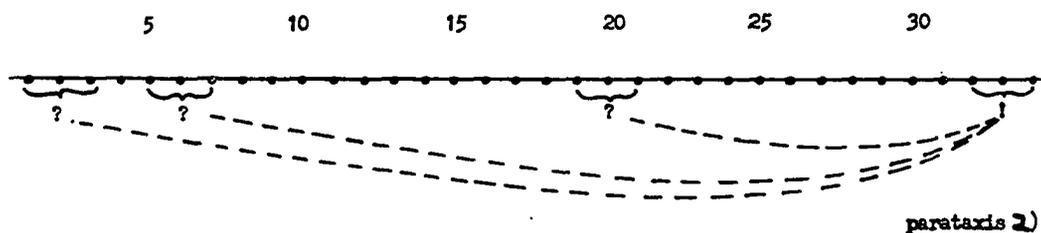
parataxis 2)

An additional feature of the cadence results in parataxis 3). Instead

of the following simple voicing: (See Figure Q5)

Figure Q5

F-sharp Minor: III bII V   i   we get: F-sharp Minor: III bII   V   i

Not only does the final cadence strengthen the anapestic harmonic

rhythm of the main theme, but it associates tonic harmony with scale

degree $\hat{1}$ in the right hand for the first time. With Chopin's re-voicing,

we must hear back to the C-sharp[1]s as having been not as strong as

the F-sharp[1] of m. 34. And the arpeggiation of the chord in m. 34

summarizes the process; we are made to hear the C-sharp[1] which had so

often been supported by tonic harmony yield to E-sharp[1], then to

F-sharp[1]. The parataxis 3) can be represented by the following in which

question marks stand for the way in which the final F-sharp[1]

(represented by the exclamation point) causes their re-evaluation. The

question marks refer to measures in which C-sharp[1] is supported by

tonic harmony: (See Figure R5)

Figure R5
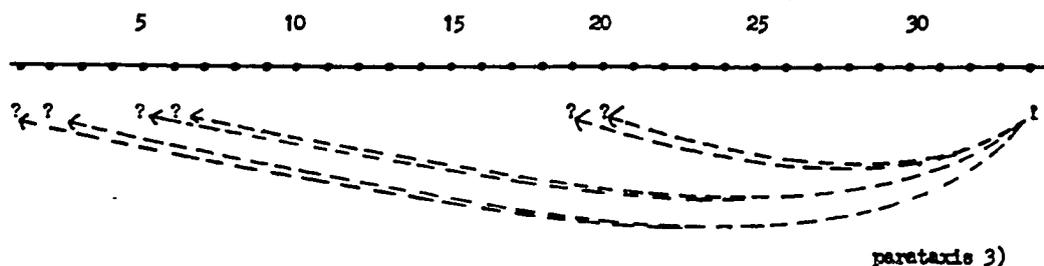
We have seen the following instances of cross-reference in the Coda: 1) the bright B Major of m. 30 refers back to the dark C-flat of m. 14, 2) the cadence resolves the anapestic harmonic rhythm broken off by mm. 27-32, and 3) tonic harmony is re-interpreted as having been less stable with scale degree $\hat{5}$ in the right hand (mm. 1-2, 5-6, 19-20) than with the F-sharp[1] of m. 34. Thus harmonic cross-reference, metric cross-reference, and cross-reference of pitch converge at the cadence to give this piece its sense of closure.

3.5 A Harmonic Structural Gap: Prelude #9 in E Major

The following remarks will focus on m. 7 in terms of structural gap of a harmonic nature, which is filled in parataxis 2) later in the piece. In the previous chapter, we had explored structural gaps in terms of missing pitches or pitch-classes in a melodic context. In the

discussion of the Prelude #2 in A Minor and the Prelude #8 in F-sharp Minor, the idea of a harmonic structural gap was explored. In his discussion of Beethoven's Ninth Symphony, Meyer also discusses structural gaps as harmonic. Of the opening of Beethoven's Ninth Symphony, Meyer points out that:

> ...the structural gaps are not only melodic, they are harmonic as well. For within the cultural context in which this work is heard, the complete triad is the norm, and the open fifths presented throughout the introduction are felt to involve incompleteness. (Meyer 193)

Before discussing a harmonic structural gap in the piece at hand, a survey of the general harmonic structure of the piece is necessary. The Prelude is in a one part form, with three gestures basically outlining a I-V motion--that is, each gesture begins with a I chord and concludes with a V chord in E Major: (See Figure S5)

Figure S5

The harmonies between each of the above-mentioned tonic-dominant motions work quite differently in each gesture. In #1 the harmonic motion may be represented by the following: (See Figure T5)

Figure 75

E Major: I   ii   vi   V⁷

The second gesture involves a series of chromatic modulations from E-Major to A-flat Major. The voice leading of the last two beats of m. 8 and the downbeat of m. 9 reveal how smoothly Chopin gets from A-flat Major back to E Major: (See Figure U5)

Figure U5

beat 3 of   beat 4 of
m. 8   m. 8

flat Major: I   i   7
   E Major: iii   V   I

In Harmony and Voice Leading, vol. II, Aldwell and Schachter points out that a series of voice-exchanges occurs in mm. 6-7 (Schachter 219): (See Figure V5)

Figure V5

I hear these measures differently, however. Chopin has initiated a
pattern in m. 5 of the fourth beat of a measure involving a dominant of
a harmony which is given in the first three beats of the next measure,
as represented in the following: (See Figure W5)

Figure W5

There is no reason not to expect that this pattern will continue,
according to Meyer's law of good continuation discussed in the first
chapter. Thus, I hear the fourth beat of m. 6 point to a bII harmony

which is denied in m. 7, resulting in a harmonic structural gap. In the following figure, the question mark stands for the expected but denied bII on the downbeat of m. 7: (See Figure X5)

Figure X5
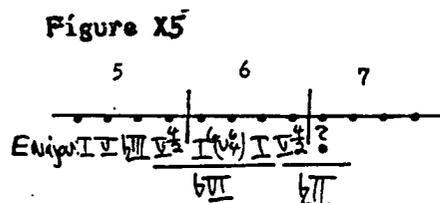
Chopin does, however, give us the bass line of the implied progression: the A-natural$_1$ / G-natural$_1$ / F-natural$_1$ in the bass of m. 7 could have supported a bII harmony. In the following, the bass line is what Chopin grants from mm. 6-7; the chord symbols in quotation marks represent implied harmonies which are notated in quotation marks below the staff: (See Figure Y5)

Figure V5

Wallace Berry draws attention to this missing bII harmony in m. 7 in his Structural Functions in Music:

> the substantial reference to F (Neapolitan?) projects a
> secondary tonic of distinctly chromatic origin....Although the
> reference to F is substantial, that tonic does not appear (it does
> later, in a...deviation into m. 10). (Berry 68)

Schachter's voice exchanges undermine the structure of the bass line which supports the progression under discussion. Thus, in terms of the bass line in mm. 6-7, I do not hear a voice exchange as reflected in Figure V5, but a pattern of descending thirds preceded by an upper neighbor: (See Figure Z5)

Figure 25

If the hypothetical progression had been allowed to continue, Chopin would have reached A-flat Major. The following represents the bass line of the hypothetical continuation of the bass line which mm. 5 (fourth beat)-6 imply: (See Figure A6)

Figure A6

What Chopin does in mm. 7-8 is to compress the above progression into two bars. Instead of: (See Figure B6)

Figure B6

we get: (See Figure C6)

Figure C6

As Berry had implied, Chopin furnishes us with the bII harmony in m. 10, not as a dominant preparation chord in E Major, but temporarily tonicized by the I-V-I motion with which the piece had begun. The parataxis 2) according to which the harmonic structural gap in m. 7 is filled in m. 10 can be represented by the following, in which the question mark stands for the missing bII at m. 7, and the exclamation point represents the granted bII of m. 10: (See Figure D6)

Figure D6
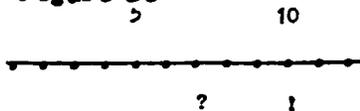
Chopin provides for a linear connection in the bass between the marked
F-naturals on the third beat of m. 7 (the mark is the absent bII
harmony which the F-naturals might have supported), and the F-
naturals on the first beat of m. 10. The F-natural$_2$ / F-flat$_2$ / E-flat$_2$ of
mm. 7-8 (to take the lowest register) are expanded and reversed in
direction from mm. 8-10: (See Figure E6)
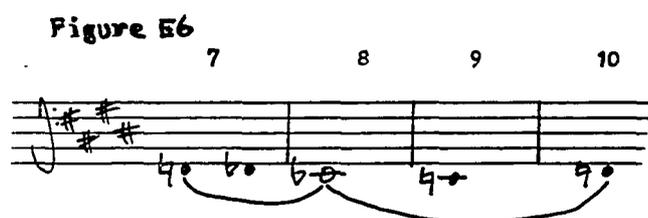
Figure E6

Hyphens can now be added to Figure E6 to represent this linear bass
line, and the diachronic parataxis 2) it represents: (See Figure F6)
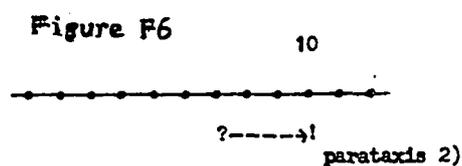
Figure F6

A dotted slur can also be added to stand for the synchrony of harmonic
cross-reference in which the missing bII of m. 7 is supplied in m. 10:
(See Figure G6)
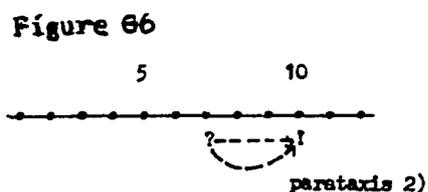
Figure G6

3.6 Registral Completion and the Prelude #12 in G-sharp Minor

Since this piece is larger in scope than those discussed in previous sections, I shall begin with a Schenkerian middleground sketch of the work: (See Figure H6)

Figure H6

The sketch yields a $\hat{5}$ piece in which the descent of the fundamental line is interrupted at mm. 8, and 48. I do not hear an interruption at what might be heard as the climax of the piece (m. 37) because the $\hat{5}$ of m. 21, now supporting a B major (turned Minor) harmony is never brought down to the $\hat{2}$ of m. 37. Thus the tonicizations of B Minor, A Minor, and G Minor (shown in the sketch in mm. 21, 24, 28) are subservient to a large-scale prolongation of the D-sharp^2 of the fundamental line of m. 13 to m. 45. The middleground tonicization of B Minor, A Minor, G Major from mm. 21-28 represents an expansion of an earlier detail--the G-natural in the bass in m. 11. A characteristic of this piece is that while the right hand is saturated by chromatic inflections, the left hand is clearly diatonic. The G-naturals in the bass of m. 11 are marked for memory as the first chromatically altered pitches in the left hand. In m. 11, B-natural is an upper neighbor to the fifth scale degree of the new key--B Major; by m. 28 G Major is reached after the third progression B Minor, A Minor, G Major. Chromatic inflection in the right hand works differently, as will be explored below.

Measures 1-5 involve the octave D-sharp^1 to D-sharp^2 filled-in chromatically, with an upper neighbor E-natural^2: (See Figure 16)
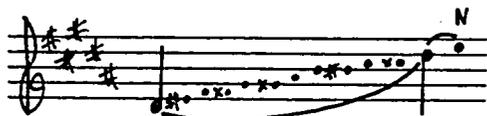
Figure I6

It is through this E-natural^2 that the line is unexpectedly extended upward to the G-sharp^2 of m. 15: (See Figure J6)

Figure J6
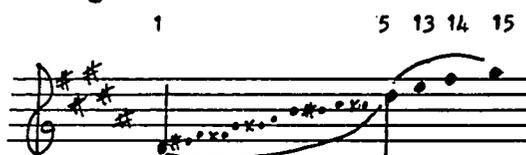
In his article "Register and the Large-Scale Connection", Ernst Oster discusses similar motions in the upper registers of tonal pieces. His discussion emphasizes the way in which events in a certain register toward the end of a work resolve events in the same register earlier in the piece. In the following example, taken from his discussion of Schubert's A Minor Quartet, Oster connects the G-sharp^2 of m. 35 with the A-natural^2 of m. 56 (Oster 61): (See Figure K6)

Figure K6

Example 3.7 Schubert, Quartet in A Minor

In Oster's discussion, what creates the large-scale connection is the expectation created by the halt on the dominant in m. 35. In the Prelude under discussion here, however, there is no reason to expect that the chromatically ascending line of D-sharp[1] / D-sharp[2] will be extended. We had discussed parataxis 3) in Chapter 1 as an unexpected extension of a pattern as follows: (See Figure L6)

Figure L6

A pattern is set up;

it is unexpectedly extended later in the piece.

parataxis 3)

As in the above illustration, parataxis 3) occurs when a pattern is repeated and unexpectedly expanded. The instance of parataxis 3) in the

Prelude #12 in G-sharp Minor be represented by the following, in which the question mark stands for the way in which the extension of the chromatic line from mm. 13-15 makes the D-sharp[1] / D-sharp[2] idea of mm. 1-5 and 9-12 sound like an incomplete gesture: (See Figure M6)

Figure M6
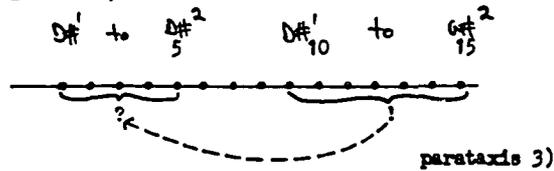
The melodic line is extended further in mm. 29-38 as follows. Measures 29-30 outline a VI-V progression in E Minor, and the right hand offers a concise diatonic version of mm. 1-5: (See Figure N6)

Figure N6

It is not only the stepwise ascent which reminds us of mm. 1-5; it is the way in which E-natural[2] is heard as an upper neighbor of

D-sharp^2. Another instance of parataxis 3) results from the extension of the ascending melodic line past the G-sharp^2 of m. 35 to the A-sharp^2 of mm. 37-38: (See Figure O6)

Figure O6
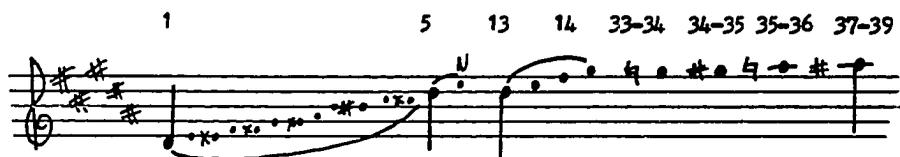
This instance of parataxis 3) can be represented by the following, in which the question mark stands for the way in which the extension of the ascending line in mm. 34-39 makes the D-sharp^1 / D-sharp^2 idea sound like an incomplete gesture: (See Figure P6)

Figure P6
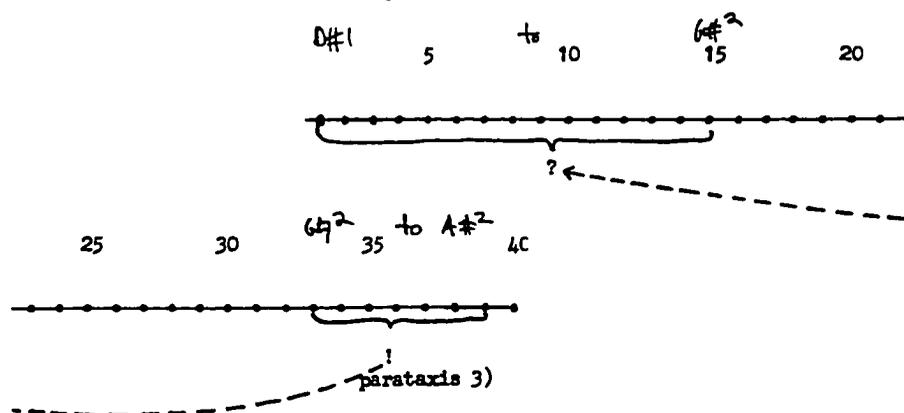
In terms of pitch-classes, the ascending line under discussion moves up to B-natural in m. 64: (See Figure Q6)

Figure Q6
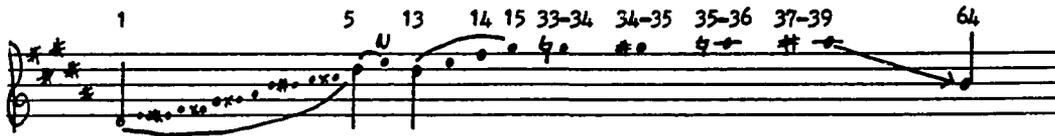
The resolution of the pitches A-sharp^1 to B-natural^1 is prefigured in the

oscillation between the two pitches in mm. 58-60 which make explicit

reference to mm. 34-36, as if: (See Figure R6)

Figure R6

were a comment on, and final completion of: (See Figure S6)

Figure S6,
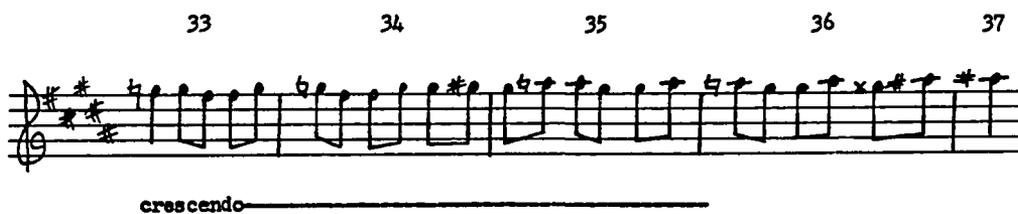
The descent of the fundamental line, and the ascending chromatic line which has spanned the entire piece merge with the final cadence of mm. 64-65:   (See Figure T6)

Figure ,'6

The A-sharp[1] / B-natural[1] motion delicately reiterates the ascent of the pitch-class A-sharp to the pitch-class B-natural. Chopin marks this moment with silence: m. 64 is the first measure of the piece not to have a note struck on its second beat.

Chopin leaves the space between A-sharp[2] and D-sharp[2] open--an instance of parataxis 1), which can be represented by the following, in which question mark a) stands for the structural gap between A-sharp[2] at m. 39 and the D-sharp[2]s of mm. 45, 52, 67; question mark b) stands for this gap heard as unfilled by the end of the piece: (See Figure U6)

Figure U6

parataxis 1)

As the eighth notes in the middleground graph suggest (see the voice exchanges in mm. 68 and 92), Chopin <u>does</u> bring down the D-sharp^2 in the Coda. What had been a chromatically inflected ascent from mm. 1-5 and 9-13, becomes a diatonic descent in the coda, as if: (See Figure V6)

Figure V6

is answered by: (See Figure W6)

Figure W6

Chopin fills in the space between the G-sharp[1] of m. 73 and the D-sharp[1] of m. 74 by a right to left adding-on of notes to the D-sharp[1]: (See Figure X6)

Figure X6

It is the backwards filling-in of the space between D-sharp[1] and G-sharp[1] summarized in the right hand mm. 79-80, which allows for the final powerful cadence.

3.7 Pitch-Class 11 and Large Scale Cross-Reference: Prelude #19 in E-flat Major

I would like to begin this discussion with a general consideration of form. Leichtentritt hears a three-part form + Coda as follows: I (A) 8 + 8 measures; II (B) 8 + 8 measures; III (A) 8 + 8 measures; Coda 8 + 8 + 7 measures (166). Along a time line, Leichtentritt's formal analysis shows the following: (See Figure Y6)

Figure Y6
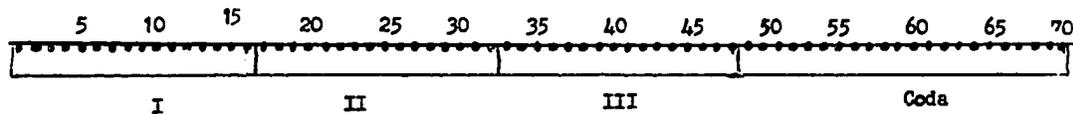
I hear the piece quite differently consisting of a two-part form with a Coda: (See Figure Z6)

Figure Z6
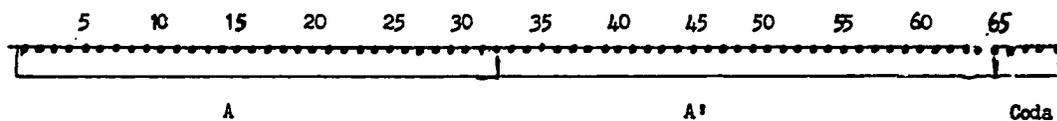
In addition to the obvious detail that both A and A' consist of 32 measures, the break in the rhythmic texture in m. 32, and the fact that mm. 33-42 = mm. 1-10 begin to suggest that A' re-works material present in A. The following represents the repetition with numbers

above the time line representing measure numbers in the A section; numbers below represent measure numbers in the A' section which are repeated:[101] (See Figure A7)

Figure A7

A: 1   5   10
————•—•—•—•—•—•—•——
A': 33   37   42

What strengthens the association of A and A' is that the interruption in m. 32, followed by the return of tonic in m. 33 in the A section is matched by the close of the fundamental structure in the A' section—m. 65. In the following, the entire A and A' sections have been filled in to show the cross-reference between m. 33 and m. 65, and to provide a framework for future remarks: (See Figure B7)

Figure B7

———
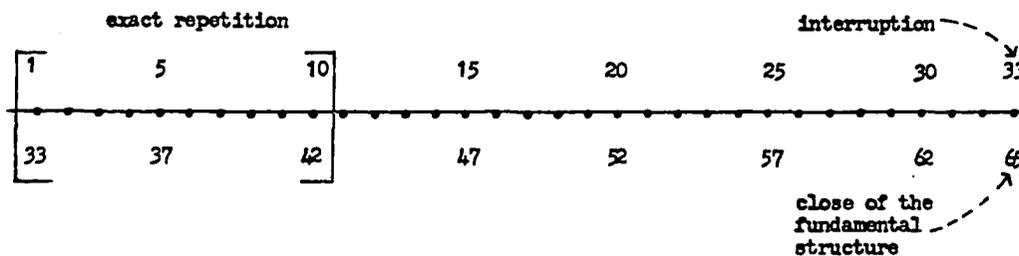
[101]Chopin makes the connection between mm. 33-42 and mm. 1-10 clear in the facsimile. In each of the measures 33-42, Chopin writes numbers 1, 2, 3, etc.

The term interruption, however, does not do justice to the complex relations between the musical material of m. 32 and m. 33 across the gap of the eighth rest. What differentiates the music to the left of the eighth rest in m. 32 from music to the right is also dynamic--the crescendo begun in m. 29 abruptly halts at the rests in m. 32. But more telling is the pattern of diminished seventh chords which Chopin begins in m. 29 and breaks off on the last measure of m. 32: (See Figure C7)

Figure C7
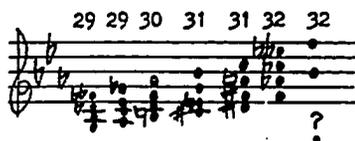
Not only does the pattern of diminished seventh chords not continue, but b-flat in the bass on the third beat of m. 32 breaks a pattern of ascending minor thirds. In the following, the notes with stems stand for the notes in the bass of the series of ascending diminished seventh chords; note heads only represent bass notes between diminished seventh chords. Instead of: (See Figure D7)

Figure D7

we get: (See Figure E7)

Figure E7

The pattern of ascending thirds is completed, however, in an inner

voice in m. 33: (See Figure F7)

Figure F7
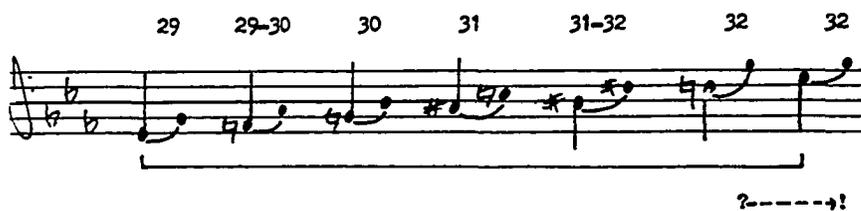
In terms of meter, the diminished seventh chords from mm. 29-32

also impose a 2/4 meter on the music so that from mm. 29-32 we hear

not: (See Figure G7)

Figure G7

29   30   31   32
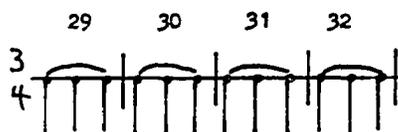
but: (See Figure H7)

Figure H7

29   30   31   32
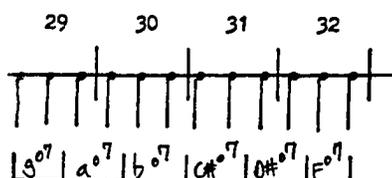
This superimposition of 2/4 on 3/4 results in meter only being out of synchronization on the second and third, of the hypothetical 2/4 measures: (See Figure I7)

Figure I7

29   30   31   32 written bar lines

hear bar lines
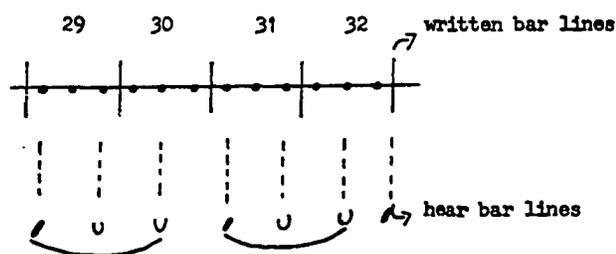
Thus, in addition to hearing <u>more</u> measures between mm. 29-32 (6 2/4 measures, as opposed to 4 3/4 measures), I hear large 3/2 measures, and the downbeat of m. 33 continues a pattern of downbeats begun in m. 29.

Another detail links the interruption of m. 32 with the close of the fundamental structure in m. 65. I hear the: (See Figure J7)

Figure J7

of mm. 29-33 being answered by the: (See Figure K7)

Figure K7

of mm. 62-65.

To return to the sketch of the parallel structure of A and A', the element of pitch-class 11 can now be added. B-natural is marked for memory early on in the piece in terms of its being the first altered pitch in m. 3. In the following, the parallel use of pitch-class 11 is shown in the A and A' sections, with B-natural or C-flat given for each measure in which it occurs, as well as the note of resolution: (See Figure L7)

Figure L7

The above figure shows why the C-naturals of mm. 51 and 59 sound so bright: in terms of the parataxis 4) between A and A', m. 51 (C-natural) corresponds to m. 19 <u>C-flat</u>, and m. 59 (C-natural) corresponds to m. 27 <u>C-flat</u>.

A final remark will address the question mark over m. 62 in the above diagram. Measures 62-64 are cross-referenced with mm. 29-32 as follows. The G-natural$_2$ / G-natural$_1$ / G-sharp$_1$ / A-natural$_1$ / B-flat$_1$ motion of mm. 62-64 summarizes the G-natural$_1$ / A-Natural$_1$ / B-natural$_1$ / c-sharp / d-sharp / f-sharp / f-natural / b-flat motion of mm. 29-32. In addition, the resolution of the b-natural of m. 62 expands the C-flat / B-flat neighbor motion which spans the eighth rest in m. 32. The: (See Figure M7)

.Figure M7

motion is expanded from mm. 62-65 to: (See Figure N7)

Figure N7
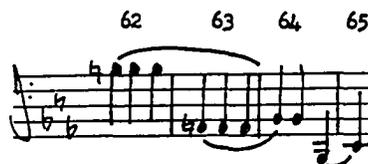
What we have seen is that the structural gap at m. 32 consists of weak definition of the tonic of m. 33.

We had discussed parataxis 2) in terms of a clear gap--of a missing note (Prelude #1 in C Major), or a missing harmony (Prelude #9 in E Major); in the Prelude #19 in E-flat Major, I extend the significance of parataxis 2) to include weakness of definition of tonic harmony as a gap which is filled by the final tonic cadence of a piece. This parataxis 2) can be represented as follows: (See Figure O7)

Figure O7
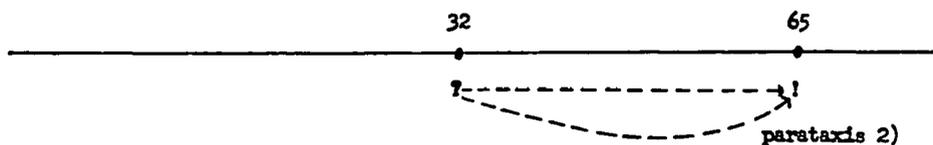
The parataxis 4) of the form as a whole can be represented by the following, in which the exclamation points reflect the parallel structures of A and A' sections: (See Figure P7)

Figure P7
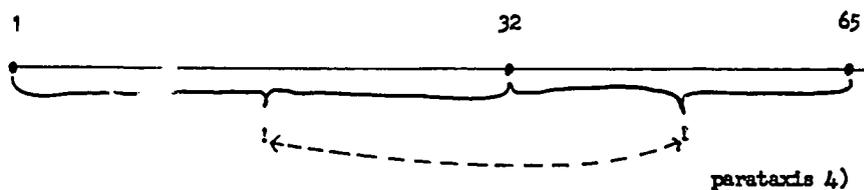
3.8 Transition

The discussion above has shown how paratactic cross-reference works with one specific parameter of music in selected pieces, and the discussion could have been extended to other Preludes. The present discussion has been limited to the above analyses in the interest of space. In the next chapter, the focus narrows to a detailed look at the

Prelude #21 in B-flat Major from the point of view of cross-reference, Schenkerian voice-leading techniques, chromatic tonicization, and semiotics.

Chapter 4

Schenker and Chromaticism: Function and Index in Prelude #21 in B-flat Major

4.1 An Analytic Model from Narrative Theory

In this chapter I would like to deal directly with an issue which the previous analyses have only touched upon indirectly--chromaticism in general, and its relations to the diatonic foundations of Schenkerian theory, in particular.[102] The discussion will begin with Roland Barthes' "Introduction to the Structural Analysis of Narratives" which presents an analytic model capable of informing the musical-theoretical issues at hand with unique flexibility and clarity. Analyses of the Prelude #21 in B-flat Major will proceed with Schenkerian and cross-referential detail, followed by a more direct confrontation of chromatic issues. The study will end with remarks concerning the relationship between diatonic and chromatic issues in the Prelude at hand, and general proposals.

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[102]I acknowledge an intellectual debt to Patrick McCreless whose work in chromaticism and Schenkerian theory provided a foundation for this study. The reader is referred to "Schenker and the Norns", "Schenker and Chromatic Tonicization: A Reappraisal", and Wagner's Siegfried.

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Much of the discussion in previous sections of this study has dealt with the various degrees of interaction between synchronic and diachronic issues in analytic models. It has been an essential burden of this study to show how the binary synchrony of structural models (Saussure, Schenker, for example) has yielded to pluralistic diachrony (post-Saussurian linguists, Meyer, for example). The way in which the codes in S/Z work on both a synchronic and diachronic level was shown in Chapter I.

In his "Introduction to the Structural Analysis of Narratives", Barthes offers a set of terms for the analysis of syntactic events in narrative.[103] Along a linear, left-to-right time line Barthes understands the smallest units of narrative arranged distributionally ("Structural Analysis" 88-89). Barthes discusses functions in terms of details which will emerge as important later in a narrative:

> If in Un Coeur Simple Flaubert at one point tells the reader, seemingly without emphasis, that the daughters of the Sous-Préfet of Pont-l'Éveque owned a parrot, it is because this parrot is subsequently to have a great importance in Felicité's life; the statement of this detail (whatever its linguistic form) thus constitutes a function, or narrative unit. ("Structural Analysis" 89)

Barthes points out that functions have a binary quality:

---

[103]The two terms of Barthes' model cannot simply be aligned with synchronic/diachronic considerations, however, since these terms suggest varying degrees of vertical and horizontal structure on a single level. Barthes' model, as will be shown below, deals with an opposition of left-to-right time and elements which point to another qualitatively different dimension.

...the purchase of a revolver has for correlate the moment
when it will be used (and if not used, the notation is reversed
into a sign of indecision, etc.); picking up the telephone has for
correlate the moment when it will be put down. ("Structural
Analysis" 92)

Barthes calls the narrative which separates two functions "catalysers"

("Structural Analysis" 93-94).

We can relate the ideas above to music by reviewing an aspect of

the Prelude #1 in C Major. In the following figure, the left-to-right

time line is distributional; the dots which represent measures are units;

the question mark under m. 8 represents the function of the missing

C-natural^2; the exclamation point under m. 29 represents the correlate

function of the granted C-natural^2; the segment of the diachronic time

line enclosed in parentheses represents the catalyser between the

functions: (See Figure Q7)

Figure Q7
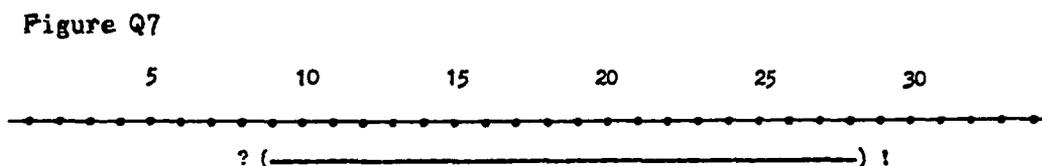
Barthes' function works in narrative, as an event marked for

memory works in music; it is a signifier pointing across diachronic time

to a signified which may or may not be realized. The reader is
reminded that in terms of the model upon which this study is based,
the absence of a signifier / signified relation results in parataxis 1); the
presence of a signifier / signified relation results in parataxis 2).

In all of the above analyses, synchronic elements have been seen as
opposing diachronic, linear motion. In his "Structural Analysis of
Narratives", Barthes discusses the <u>index</u> as essentially different from the
strictly diachronic function / catalyser / correlate function sequence. The
link between Barthes' index and other traditional terms can be seen in
the following:

> <u>Functions</u> and <u>indices</u>...overlay another classic distinction:
> functions involve metonymic relata, indices metaphoric relata;
> the former correspond to a functionality of doing, the latter to
> a functionality of being. ("Structural Analysis" 93)[104]

Barthes' notion of the index is not simply synchronic, however. His
discussion suggests that the index works less to deny the diachrony of
functions than to point away from them toward something else. As
opposed to the linear, distributional level, Barthes posits the
<u>integrational</u>:

> ...the integrational units...comprise all the 'indices'... /and/
> the unit now refer/s/ not to a complementary and consequential
> act but to a more or less diffuse concept which is nevertheless
> necessary to the meaning of the story; psychological indices
> concerning the characters, data regarding their identity,

---

[104]Compare these ideas with Jakobsen.

notations of 'atmosphere', and so on. The relation between the
unit and its correlate is now no longer distributional (often
several indices refer to the same signified and the order of their
occurrences in the discourse is not necessarily pertinent) but
integrational. ("Structural Analysis" 92)

Two aspects of Barthes' model will prove valuable for the

subsequent analyses of the Prelude #21 in B-flat Major: 1) the idea that

the index points toward a signified not necessarily found in a

distributional arrangement of function / catalyser / correlate function,

and 2) that units can work on both a distributional and indicial level at

the same time. As an illustration of the latter, Barthes offers the

following:

> ...a unit can at the same time belong to two different classes:
> to drink a whiskey (in an airport lounge) is an action which
> can act as a catalyser to the (cardinal) notation of waiting, but
> it is also, and simultaneously, the indice of a certain
> atmosphere (modernity, relaxation, reminiscence, etc.). In other
> words, certain units can be used, giving a play of possibilities
> in the narrative economy. In the novel Goldfinger, Bond, having
> to search his adversary's bedroom, is given a master-key by his
> associate: the notation is a pure (cardinal) function. In the
> film, this detail is altered and Bond laughingly takes a set of
> keys from a willing chamber-maid: the notation is no longer
> simply functional but also indicial, referring to Bond's character
> (his easy charm and success with women). ("Structural
> Analysis" 96-97)

If we have shown that synchrony and diachrony mutually define

one another (like a line divided into two angles which must always add

up to 180°), then the present model of functional and indicial relations

adds a cumulative element: the atmosphere evoked by drinking whiskey

does not necessarily effect the sequence of events suggested in the sequence: buying a ticket, killing time (drinking a whiskey), boarding a plane.

In short, Barthes proposes that along a linear time span events marked for memory are functions; a correlate function involves a realization of an implication in the function; a catalyser separates the two. An index is any element which points to something outside the linear sequence of events. In Barthes' examples, and the applications to music below, it is the catalyser which works on both a functional and indicial level. The diagram below summarizes the model in terms of Barthes' example: (See Figure R7)

Figure R7

```
              (   function        catalyser        correlate function
              {      |                |                   |
functional   {   buying an airline__ drinking a __   boarding the
level        {   ticket              whiskey           airplane
              (                        |
                                     index
                                       |
                                     atmosphere of
                                     relaxation
```
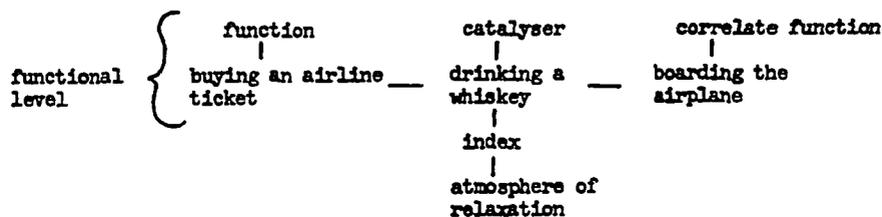
Before connecting Barthes' model with musical-theoretical considerations, a word may be mentioned in terms of how a recent article treats the issues at hand. In his article "Schenker and Chromatic Tonicization: A Reappraisal", Patrick McCreless has also discussed chromatic tonicizations from two points of view. The following passage

implicitly equates Schenker with Barthes' distributional level of narrative; "culturally encoded" chromaticism, on the other hand, suggests Barthes' indicial opposition:

> ...does the juxtaposition of B-flat Major with the tonic of D Major in the first movement of Beethoven's "Ghost" Trio, Op. 70, No. 1, (or, for that matter, of the same two keys in Beethoven's Ninth Symphony) arise primarily from the intra-piece, contextual tonal relationships involving the motivic and harmonic use of the flatted sixth scale degree in the tonal system, or does it arise primarily from the culturally encoded ramifications of the keys of D and B-flat Major, with their stark contrast of sharps and flats, or some combination of the above? (McCreless)

4.2 Analyses of the Prelude #21 in B-flat Major

4.2.1 Function and Index in the Prelude #21 in B-flat Major

Barthes' analytic model and the musical issues of the Prelude #21 in B-flat Major can now be brought together. The most basic issue of the music concerns the relationship between the tonic, B-flat Major harmony of mm. 1-16, and mm. 33-59, and the flat submediant, G-flat Major harmony of mm. 17-32. On the distributional level, let the tonic harmony from mm. 1-16 be referred to as a function, with mm. 33-59 as the correlate function. The G-flat Major of mm. 17-32 will be analyzed as a catalyser; these remarks will be primarily Schenkerian. To the extent that the G-flat Major of mm. 17-32 points to a chromatic opposition of keys a major third apart, these same measures (mm.

17-32) will be considered an index. The treatment of mm. 17-32 as

catalyser between the function of B-flat Major (mm. 1-16) and its

correlate (mm. 33-59) and as an index pointing toward chromatic

opposition of keys a major third apart has the appeal of flexibly

combining the voice-leading principles of Schenker with issues of

chromatic tonicization. The following remarks will attempt to show as

clearly as possible how G-flat Major in this music works as a catalyser,

on the one hand, and as an index, on the other.

The application of Barthes' model to the Prelude #21 in B-flat

Major yields the following, in which the elements from Figure R7 have

been replaced with musical terms: (See Figure S7)

Figure S7

```
                  ┌   function            catalyser         correlate function
                  │       |                   |                   |
functional      <    B-flat Major ─────  G-flat Major ─── (V of) B-flat Major
level             │                           |
                  └                          index
                                              |
                                       chromatic opposition
```
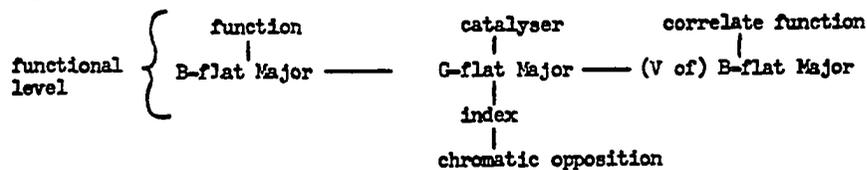
In the following remarks, all ideas which relate G-flat (as pitch,

pitch-class, chord, key area) to B-flat by way of F-natural (as a pitch,

pitch-class, chord, key area), will be understood as functional. The G-

flat-ness in the piece works as a catalyser between instances of B-flat-

ness which begin and end the piece.[105] The functional basis of the piece

can be represented by the following: (See Figure T7)

Figure T7

B-flat
Major: I   V   I
                           correlate function
        function
            catalyser

Analytical material which stresses the major third G-flat / B-flat

will be understood as <u>indicial</u>, and can be represented by the

following:[106] (See Figure U7)

---

[105]The language here avoids the exclusively precise markations of such phrases as "the G-flat Major of mm. 17-32" to allow for a functional hearing of relations between G-flat and F-natural elsewhere in the piece--from the second eighth note of m. 5, left hand, inner voice, to the third eighth note in m. 5, for example.

[106]The resemblance between Figures T7 and U7 and traditional Schenkerian background sketches will be addressed toward the end of these analyses.

Figure U7

A clarification of the above figures is in order. A functional presentation of G-flat is one which makes it (as pitch, pitch-class, chord, key) subservient to F-natural (as pitch, pitch-class, chord, key), within the context of B-flat major. An indicial presentation of G-flat is one which makes it (as pitch, pitch-class, chord, key) the goal of an opposition to B-flat (as pitch, pitch-class, chord, key) in the context of B-flat Major. A functional sense of the G-flat of mm. 17-32 works well in terms of a prolongation of the upper neighbor to the $\hat{5}$ of the fundamental line. And despite the fact that the G-flat Major sonority on the downbeat of m. 17 seems to intrude into the piece, a careful hearing of the opening measures can show how the functional relation between the pitches G-flat and F-natural has been prefigured. The left hand in mm. 1-2 presents a concise version of the fundamental line, as shown in the following: (See Figure V7)

Figure V7

We hear pitch-class 4 in m. 1 of the above example as f-flat, however, not e-natural. And it is the way in which we hear F-flat[1] change to E-natural[1] in m. 32 which facilitates the central functional event in the music--the association of the G-flat from mm. 17-32 with the dominant of B-flat Major: (See Figure W7)

Figure W7

B-flat Major: I————— etc.

G-flat Major: V^7 of IV

B-flat Major: Italian +6   V

The unexpected re-interpretation of F-flat to E-natural can be heard as an instance of parataxis 3). In the following, the exclamation point under m. 32 shows how the F-flat[1] is suddenly re-interpreted as

E-natural[1]; the dotted slur shows the cross-reference to m. 1:[107]   (See

Figure X7)

Figure X7
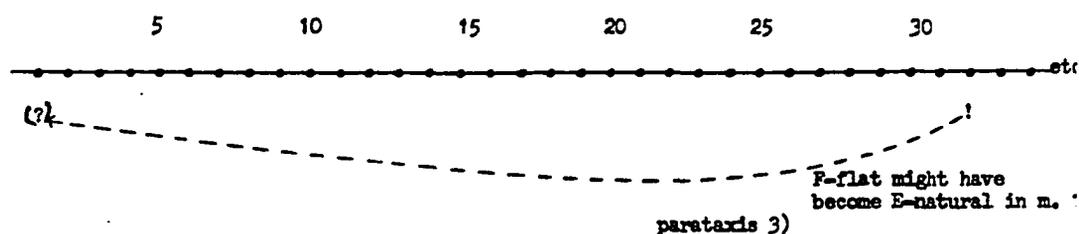
The motivic parallelism between the f-natural / e-natural / e-flat /

d-natural / c-natural / B-flat$_1$ line in mm. 1-2 and the fundamental line

works in a typically Schenkerian way.[108]   In addition, however, the

functional relation of the G-flat Major harmony of mm. 17-32 to the

correlate (dominant of B-flat Major) of mm. 33-59 is prefigured in an

inner voice in mm. 5-6. The G-flat to F-natural motion is marked for

memory in mm. 5-6 for two reasons. First, the descending chromatic

segments in the bass have always begun with one beat outlining a

---

[107]To connect the issues of this chapter with the cross-referential codes of previous
analyses, parataxis can work in either a functional or indicial way. If cross-reference
connects G-flat to B-flat by way of F-natural, then the parataxis is functional. If cross-
reference draws attention to the opposition of G-flat and B-flat, then the parataxis is
indicial.

[108]Schenker points out that "the tendency to propagate the forms of the
fundamental structure...goes through all voice-leading levels. Hence, such transferred
forms appear in greatest abundance in the foreground (Schenker Free Composition 87).

perfect fifth (or its compound equivalent), or a major third (or its compound equivalent). The chromatic descent begins with the first eighth note of the second beat: (See Figure Y7)
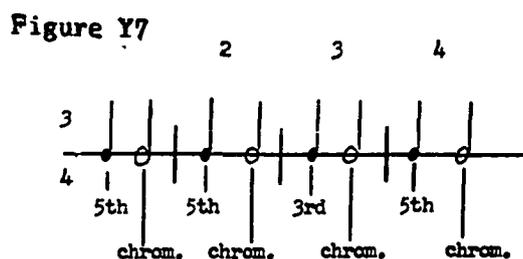
Figure Y7

The above pattern is broken by the G-flat[1] of m. 5 which sounds on the second eighth note of the <u>first</u> beat of the measure: (See Figure Z7)

Figure Z7
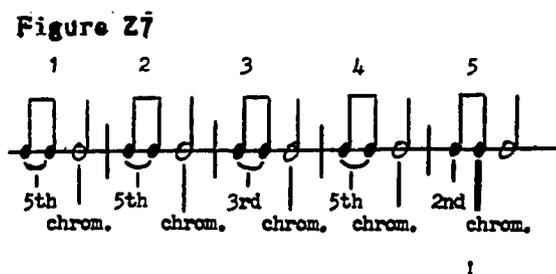
Also, in a piece saturated with chromatic passing tones, the G-flats in mm. 5 and 6 are the only appoggiaturas in the left hand before G-flat Major emerges with the downbeat of m. 17.

Second, the first four measures imply a voice ascending diatonically from f-natural in m. 1: (See Figure A8)

Figure A8

This rising line is broken by the G-flats of m. 5: (See Figure B8)

Figure B8

The line sketched above returns to f-natural in m. 7, intensifying the functional nature of the pitch-class G-flat: (See Figure C8)

Figure C8.
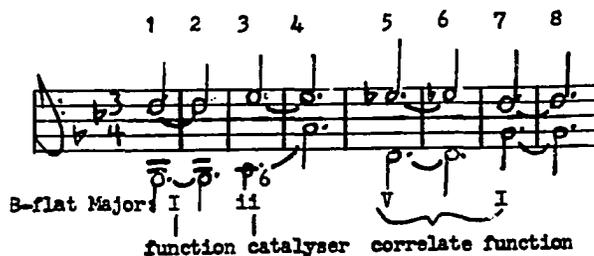
To summarize the points thus far, in addition to a motivic

parallelism between the descending chromatic fragment in the left hand of m. 1 and the fundamental line, we have shown a functional sense of the pitch-class G-flat on three levels: 1) in terms of the appoggiatura G-flat^1 / F-natural^1 in m. 5, 2) in terms of the G-flats of mm. 5 and 6 breaking a two-measure pattern of diatonic ascent from mm. 1-4, and 3) in terms of the transformation of the G-flat Major harmony from mm. 17-32 into a Fr. +6 chord moving to the dominant of B-flat Major in m. 33.

If we understand the B-flat Major from mm. 1-16 as function, the G-flat Major from mm. 17-32 as catalyser, then there are <u>two</u> moments of the articulation of the correlate function of mm. 33-59: 1) the moment in which F-natural is reached as the dominant of the final tonic harmony, and 2) the B-flat Major harmony itself. The first of these moments occurs on the downbeat of m. 33; the second, on the downbeat of m. 45. The above remarks have shown the functional nature of G-flat in terms of the first of the two correlate functions--the powerful F-natural$_2$ on the downbeat of m. 33. But G-flat is related to F-natural in additional ways before the tonic cadence at m. 45. The gestural downbeat of the piece at mm. 39-40 involves: 1) a cross-reference to the rhythm of the opening measure of the piece, 2) a widening of the initial interval of the opening measure, 3) a cross-reference of two-measure phrase structure, and 4) a cross-reference to the G-flat / F-natural opposition. In terms of the first measure we had pointed out that: (See Figure D8)

Figure D8

In terms of a widening of the initial interval of the piece: (See Figure

E8) Figure E8

In terms of a cross-reference of two-measure phrases, mm. 39-40 involve

a two-measure grouping for the first time in the piece since mm. 15-16.

This represents parataxis 4) or cross-referential quoting. In the

following, the exclamation point beneath the large bracket refers to the

two-measure groupings from mm. 1-16; the exclamation point under mm.

39-40 refers to the two-measure grouping cross-referenced to the earlier

instances of two-measure groups: (See Figure F8)

Figure P8

paratazis 4)
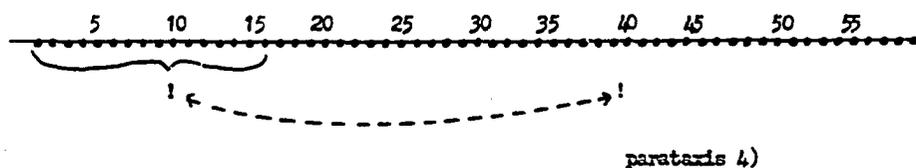
If there had not been a return of a two-measure unit, it would have been possible to hear mm. 1-16 producing a structural gap which is left open by the rest of the piece (the absence of two-measure units, that is, from mm. 17-59). The recurrence of a two-measure unit in mm. 39-40 thus sounds like the filling of a gap in parataxis 2). In the following, the question mark under mm. 1-16 refers to the way in which mm. 17-38 make mm. 1-16 sound like an idea left incomplete. The exclamation point under mm. 39-40 represents the return of the two-measure unit and the filling of the structural gap: (See Figure G8)

Figure G8

parataxis 2)
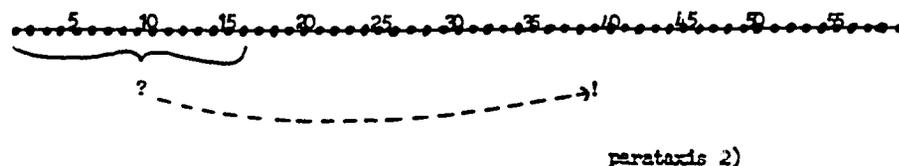
In terms of the G-flat / F-natural opposition, the G-flat / F-natural appoggiatura has become a F-natural / G-flat / F-natural neighbor figure which is reiterated four times: (See Figure H8)

Figure H8

appoggiatura   becomes   neighbor figure

Thus throughout the piece, one can hear pitch-class 6 ascend through an idiosyncratic succession of types of non-chord tones. From the f-sharp passing tone of m. 3, to the G-flat[1] appoggiatura of m. 5 (marked for memory, as shown above), the neighbor tones emerge at the gestural

downbeat of m. 39--the climax of the crescendo which had begun in m.

33: (See Figure I8)

Figure I8

passing tone

appoggiatura

neighbor tone

The register has been expanded one octave in each direction as

well: (See Figure J8)

Figure J8

becomes

What links the above-mentioned reiteration of G-flat / F-natural in

mm. 39-40 with the tonic cadence of m. 45 is an extension of the

descending chromatic segment from: (See Figure K8)

Figure K8

to: (See Figure L8)

Figure L8

The above represents two stages of parataxis 3). First, mm. 13 and 14

unexpectedly extend m. 1; then, mm. 41-44 unexpectedly extend mm.

13-14: (See Figure (M8)

Figure M8
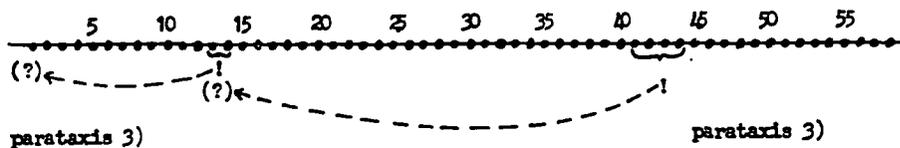
The above remarks have dealt with functional nature of G-flat as it relates to F-natural in terms of the initial, chromatic, descending fragment in m. 1. The remarks below will explore indicial features of this Prelude in terms of G-flat (as a pitch, pitch-class, chord, key area) related to B-flat (as a pitch, pitch-class, chord, key area) in unmediated chromatic opposition. By unmediated chromatic opposition, I mean the juxtaposition of chords (in this case--major chords, a major third apart) which do not necessarily work according to diatonic classifications of tonic, dominant, dominant preparation, tonic substitutes, etc. Such features are indicial since they point away from the diatonic elements of the piece (for example, the I-V-I harmonic frame of a piece of tonal music) toward chromatic juxtaposition. Another way in which indicial relations are created involves cross-reference between an aspect of mm. 1-16 with an aspect of mm. 33-59, with the effect that the G-flat major of mm. 17-32 is defined by omission.

Indicial features of mm. 17-32 are made clearer by aspects of mm. 1-16 and mm. 33-59 which bracket off mm. 17-32 in the following way. To elaborate this point in terms of Barthes' model, despite the fact that catalysers are parenthetically enclosed between a function and its correlate, what makes the catalyser a catalyser is some link between one function and its correlate. The greater the parenthetical isolation of a catalyser from its functions, the greater its indicial nature will be highlighted. To illustrate this point in terms of Figure R7 above, if

instead of drinking a whiskey, we insert something more extreme--say

taking cocaine and writing a hallucinatory poem--between the function of

buying an airline ticket and the correlate function of boarding the plane,

then the indicial features of the catalyser are highlighted--both because

of the extreme nature of the catalyser and the blandness of the

functions. The remarks below will begin with such a consideration in the

Prelude at hand.

Listening to the piece again from the beginning, one can hear a

large-scale expansion of the top part of the wedge idea, the bottom part

of which yielded details of a functional nature. We had mentioned above

that: (See Figure N8)

Figure N8
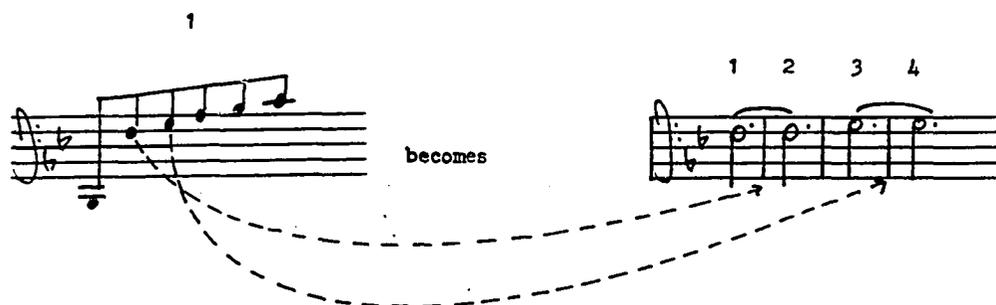
We had pointed out how the process is broken-off by the G-flats of mm.

5 and 6. Measures 33-34 are a clear cross-reference to the beginning,

however, with the doubling of the wedge an octave higher in mm. 33-34,

and the F-natural^2 / D-natural^2 minor third from mm. 33-34 clearly

echoing the initial melodic material of the piece. With the approach to

the gestural downbeat of the piece mentioned above, the ascending

diatonic line is completed: (See Figure O8)

Figure O8

An instance of parataxis 3) also results with the A-natural^2 of m. 37.

We hear back through the piece and hear a gap between the G-natural^2

in m. 7 and the B-flat^2 in m. 9: (See Figure P8)

Figure P8

The above Figure shows how the diatonic ascent begun in mm. 1-16

and completed in mm. 33-59 articulates the indicial nature of mm.

17-32. Figure P8 looks functional in terms of the completion of the

ascending diatonic line from mm. 33-38. But the incomplete ascending

line (mm. 1-9) skips over and defines by omission the G-flat Major

harmony of mm. 17-32 before completing itself in mm. 33-38.

Several other aspects of the music reinforce the indicial quality of mm. 17-32 through an opposition of G-flat (as pitch, pitch-class, chord, key) and B-flat (as pitch, pitch-class, chord, key). The low G-flat$_2$ on the downbeat of m. 17 creates a large-scale descending major third from m. 1: (See Figure Q8)

Figure Q8
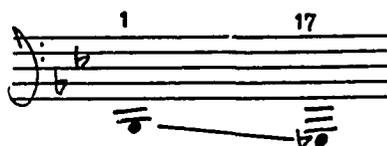
Figure Q8 presents an indicial opposition of B-flat$_2$ with G-flat$_2$. And even if the major third had been filled in by step (as in the hypothetical line B-flat$_2$ / A-natural$_2$ / G-natural$_2$ / G-flat$_2$), there is still indicial opposition since G-flat$_2$ is the goal of a motion by step or leap from B-flat$_2$.

Also, the G-flat major harmony of mm. 17-32 is also presented in a very different way than the B-flat Major harmony of mm. 1-16. A harmonic reduction of mm. 1-16 yields a 16 measure period in which each phrase begins and closes on tonic; the harmonic rhythm is one change of harmony per two measures: (See Figure R8)

Figure A8

Measures 17-32 match the 8 + 8 structure of mm. 1-16; but while each eight measure phrase of mm. 1-16 begins and ends with tonic, mm. 17-32 present two eight-measure phrases which assert static sonorities, on the one hand, and imply a progression which is left open with the Fr. +6 chord of m. 32: (See Figure S8)

Figure S8

The progression in mm. 17-32 points to, but never reaches, the triad C-flat Major.

The B-flat$_2$ / G-flat$_2$ major third pointed out above between the bass of m. 1 and the bass of m. 17 is reinforced in the upper voice as well. The first phrase of the piece begins and ends with the minor third F-natural^2 / D-natural^2, as shown in the following: (See Figure T8)

Figure T8.

But a closer hearing of this phrase reveals two additional F-natural^2 / D-natural^2 motions. In the following, the pitch content of the right hand of mm. 1-8 is given with F-natural^{2}s given stems and slurred to D-natural^{2}s: (See Figure U8)

Figure U8

The F-natural^2 / D-natural^2 minor third is then transposed up a fourth in mm. 9-11: (See Figure V8)
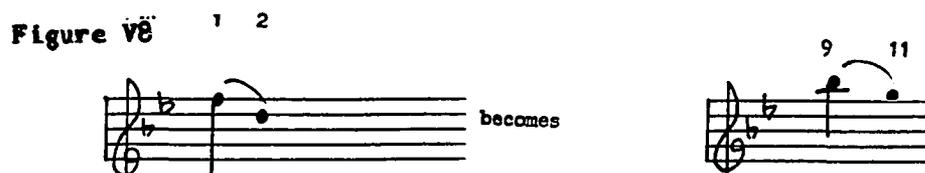
Figure V8

The B-flat^2 / G-natural^2 of mm. 9-11 then becomes B-flat^2 / G-flat^2 in mm. 17-18: (See Figure W8)

Figure W8
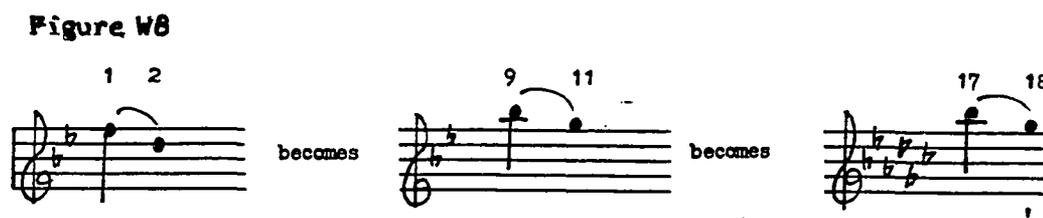
Thus it is not only that the G-flat harmony of mm. 17-32 is in chromatic opposition to the B-flat of mm. 1-16, and that the B-flat^2 of m. 1 is opposed to the low G-flat$_2$ of m. 17, but the prominent melodic minor third which opens and closes the initial melodic material is changed to the major third which saturates the right hand from mm. 17-32: (See Figure X8)

Figure X8

We can now hear: (See Figure Y8)

Figure Y8

being opposed to: (See Figure Z8)

Figure Z8

The reader is reminded that although Figure Y8 and Z8 look functional in their illustration of a linear sequence of expanding intervals, the

presentation of G-flat^2 in mm. 17-32 is indicial since the goal of the expansion of the minor thirds from mm. 1-11 is the major third B-flat^2 / G-flat^2 from mm. 17-32.

Several details reinforce the indicial opposition of mm. 17-32 to mm. 1-16. The pattern of pedal markings in mm. 1-16 has reinforced the sense of two downbeats to each measure shown in Figure D8 above. As opposed to this regular pattern, mm. 17-32 present two measures of pedal followed by six measures of pedal, followed by eight measures with no pedal. After an absence of specific dynamic markings in the piece, mm. 17-24 are marked forte; mm. 25-32 are marked pianissimo. The wedge accompaniment of mm. 1-16 disappears, and mm. 17-32 are marked by a metrical disjunction between right and left hand. In the following, the numbers above the staff refer to actual measure numbers; the meter of the right hand is as written in the music; the eighth notes below suggest the implied 2/4 in the left hand:[109] (See Figure A9)

---

[109]Leichtentritt hears the superimposition of 3/4 and 2/4 from mm. 17-32, as well. See Leichtentritt 169.

Figure A9.
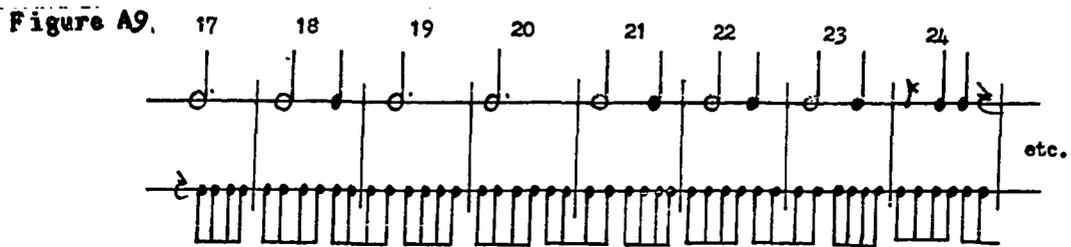
Even though no 2/4 meter emerges later in the piece, I hear a metrical / rhythmic cross-reference between mm. 39-40 and the above-mentioned 2/4 from mm. 17-25. In the following, the exclamation point under mm. 17-25 refers to the sense of two downbeats per measure; the exclamation point under mm. 39-40 refers to the cross-reference of two downbeats per measure: (See Figure B9)

Figure B9
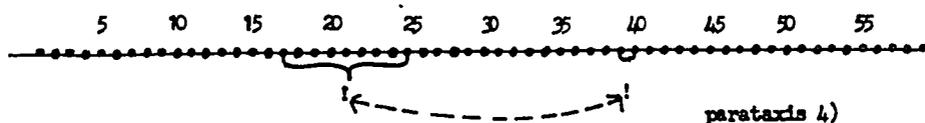
A careful hearing of the left hand from mm. 17-32 reveals a less stable meter than the above-mentioned 2/4 might suggest. From the upbeat to

the second beat of m. 17 through the second beat of m. 24, a

symmetrical pattern of five eighth notes overlaps itself continuously, with

the fifth note of each group being the first of the next: (See Figure C9)

Figure C9

The overlapping in Figure C9 emphasizes the second eighth note of mm.

17-32. Thus a cross-reference is made to m. 5, in which the pitch-class

G-flat was marked for memory by occuring on the second eighth note of

the measure.

If mm. 33-59 take an aspect of the indicial opposition of B-flat (as

pitch, pitch-class, chord, key) to G-flat (as pitch, pitch-class, chord, key)

and relate G-flat to F-natural, then we can speak of the transformation

of an indicial, to a functional, phenomenon. We have shown in Figures

Y8 and Z8 how measures 17-32 are indicial to the rest of the piece in

terms of the transformation of the minor third F-natural^2 / D-natural^2

to the major third B-flat^2 / G-flat^2. This indicial opposition is left in

effect due to the fact that there is no obvious melodic falling third

(major or minor) in the top voice from mm. 33-59. The embedded 2/4

meter in the bass from mm. 17-24, and the overlapping five-note symmetrical pattern reinforce the indicial nature of the G-flat Major section as well, since these patterns do not recur from mm. 33-59.

What further strengthens the indicial relation between the B-flat Major of mm. 1-16 and the G-flat Major of mm. 17-32 is the presence, in each section, of an 8 + 8 measure phrase structure; there is no melodic top voice of a similar, lyrical quality in mm. 33-59. In the following, the slurs below the time line refer to the number of measures of the melodic phrases of the section in B-flat Major, and G-flat Major, respectively: (See Figure D9)

Figure D9

We had mentioned that the G-flat$_2$ in m. 17 is opposed to the initial B-flat$_2$ of the piece. But with the F-natural$_2$ of m. 39 the indicial presentation of G-flat$_2$ shown in Figure W8 is denied. We now have a functional presentation spanning the entire piece in the bass:[110] (See Figure E9)

---

[110]The facsimile shows that Chopin had at first written the F-natural in m. 33 in the bass an octave higher but scratched it out in favor of the low F-natural$_2$.

Figure E9

The following shows how evenly the pitches of the above figure are spaced throughout the piece: (See Figure F9)

Figure F9
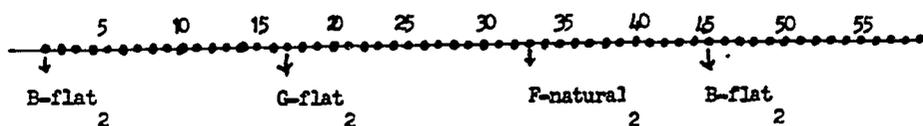
Figure E9 suggests that in terms of pitch content alone, G-flat is a catalyser to the function B-flat (m. 1) and its correlate function F-natural (m. 33) and B-flat (m. 45). Figure F9, on the other hand, suggests that in terms of both duration and pitch content G-flat is as present in the piece as F-natural, and is therefore juxtaposed as an index to B-flat. Thus, the greater the duration of a catalyser, the more

it will suggest an index.[111]

We have pointed out how the indicial nature of mm. 17-32 is enhanced by the filling in of the gap between the G-natural^2 of m. 7 and the B-flat^2 of m. 9, with the diatonic ascent from F-natural^2 in m. 33 to the B-flat^2 of m. 38. This stepwise ascent from F-natural to B-flat is also present in the bass. I hear: (See Figure G9)

Figure G9

in mm. 50-51 and mm. 52-53 refer back to and complete the F-natural / B-flat fourth from m. 33 to m. 45. Thus: (See Figure H9)

---

[111]This point about Figure F9 qualifies the definition of functional and indicial presentation upon which the previous analytic details have been based. I have proposed that pitch relations alone govern functional and indicial relations. Any movement by step, leap, cross-reference, drawing attention from B-flat to G-flat was heard as indicial; any movement drawing attention from G-flat to F-natural was heard as functional. Duration or gesture can also add an indicial aspect to a functional presentation of G-flat-- in Figure F9, however. Simply by lasting a long time, the G-flat major harmony in mm. 17-24 can be said to be in indicial opposition to the B-flat Major of mm. 1-16, even though it makes syntactic sense that the G-flat^2 of m. 18 be understood as an upper neighbor to the 5 of the fundamental line in a Schenkerian graph.

Figure H9

is filled in by:

The G-natural / A-natural / B-flat idea referred to above also echoes motions of minor thirds found in mm. 13-16, and all but one of the following circled minor thirds involve the pitch-classes G-natural / A-natural / B-flat: (See Figure I9)

Figure I9

The saturation of mm. 13-16 with minor thirds strengthens the juxtaposition of the minor thirds of mm. 1-16 and the major thirds of mm. 17-32.

Texture, however, works functionally in the piece by explicitly linking the G-flat of mm. 17-32 with the final cadence. Measures 1-16

involve a four voice texture--three voices in the bass accompanying one melodic top voice. For mm. 17-32 two voices are added, and the balance shifts to a more symphonic texture, with three voices in the left hand and three in the right. A six voice texture returns only with the final cadence, so that:[112] (See Figure J9)

Figure J9.

In terms of parataxis, one could hear the six-voice texture of mm. 17-32 cross-referenced to the six-voice texture of the final cadence. In the following, this parataxis 4) is represented by the exclamation point a) representing the texture of mm. 17-32; exclamation point b) represents the six-voice texture of the final cadence: (See Figure K9)

---

[112]The reader is reminded of the way in which Joseph Kerman showed how cross-reference of texture can work in a coda. See "Some Notes on Beethoven's Codas" 149.

Figure K9

(a) (b)

parataxis 4)
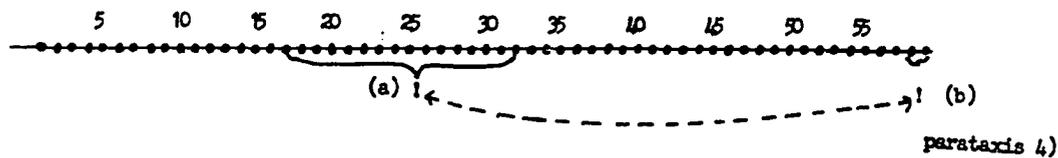
And yet if the six-voice texture had not returned for the final cadence, I would have heard something missing in the piece, as if a parameter had been opened once and not closed. Thus I hear the six-voice texture of the final cadence as an instance of parataxis 2). A textural, structural gap occurs when a texture appears once; the gap is closed when the texture recurs: (See Figure L9)

.Figure L9

? textural structural gap

parataxis 2)
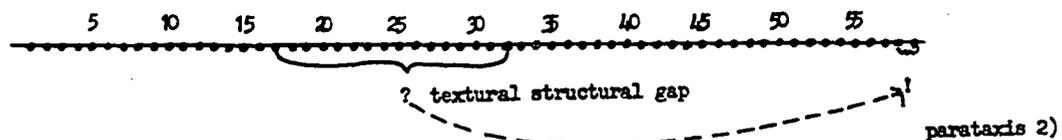
It is evident from the above analyses that the G-flat Major of mm. 17-32 works on both a functional level as catalyser between the B-flat Major of mm. 1-16 and mm. 33-59 and as an index in its juxtaposition to the B-flat of mm. 1-16. The discussion will now turn to a direct treatment of the relationship between the indicial implications of mm.

17-32 and the voice-leading aspects of Schenkerian theory. In short, the remaining remarks will address the issue of the compatibility of Schenkerian theory and chromaticism in this Prelude.

4.2.2 Schenkerian Theory, Chromaticism, and the Prelude #21 in B-flat Major

In his book Wagner's Siegfried, McCreless writes of four kinds of tonality used in the nineteeth century, aspects of which inform The Ring to various degrees: 1) classical tonality (as defined in Schenker's works), 2) associative tonality (relating one of the twelve chromatic keys to a person, object, place, state of mind), 3) expressive tonality (ascending or descending tonal motion of whole or half step to represent a change in emotional intensity), and 4) directional tonality (moving from one tonal center to another in a non-traditional fashion) (88-95). The functional and indicial relations of keys in the Prelude at hand would seem to combine classical and directional tonality, respectively, but it is McCreless' notions of the relationship between Schenkerian voice-leading techniques and chromatic harmony which has influenced this study the most. McCreless proposes that linear voice-leading works at surface and middleground levels in The Ring in sections which clearly prolong one key. At a background level, the relations among keys are primarily associative, but are also directional and expressive (94-104). I follow McCreless' lead in terms of the proposal that non-Schenkerian principles

can inform the language of a tonal piece of music which is characterized by chromatic tonicization.

As long as chromaticism is a feature of the foreground of a piece, there is no problem in terms of the relationship between chromaticism and Schenkerian theory. As one progresses to the background, chromatic tones vanish, along with diatonic passing tones (except those belonging to the fundamental line), neighbor tones, appoggiaturas, and escape tones. If one were to posit a chromatic element as part of a fundamental structure, on the other hand, the problem would arise as to the difference between structural and non-structural tones on the surface and background levels. In the Prelude #21, I hear G-flat as so prominent (its indicial assertion), that I propose the following modification of Schenkerian theory for this piece. Let the following represent a provisional chromatic background structure. We will modify the sketch considerably below: (See Figure M9)

Figure M9

B-flat
Major: I   bVI   I

The relationship between a traditional, Schenkerian fundamental

structure and the higher levels of a piece involve synchronic, organic unity. Thus a <u>chromatic</u> background must be characterized by a threshold beyond which voice-leading principles no longer apply. In this piece, I hear a very sharp conceptual break between the initial B-flat Major chord of our provisional chromatic fundamental structure, and the G-flat Major chord which follows it; I hear a less sharp break between this G-flat Major chord and the final B-flat Major chord. In the following, the sharp break is represented by the solid line; the weak break, by the dotted line: (See Figure N9)

Figure N9

B-flat
Major: I   bVI   I

Each of the above chords is composed-out into sections of the piece, within which traditional Schenkerian principles obtain, with chromatic tones subservient to diatonic tones. By chromatic tones, I mean that from mm. 1-16 and mm. 33-59 B-flat major is tonic, and all notes not found in the B-flat major scale are chromatic. From mm. 17-32, G-flat Major is tonic, and notes not found in the G-flat Major scale are chromatic. Thus in terms of a chromatic background, the

pitch-class G-flat is chromatic in mm. 1-16 and mm. 33-59, and will be composed-out toward the background sketches of mm. 1-16 and mm. 33-59. Pitch-class G-flat is <u>diatonic</u>, however, in mm. 17-32, and is an element of the background of those measures. The following shows the absence of voice-leading between the three background chords of the Prelude at hand through the x-ed out slurs. The chords lead to one another through the left-to-right diachrony of musical time, but they exhibit chromatic opposition and not voice-leading (thus the x's): (See Figure O9)[113]

Figure O9

B-flat
Major: I   bVI   I

Within each of the three areas outlined above, the intervals at the

---

[113]While Rosen does not speak of the backgound in such a technical fashion, he prefigures the essence of Figure O9 in the following: "There are phrases by Beethoven, particularly in the <u>Diabelli</u> Variations and in the late quartets, which display a chromaticism as radical as anything outside Gesualdo, but they all imply a firm diatonic structure as a background. With Chopin, it is the background that shifts chromatically as well" (<u>The Classical Style</u> 454).

top of each chord are composed-out into the fundamental line of each

section. Thus: (See Figure P9)

Figure P9

becomes

The figure to the right above then becomes: (See Figure Q9)

Figure Q9

Accordingly: (See Figure R9)

Figure R9

17-32

becomes

17 23 24

The figure to the right above then becomes: (See Figure S9)

Figure S9

And: (See Figure T9)

Figure T9

The figure to the right above becomes: (See Figure U9)

Figure V9

The above remarks suggest how voice-leading procedures generate the surface of the Prelude #21 in B-flat Major in three separate sections, each juxtaposed in chromatic opposition. In terms of the chromatic background sketch of the piece shown below, the above remarks have emphasized the x's of the slurs connecting the three chords with one another: (See Figure V9)

Figure W9

B-flat   G-flat   B-flat
Major   Major   Major

Accordingly, the slurs in the above figure refer to functionality; the x's over the slurs, refer to indicial juxtaposition. X-ed out slurs are preferable to represent functional **and** indicial qualities since **no** connection between chords would imply functionality due to the habitual left-to-right reading / hearing / playing patterns of our experience.

The above remarks have shown how the three sections of the Prelude at hand have each been generated by a single chord of a chromatic background structure. The first chord of the sketch above generates mm. 1-16; the next, mm. 17-32; the next, mm. 33-59. Such an account depends upon breaks in the syntax between mm. 16 and 17, and between mm. 32 and 33. The former emphasizes the indicial opposition between B-flat Major and G-flat Major; the latter emphasizes the functional relation of G-flat to B-flat (via F-natural).

I would like to propose, however, that what links the three sections of the Prelude #21 in B-flat Major with one another is paratactic cross-reference. On the one hand: (See Figure W9)

Figure W9

On the other hand, cross-referential features provide the most coherent structure of the piece. I hear a single large-scale melodic descent span the music from the F-natural[2] of m. 1 to the B-flat of m. 59: (See Figure X9)

Figure X9

The descending line above can be heard as a large-scale composing-out of the initial leap in m. 1 in the bass: (See Figure Y9)

Figure Y9

I hear the expansion of: (See Figure Z9)

Figure Z9

into

as an example of parataxis 3). In the following, the question mark under mm. 1-16 represents the way in which mm. 17-24 unexpectedly extend the descending line: (See Figure A10)

Figure A10

parataxis 3)

As soon as F-natural follows the G-flat to the right in Figure B10, I hear a structural gap from F-natural[1] to b-flat, and the rest of the piece fills the gap in parataxis 2). In the following, the notes in quotation marks suggest the expected continued descent of the line: (See Figure B10)

Figure B10

In the following, the question mark under m. 33 refers to the structural gap which is opened between F-natural[1] and b-flat; the exclamation point under m. 59 shows the filling of the gap at the end of the piece: (See Figure C10)

Figure C10

parataxis 2)

The Prelude at hand is connected to the Prelude #22 in G Minor which follows, by means of a continuation of the above-described

descent. Thus: (See Figure D10)[114]

Figure D 10

Prelude #21 in B-flat Major

becomes

Prelude #21 in
B-flat Major

Prelude #22 in
G Minor

The following sketch summarizes cross-referential and chromatic background features of the piece: (See Figure E10)

---

[114]Precedents for hearing a single melodic line span two short pieces can be found in Edward T. Cone's "Beethoven's Experiments in Composition: the Late Bagatelles" (87), and Charles Smith "On Hearing the Chopin Preludes as a Coherent Set". Smith implicitly confirms the remarks above. He states that the B-flat at the end of the Prelude #21 in B-flat is $\hat{1}$, and that the B-flat at the beginning of the Prelude #22 is $\hat{3}$. See Smith (12).

Figure F10

parataxis 3)

Before concluding this section of this study, a few points must be mentioned. With the absence of a fundamental line in the top voice of the chromatic background sketch, the question arises whether 1) a fundamental upper or lower neighbor tone, or a fundamental common tone might be heard in the top voice, and 2) whether rules of voice-leading apply among the chords of the chromatic background sketch. Accordingly, the analytical remarks must be re-examined to see whether: (See Figure F10)

Figure F10
1-16

Also, we must see whether: (See Figure G10)

Figure G10
17-32

And, accordingly, whether: (See Figure H10)

Figure H10

I hear the most prominent note from mm. 1-16 as B-flat^2 despite the prominent F-natural^2 as $\hat{5}$ of the fundamental line. For mm. 17-32, I hear a prominent B-flat^2, and for mm. 33-59, B-flat^2, as well. These B-flat^{2}s relate to one another in parataxis 4): (See Figure I10)[115]

---

[115]If the chromatic background sketch had sounded like: (See Figure J10)

Figure J10

it would have been a mistake to speak of parallel motion at the background level. *Parallel motion works in functional, not indicial relations.*

Figure 116

parataxis 4)
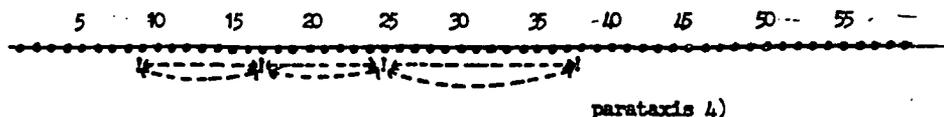
4.3 Concluding Remarks

4.3.1 Function and Index in the Prelude #21 in B-flat Major

One could conclude these analyses by collecting all of the functional elements together and contrasting them to all of the indicial elements. One would point to the traditional Schenkerian interpretation of G-flat (mm. 17-32) as the upper neighbor to $\hat{5}$, to the fundamental line as reflected in the initial measure of the piece in the bass, to the anticipation of the role of G-flat in the piece in m. 5. One could show the indicial opposition of G-flat to B-flat through the shift of minor thirds in mm. 1-16 to the major third B-flat^2 / G-flat^2 in m. 17, through the way in which the G-flat$_2$ of m. 17 opens up the space of a major third in the bass from the initial B-flat$_2$ of m. 1, through the chromatic background sketches. But it would be more productive to relate these two ways of hearing the Prelude at hand to one another.

I assert that <u>all</u> of the above-mentioned points can be brought together by Barthes' model because first, the Prelude #21 in B-flat Major works quite well in terms of traditional voice-leading considerations <u>and</u> in terms of a chromatic opposition of B-flat Major and G-flat Major. Second, Barthes' model provides a unique way of understanding literary, and I believe, musical narrative in terms of both function and index. The usefulness of Barthes' apparently simple model lies in the fact that it allows us to analyze one event doing different things on different levels at the same time. Drinking whiskey in an airport lounge (catalyser) separates buying a ticket (function) from boarding an airplane (correlate function) and at the same time can work to suggest an atmosphere of reflection (index). So, too, the G-flat Major of mm. 17-32 (catalyser) separates the initial B-flat Major of mm. 1-16 (function) from its reappearance in mm. 33-59 (correlate function) and works as an index suggesting opposition between B-flat Major and G-flat Major in a chromatic background structure.

4.3.2 Function, Index, and Semiotics

The above-mentioned points will now be discussed in terms of semiotics. G-flat is functional if it is part of a series of overlapping signs as follows:[116] (See Figure K10)

---

[116]For the rest of this chapter, G-flat and B-flat are understood as possibly representing pitches, pitch-classes, chords, keys; all illustrations from a hypothetical piece of music in B-flat Major will deal with the pitches B-flat[1] and G-flat[1].

Figure K10

(a) signifier--------signified
(b) signifier------signified
(c) signifier-----signified
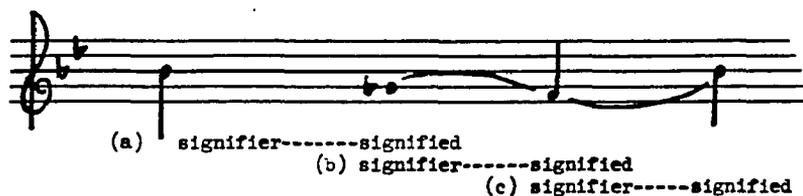
In the figure above, both G-flat and F-natural have double roles; they work as signifieds which become signifiers on another level. G-flat is indicial if it works as follows: (See Figure L10)

Figure L10

(d) signifier------------signified
(e) signifier------------signified

Figure K10 suggests that signs (a), (b), and (c) work on different levels, that on a background level, sign (b) would not be present.[117] Figure L10 suggests, however, that signs (d) and (e) are operative on the same level and mirror each other as shown below: (See Figure M10)

---

[117]Here semiotic issues mesh with principles of Schenkerian voice-leading.

Figure M10

(d) signifier--------signified/signifier------signified (e)

Chapter 5

Conclusions

In her "Preface" to <u>Of Grammatology</u>, Gayatri Spivak discusses the contradictions involved in the writing of introductory material to a literary-critical text which calls into question the teleological implications of writing itself (ix-xiii). It is similarly contradictory to write concluding remarks to a study which has aimed at plurality of signifieds and a critique of teleological inquiry. Nevertheless, the process of writing the above analyses has resulted in a shift in the critical discourse in terms of the pairs of ideas proposed in Chapter #1. This shift, in turn, has produced a possibility of conclusion. We had left the pairs of terms as follows:

A	B
scientific realism	constructive empiricism
science	system
structutralism	post-structuralism
engineer	bricoleur
language	speech

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synchrony	diachrony
organic metaphor	constructed metaphor
dualistic opposition	dialectic opposition
a signified	signifieds
total history	general history
readerly text	writerly text
hypotaxis	parataxis

In addition to allowing for a flexible discussion of the issues at hand, the columns above were formulated as a desire to proceed with analyses from a certain point of view. I emphasized terms from column B, as discussed in Chapter #1 to give as much clarity as possible to the contours of the work of music. This priority required a plurality of analytic tools (codes) which drew attention away from a unitary syntax to the piece itself. But the process of applying concepts, techniques derived from terms in column B has blurred the clear opposition between pairs of terms from the two columns. What has happened is that terms from column B have been drawn closer toward their counterparts in column A. This sliding motion is represented by the arrows in the following:

scientific realism	←	constructive empiricism
science	←	system

structuralism ← post-structuralism

engineer ← bricoleur

language ← speech

synchrony ← diachrony

organic ← constructed
metaphor   metaphor

dualistic ← dialectic
opposition   opposition

signified ← signifieds

total ← general
history   history

readerly text ← writerly text

hypotaxis ← parataxis

The reason for this shift is that there is a kind of gravity which pulls terms from column B toward those from column A. In order to maintain a critical discourse based on terms to the right (from B) one must frequently alter the configuration of analytic tools, re-define, re-name terms, and adjust the scope of the inquiry. I shall now trace this idea through the pairs of terms, having re-arranged them into groups. The pairs are now hyphenated to show how each term to the right has drifted to the left in the course of the above analyses. The first group concerns the nature of analytic inquiry:

scientific realism-constructive empiricism

science-system

structuralism-post-structuralism

engineer-bricoleur

total history-general history

readerly text-writerly text

A constructive empiricist tends to become a scientific realist when the notion of empirical adequacy remains unchanged and is extended to several projects. What begins as analysis from concrete details becomes abstract and speculative when similar tools are applied to a wide variety of different problems.[118] Similarly, writerly texts tend to become readerly texts.[119] For example, if one passively re-read S/Z again and again in order to memorize Barthes' codes and how they are used, one would transform a writerly text into a readerly text.

The ideas dealing with the work of art as text are given below:

language-speech

synchrony-diachrony

a signified-signifieds

Just as a system tends to become a science with the consistent application of a limited number of tools to different problems, so, too,

---

[118]Foucault attempts to avoid this meta-theoretical sliding, I think, by constantly circling around main ideas in his Archaeology of Knowledge and by re-defining and re-naming terms.

[119]The reader is reminded that the word text here has nothing necessarily to do with a work of art; readerly and writerly texts involve interactions of work and reader / listener / critic in certain ways.

an emphasis on different texts (speech acts) tends to reveal underlying syntax (language) when analytic devices produce similar results from piece to piece. Also, this language is more synchronic than the diachronic nature of the pieces themselves, and syntax itself represents an ultimate signified. For example, many of the analytic points in the above analyses depend on the idea (from Meyer, Narmour) that patterns are often broken by details of a piece of music. While the very notion of implied patterns beneath the text suggests language, I do not believe that the patterns underlying many of the analyses above could be synthesized to form a transcendental syntax as comprehensive as the pitch relations of Schenkerian voice-leading techniques. The patterns do, however, suggest that a plural, fragmentary language underlies the Preludes of Chopin, which enables details to be marked for memory and cross-referenced with one another. Such cross-references could be formulated as a language; I shall designate such a language a semiotic theory of musical perception. It would begin by synthesizing the paratactic codes as follows.

The cross-referential codes would be divided into two groups: 1) the vertical, and 2) the horizontal. Vertical cross-reference would include double roles; a signified would become a signifier on another level. Figure Q10 from the previous chapter can be used as an illustration; it can be represented by the configuration below:

parataxis 2): signifier---signified

parataxis 2): signifier---signified

Vertical signs could be combined into longer chains; each chain would end either with a final signified, or a denial of a signified. Vertical signs involve a correspondence between cross-reference and harmony.

Horizontal cross-reference would involve binary codes (parataxis 1), parataxis 2), parataxis 3), and parataxis 4)) and plural codes (the drama of deferral, parataxis 5)). The binary codes are given below:

parataxis 1):   signifier   ~~signified~~

parataxis 2):   signifier   signified

parataxis 3):   signified   signifier

parataxis 4):   signifier   signifier
               signified   signified

As opposed to the harmonic nature of the vertical codes, the horizontal codes of cross reference involve <u>one level</u>. While the plural codes have no fixed number, the drama of deferral represented by Figure L2 of Chapter #2 and examples of parataxis 5) can be used as illustrations.

This semiotic theory of musical perception could be extended to take into account how cross-reference works with each parameter of music. All the cross-referential features of the chapters above have dealt with signifiers which point to signifieds of the same class--for example, pitches (present or absent) pointing to pitches (present or absent), or a texture pointing to a texture. It has been a basic assumption, further,

that all gaps <u>can</u> be filled in the same parameter in which they were opened. This is not always the case, however. In the coda of the Prelude #17 in A-flat Major, a pattern of accented A-flat$_2$s is established at m. 65 and broken at m. 83 with <u>no</u> A-flat$_2$ on the downbeat of the measure. This missing pitch can be furnished, but the pattern of accented downbeats on every other measure begun in m. 65 will remain broken no matter what happens after m. 83. Accordingly, this denial of A-flat$_2$ in m. 83 draws our attention from metrical pulse to pitch relations. Measures 79-82 involve a cross-reference to the E Major sonority of mm. 24-27. And it is with the missing A-flat$_2$ of m. 83 that Chopin cuts off the cross-reference.

A semiotic theory could also be extended to include, and arrange in a hierarchy, the gestural downbeat, harmony and phrasing, and Schenkerian voice-leading codes.[120]

I shall close by considering the two remaining pairs of terms:

organic metaphor-constructed metaphor

hypotaxis-parataxis

The sliding effect discussed above does not obtain to the organic-constructed metaphor. On the one hand, the use of organic metaphors can be linked to the emergence of the natural sciences in the nineteenth

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[120]It is understood that the above remarks on on tonal music, and tonal music theory alone. One could imagine, however, a theory in which cross-referential features, set-theoretical considerations, and pitch specificity were considered codes which would be arranged in a hierarchy for atonal music.

century and has a historical and not methodological basis. On the other hand, a semiotic theory of musical perception and its extension to other areas arranged in a hierarchy would be at least as constructed as the analytic remarks of preceding chapters.

Finally, the juxtaposition of events marked for memory across the linear time of a piece would remain just as paratactic no matter how many times it was pointed out. On a broader scale, however, a semiotic theory of musical perception would inform parataxis with a hypotactic quality in the very process of formulating a rigorous set of vertical and horizontal, binary and plural codes for cross-reference.

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