Beyond Hollywood: A Multidimensional Examination of Erich Wolfgang Korngold's Violin Concerto in D Major

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Statement of Originality

I, Vanessa Tammetta, declare that to the best of my knowledge, the intellectual content of this thesis is my own work, and that all the assistance received in preparing this thesis and sources have been acknowledged. This thesis has not been submitted for any degree or other purposes.

Signature: ………………………………

Date: …………30.6.21…………………………

Abstract

This thesis initiates musicological discussion regarding the Concerto in D Major for Violin and Orchestra, Op. 35 (1945), by Erich Wolfgang Korngold. Though most famously known outside of Continental Europe as a film composer in the golden age of Hollywood film scoring (1930s–40s), the last few decades have seen many of Korngold's concert works increasingly being performed and recorded, a resurgence that is also mirrored by growing scholarly interest in those concert works and Korngold's cultural and historical context more generally. The Violin Concerto, however, has received scant attention despite its status as the most popular of his works with violinists and audiences alike.

In undertaking this musicological investigation, this thesis also has the dual aim of establishing a methodology of analysis and discussion that more accurately reflects the multifaceted concerns of music performers. Much discussion of music performance has arisen since the 'performative turn' affected the discipline of musicology in the 1990s, with the last decade in particular seeing an increase in 'performer-analysts' contributing written research to the field. This development has stimulated methodological innovation, while also demonstrating that flexibility is needed to continue to strive for meaningful research.

By basing this methodology on phenomenological principles, initially devised by Edmund Husserl and later developed by music academics such as Lawrence Ferrara and philosopher Bruce Ellis Benson, the analysis is a synthesis of phenomenological, conventional and hermeneutic discourse. This facilitates a multidimensional discourse that considers formalistic features, historical and cultural significance both in the past and present, and interpretive and aesthetic observations, to lead to a greater understanding and appreciation of the Concerto.

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I would very much like to thank my supervisor, Associate Professor Goetz Richter, for the philosophical discussions, invaluable guidance, and unwavering support throughout the preparation of this dissertation. Many thanks are also due to my violin teacher Janet Davies for her endless encouragement and singular expertise. I have been so fortunate to complete my studies, both undergraduate and postgraduate, at the Sydney Conservatorium of Music, and have benefitted from the enthusiasm, knowledge and generosity of the academic staff there. Dr Rachel Campbell, Dr David Larkin, and Dr Michael Webb deserve special note for their coursework subjects, which opened up the world of research and scholarly thought to me, as well as their invaluable contributions to the initial forming of this project. I would also like to thank Associate Professor Helen Mitchell and Associate Professor Kathleen Nelson for their understanding and support while I navigated having an injury during my studies.

I would also like to acknowledge Kathrin Korngold Hubbard who, as manager of the Korngold estate, very graciously granted me permission to access materials from the Library of Congress in the early stages of my research. The Library of Congress staff also deserve a mention, particularly Dr Paul Allen Sommerfeld, for helping me identify potentially useful documents for this project, and providing them to me digitally.

Finally, I would like to thank my friends and family, particularly my parents, for their endless patience, encouragement, and resolute belief in both myself and this project. To David, *mo chroí, go raibh míle maith agat as gach rud*.

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Preface

The philosophical position I have adopted in this dissertation comes as a direct result of my experiences as a professional violinist, returning to university as a research Masters student. Initially enrolled in a Master of Music in Performance, it quickly became apparent that examples of musicological writing that reflected processes involved with the preparation and performance of standard repertoire pieces were hard to come by. Many methodologies, while turning up interesting information, either did not apply to the type of performance I engaged with, or seemed to be isolated from performing concerns altogether. It was also my experience that while musicologists are generally open to discourse about performance, an understanding of exactly how to approach this and determine what is relevant has still to be established.

Initially devised as a shorter dissertation to accompany creative work that I had conceived as a recital, my research was focussed on investigating Korngold's Violin Concerto. While some performers use traditional analytical tools to inform their performances, others use different methods that remain largely unexplored in scholarship. As such I set out to synthesise a methodology that might better reflect these other procedures.

After developing and struggling with a shoulder injury during my candidature, it became apparent that undertaking a creative work would not be possible in a timely fashion, and a transfer to the Master of Musicology program ensued. This transfer, however, was not just a pragmatic move to tick administrative boxes and graduate, but rather allowed me more room to explore the development of a methodology, and grapple with the various considerations that have led to the current state of performance in relation to musicology, as well as current trends within performance research.

I believe there is great value in attempting to express verbally processes that otherwise have remained opaque to the discipline of musicology, since I am convinced that the barrier between musicology and performance is unnecessarily inflexible. It is true that the ineffability of music renders it difficult to talk about, but much is to be gained in attempting it. Writing will never replace performing, but that is not its aim. We all undertake some kind of musical *doing*, after all, and the passion that it sparked led to our becoming music professionals in our respective capacities. Rather, writing gives us the means to try to understand one another, and broaden our narrowly focused horizons. Pragmatically speaking, performers articulating their thoughts and processes in writing, the medium of musicology, provides a useful interface by which we can explore new possibilities; how musicologists can better understand performers, and how performers can draw from musicologists. This can only lead to a more unified, well-rounded musical discourse, which in the end is all in celebration of the incalculable meaning and joy that music brings to each and every one of us.

Introduction

> …the genuine artist creates at a distance from his own time, even for a time beyond. The true creative artist does not wish to re-create for his fellow man the headlines screaming of atom bombs, murder, and sensationalism found in the daily paper. Rather for his fellow man, he will know how to take and uplift him into the purer realm of phantasy.[1]

Erich Wolfgang Korngold expressed this sentiment in a forward to the book *Faith In Music* by Ulric Devaré. Written in October 1955, just two years before Korngold's death, this passage encapsulates an artistic philosophy to which the composer remained steadfastly committed for his entire career, from the dizzying heights of success in youth, to the downward spiral of political and critical censure that marred his later life. Famously lauded in fin-de-siècle Vienna as a child prodigy, his forced exile to the United States in the wake of World War II and subsequent film music exploits led to increasing animosity from European and modernist critics. By the 1950s his works were falling into critical and scholarly neglect, deemed the output of an outdated twentieth-century late-Romantic who never fulfilled his immense potential.

This narrative is well-known today to concert-goers, musicians and scholars alike, due in large part to a revival of Korngold's works in performance which started in the 1970s. Sparked by a new-found appreciation of his film scores, both recorded and performed live, this revival continued to gather steam in the 1980s and 1990s, with increasing inclusion of his concert works in both mediums. This has introduced new audiences to a plethora of compositions including the opera *Die tote Stadt* (1920), the Violin Concerto in D Major (1945), and the Symphony in F# Major (1952). Of all his works the Violin Concerto in D Major (1945) has undergone the most significant resurgence in concert halls and recording

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[1] Erich Wolfgang Korngold, "Faith in Music!" foreword to Ulric Devaré, *Faith in Music,* (New York: Comet Press, 1958; orig. 1956), vii–ix. Reproduced and edited by Kevin C. Karnes in: Daniel Goldmark and Kevin C. Karnes, ed. *Korngold and his World*, (Princeton, New Jersey: Princeton University Press, 2019), 273-277.

studios in the last few decades, ensuring its status as a major output in the genre alongside more established works. Despite adoration for the concerto amongst concert violinists and audiences, it has largely been overlooked in musicological scholarship to date. This is a surprising omission, not just because of its popularity, but because the work itself is a unique nexus of ontological, historical, and aesthetic tensions. Even the concerto's origins are something of a mystery; themes from four of his film scores are reconfigured across the three movements of the concerto. Whether these themes were originally sketched with the concerto or with the film scores in mind remains an open question. The primary purpose of this dissertation, therefore, is to initiate long-overdue investigation into a fascinating work.

In dealing with the concerto today, however, it is apparent that one must contend with the burdened legacy of Korngold; the checkered critical response he endured during his lifetime lingers, with Korngold still being referred to as a child prodigy, Oscar-winning Hollywood composer, modernist, reactionary, purveyor of schmaltz, and misunderstood idealist, eliciting wildly varying responses to his works. My own personal experience has shown that numerous colleagues profess love for the work while also dubbing it a 'Hollywood concerto', further calcifying links to Korngold's cinematic persona. This phenomenon is by no means reserved only for personal interactions, as evidenced by a multitude of articles published in the popular press in recent years that range from the sublime to the ridiculous.

Michael Tanner, for example, wrote a scathing attack of the opera *Das Wunder der Heliane* for *The Spectator* in 2007.[2] Making sure to register his "disgust and revulsion", he continues to invoke vivid, repugnant imagery with such statements as "Korngold had a taste for high-flown rubbish", his music amounting to "unrelieved musical inflammation, with

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[2] Michael Tanner, "Good Humour, Bad Taste," *The Spectator*, 1 December 2007, https://www.spectator.co.uk/article/good-humour-bad-taste.

frequent burstings of the boil and deluges of musical pus before the next one starts accumulating”. To drive home his disapproval, he throws in an incendiary mention of the term ‘degenerate music’, nearly crediting the Nazis with appropriate artistic discernment, expounding that “they weren’t wrong that there is such a thing as degenerate art, and there is no more blatant example of it than *Heliane*.”[3] Alex Ross, on the other hand, begins his 2019 article for *The New Yorker* by facing some of these prejudices head-on: “‘That sounds like film music’ is a put-down that deserves to be retired. The usual intention is to dismiss a work as splashy kitsch.…to say that his [Korngold’s] work sounds like movie music is an elementary fallacy, a confusion of cause and effect.”[4] It is no accident that Tanner is writing for the conservative newspaper, *The Spectator*, while Ross is reviewing for left-leaning *The New Yorker*.

Ross is joined by David Gutman, whose thorough and thoughtful 2013 review of the Violin Concerto and its numerous recordings is worth reading on multiple levels, the most useful of which is his consideration of performers of the work and how their individual interpretations contribute to it.[5] He writes, “Still dismissed as ‘candyfloss’ by some, this is music that no longer sounds like a patchwork quilt of recycled matter in part because fewer listeners are familiar with the films from which Korngold derived his material.” After acknowledging the sketchy heritage of the concerto, he turns his attention to the fact that many performers freely admit their personal adoration for the work, astutely recognising that “Modernist critics may blench, but to dismiss such a resurgence as reactionary schmaltz won’t do now that the onward march of technology has invalidated older notions of musical progress.”

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[3] Tanner, “Good Humour, Bad Taste.”

[4] Alex Ross, “Erich Wolfgang Korngold, The Opera Composer Who Went Hollywood,” *The New Yorker*, 12 August 2019, https://www.newyorker.com/magazine/2019/08/19/erich-wolfgang-korngold-the-opera-composer-who-went-hollywood.

[5] David Gutman, “Korngold Goes Viral,” *Gramophone*, April 2013, Gramophone Digital Archive.

One such performer is Nicola Benedetti, whose 2012 release *The Silver Violin* was purposely curated around the inclusion of the Concerto. She describes her attraction to the work stemming from Korngold's versatility and stylistic integrity across multiple genres, as well as noting that, "Its increasing popularity is driven not by the industry, but by the performers. We adore playing the piece."[6] Most revealing, however, is her comment that "Korngold's integrity as a composer is becoming less of an issue now, for among musicians - who are always the driving force behind recognition of composers - there is a growing consensus that Korngold is one to respect, for he really brought some fantastic music."[7] While unsympathetic critics and especially conservative musicologists might balk at the thought of performers and audiences unashamedly enjoying these pieces, it is fair to say that criteria other than ideology are at play in the revival of the piece. Benedetti's assertions might account for good marketing, and they do, but the fact of the matter is that many of the world's most famous violinists have now recorded the piece (Perlman, Hahn, Mutter, Kavakos and Shaham to name but a few), which indicates not only that audiences are willing to hear it, but also that performers are willing to play it in place of more established works in the genre.

This performer-led revival also caught the attention of music scholars in the 1990s, where academics in both film music and Western art music studies engaged with various aspects of Korngold's life and compositional oeuvre. Robbert van der Lek's 1991 book *Diegetic Music in Opera and Film: A Similarity Between Two Genres of Drama Analysed in Works by Erich Wolfgang Korngold (1897-1957)* marks the first major attempt to grapple with his concerts works, and make connections between Korngold's compositional processes across both opera and film.[8] Van der

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[6] Gutman, "Korngold Goes Viral."

[7] Nicola Benedetti, "5 Questions to Nicola Benedetti on Korngold's Violin Concerto," interview by Thea Derks, *I Care If You Listen*, 31 October 2021
https://www.icareifyoulisten.com/2012/10/5-questions-to-nicola-benedetti-korngold-violin-concerto/.

[8] Robbert van der Lek, *Diegetic Music in Opera and Film : a Similarity Between Two Genres of Drama Analysed in Works by Erich Wolfgang Korngold (1897-1957) (*Amsterdam: Rodopi, 1991).

Lek's subsequent 1994 journal article "Concert Music as Reused Film Music: E.-W. Korngold's Self-Arrangements",[9] further established the links between Korngold's art music and film music outputs across an array of his works, including the Violin Concerto. This article is the only scholarly source to present any musicological findings about the Concerto, though van der Lek's main purpose is to observe the instances of film score that appear within the concerto, with some brief extrapolations regarding the form of each movement. While this information has been valuable for initial enquiries into the work, meticulously charting what film material is used and in what state of variation from the source, there is scant discussion of the Concerto itself.

Two biographies were also released in the 1990s; Jessica Duchen's *Erich Wolfgang Korngold* (1996),[10] and Brendan Carroll's highly detailed *The Last Prodigy* (1997),[11] the culmination of twenty-five years of research. These books have provided a wealth of knowledge, not just of biographical detail, but also of primary sources that illuminate such topics as contemporary reception to his works, his own reflections on his compositional raison d'être, and relationships he shared with other composers and creatives. As such, many scholars continue to consult these definitive biographies for their own investigations. This has also facilitated more detailed examinations of particular features of Korngold's life and historical context by subsequent musicologists. Bryan Gilliam, Joseph Horowitz and Michael Haas have all written about Korngold's exile from Austria in the wake of World War II, and subsequent efforts to establish a professional life in the US.[12] While Gilliam and Haas take a

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[9] Robbert van der Lek and Mick Swithinbank, "Concert Music as Reused Film Music: E.-W. Korngold's Self-Arrangements," *Acta Musicologica* 66, Fasc. 2 (Jul. - Dec., 1994), 78–112, http://www.jstor.org/stable/932765

[10] Jessica Duchen, *Erich Wolfgang Korngold* (London: Phaidon Press, 1996).

[11] Brendan G Carroll, *The Last Prodigy: A Biography of Erich Wolfgang Korngold*, (Portland, Oregon: Amadeus Press, 1997).

[12] Bryan Gilliam, "A Viennese Opera Composer in Hollywood: Korngold's Double Exile in America," in *Driven into Paradise: the Musical Migration from Nazi Germany to the United States*, ed. Christoph Wolff and Reinhold Brinkmann (Berkeley, California: University of California Press, 1999), 223–242.; Joseph Horowitz, *Artists in Exile: How Refugees from the Twentieth Century War and Revolution Transformed the American Performing Arts (*HarperCollins e-books, 2009), ebook.; Michael Haas, *Forbidden Music: The Jewish Composers Banned by the Nazis* (New Haven and London: Yale University Press, 2013).

moderate view of Korngold's output post-exile, Horowitz is much less sympathetic in his judgment. Drawing a parallel with Kurt Weill (as Gilliam also does), he states that both composers were lacking when compared to such names as Stravinsky and Schoenberg, but "[A]s practitioners of cultural exchange, however, they were ingenious and resourceful."[13] In the end, however, Horowitz characterises Korngold's time is the US as "a New World transformation achieved by standing still."[14]

Analyses of Korngold's film scores have also been produced by Kathryn Kalinak and Ben Winters. Kalinak's seminal book *Settling The Score: Music and the Classical Hollywood Film* uses Korngold's score for the film *Captain Blood* as a basis for highlighting key features of the classical Hollywood score.[15] Within this, she draws out some of the hallmarks of his compositional style in general, and highlights how these traits formed a natural fit with filmic practices of the time. While Kalinak's analysis is mainly limited to one chapter, Ben Winters' book *The Adventures of Robin Hood: A Film Score Guide* is devoted entirely to an in-depth examination of the full film score.[16] Building on Kalinak's illumination of compositional processes, Winters goes into further detail, adding references to musicological methods such as topic theory. Engaging with both Korngold's concert and film works, he has also penned articles that explore such works as the opera *Die tote Stadt*, and sought to clarify some of the myths that abound regarding Korngold's composing practices in film.[17] The most recent mention of Korngold in film scholarship is Frank Lehmann's *Hollywood Harmony*, which is

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[13] Horowitz, *Artists in Exile*, 124.

[14] Horowitz, *Artists in* Exile, 136.

[15] Kathryn Marie Kalinak. *Settling the Score Music and the Classical Hollywood Film* (Madison, Wisconsin: University of Wisconsin Press, 1992) 66-110.

[16] Ben Winters, *Erich Wolfgang Korngold's The Adventures of Robin Hood: a Film Score Guide* (Lanham, Maryland: Scarecrow Press, 2007).

[17] Ben Winters, "Strangling Blondes: Nineteenth-Century Femininity and Korngold's 'Die tote Stadt'," *Cambridge Opera Journal* 23, no. 1/2 (March-July 2011), 78. DOI:10. 101 7 /S095458671200002X.

entirely devoted to an analysis of harmonic practices in film music up to the present day.[18] It uses Neo-Riemannian Theory among other models to better understand how numerous composers have used certain tonalities and chordal progressions, taken from Romantic compositional practices, to create and enhance action, mood, theme and setting.

Korngold and His World (2019) represents the latest major research offering, the culmination of papers presented at the Bard Festival 2019.[19] This volume engages in critical reflection on wide-reaching issues, such as Korngold's Jewish identity, his relationship with his father, and even the representation of disability in his score for the film *Kings Row.* It also contains reproductions of primary and secondary documents from during his life, some of which mark the first English translations of German sources. Leon Botstein's chapter "Before and After Auschwitz" manages to cover enormous ground on its own, and has been key to my research. It is worth mentioning that there are numerous other texts produced in German in existence, including writings by Erich's father Julius and wife Luzi, which are yet to be translated into English.

Apart from the film scholarship sources already mentioned, investigations of Korngold's concert works have mainly been undertaken by postgraduate researchers in dissertation form. This has so far covered works such as the Cello Concerto, his Lieder and Ballet-Pantomime works, and the Violin Sonata.[20] This has left the concerto, and many more of Korngold's concert works, relatively untouched by academic enquiry.

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[18] Frank Lehman, *Hollywood Harmony: Musical Wonder and the Sound of Cinema* (New York: Oxford University Press, 2018).

[19] Goldmark and Karnes, *Korngold and His World*.

[20] Lawrence Dana Leviton, "An Analysis of Erich Wolfgang Korngold's Cello Concerto and Underscore Written for the Film *Deception,*" (DMA diss., The University of Wisconsin-Madison, 1998); Frank Robert Ennis, "A Comparison of Style Between Selected Lieder and Film Songs Of Erich Wolfgang Korngold," (PhD diss., The University of Texas at Austin, 1999); David Ian Kram, "Erich Wolfgang Korngold (1897-1957) His Early Life and Works with Especial Reference to His Relationship with His Teachers, and His Ballett-pantomime Der Schneemann," (PhD diss., Monash University, 1999), accessed 22 July, 2020, https://doi.org/10.26180/5f18c93063bab; Emily Ruth Laminack, "A Performer's Guide to Erich Wolfgang Korngold's Sonata for Violin and Piano in G Major, Op. 6," (DMA diss., The University of Georgia, 2016).

Just as Korngold is experiencing a musicological resurgence, so too has music performance become a major focus of scholarly enquiry in recent decades. This has been spurred by both musicologists, interested in finding new ways to explore musical meaning in written form, and performers, who are using analysis and performance to synthesise new research methodologies. Since performers have taken the lead in exploring the concerto and bringing it back into popularity it seems appropriate to adopt a performer's mindset for an investigation of the concerto, giving musicology a sense of the value of this music. Of course to do this, musicological tools must also be used, demonstrating the ways in which performance and musicology can inform and enrich each other. As the current landscape is complex and rapidly growing, the first two chapters of the dissertation are devoted to exploring it.

Overview of the Dissertation

Chapter One will explore how the boundaries between musicology and performance have been overcome since the 'performative turn' that swept through the humanities in the 1970s. Included in this discussion will be a brief investigation of influential writings in the 1970s and 1980s that began to agitate for a change of focus in musicology, as well as how annexing conservatoriums to universities has facilitated the rise of creative research. As a result of these processes the goals of research, whether practice-based, musicological, or a combination of the two, are still being debated today. While outlining broader international discourse, they are also of particular importance to this dissertation as they serve as the basis for the methodology I will be adopting throughout.

These findings will then be used in Chapter Two to explore some of the considerations that are specific to the preparation of an interpretation for performance. Writings by performers who have musicological outputs, including Daniel Barenboim and Joel Lester, as well as philosophers such as Bruce Ellis Benson, will serve as a basis for

establishing what goes into performative interpretation. This chapter will then reflect on the purpose of written analysis to the performer before outlining the phenomenological analysis model I will be using in subsequent chapters. This model is based on Lawrence Ferrara's 'eclectic method', as well as the writings of Thomas Clifton. This phenomenological approach more accurately reflects some of the processes undertaken by performers when preparing a piece.

Though it is well beyond the scope of this dissertation to thoroughly engage with the various historical, aesthetic and biographical debates that occupy much Korngold scholarship today, a select number of issues will be highlighted in Chapter Three, as they have direct impact on performers to this day. These include contemporary reception to the concerto at its premiere, Korngold's own writings about music and his creative philosophy, and how a multitude of cultural and political tensions have affected Korngold's image over the decades. I will also be hypothesising as to why the concerto is being received differently by listeners today, including the way that film music in particular has had a profound effect on music lovers.

Chapter Four will contain the analysis of all three movements of the concerto. It will start with an overview of Korngold's general stylistic features to orient the reader, as per Ferrara's 'Step One', in which matters of historical importance are exposed. This is necessary given that Korngold's compositions are still relatively unfamiliar. Analysis of the work itself will follow as per steps that will be discussed in further detail in the 'Methodology' section of Chapter Two.

The appendix at the end of this dissertation will contain information regarding the four films which share musical material with the concerto. This information is included to provide context for analytical discussions in Chapter Four, and will explore matters of plot

and theme. Tables have been provided to draw attention to the cues from each film score that are of particular relevance to the concerto.

Chapter 1

Musicology, Ontology & Performance

The author is captive of his epoch, of his own present. Subsequent times liberate him from this captivity.
Mikhail Bakhtin[1]

For me theatre is not a text, it is an event…While you're writing, the play is making some kind of noise [in your head]. When I was young, I thought rehearsal was having actors learning to make that noise. But unless it comes from within the actor, the play will fall apart next time it is performed.
Tom Stoppard[2]

This chapter will present a brief overview of the relationship between music performance and musicology in recent decades, as well as explore the ontology of a work of art, establishing the place that music performance occupies within the concept of the musical work. These steps are crucial for understanding why certain attitudes have formed the basis of the majority of musicological discourse to date, and how we might integrate performance into this discourse in a meaningful way.

The Performative Turn

The place of music performance within musicology has been debated at length in recent decades. The initial spark for this occurred in the 1970s through a 'performative turn', a term derived from the work of British philosopher J.L. Austin, which had a profound conceptual and methodological

[1] Mikhail Bakhtin, "Response to a Question from the *Novy Mir* Editorial Staff," in *Speech Genres and Other Late Essays,* trans. Vern W. McGee (Austin, Texas: University of Texas Press, 1986), 5.

[2] Mary-Lou Ciampa, "Theatre is not a text, it's an event: Tom Stoppard,", *Upstart*, 21 December 2011, https://www.upstart.net.au/theatre-is-not-a-text-its-an-event-tom-stoppard/.

effect on scholarship in such areas as the humanities and social sciences.[3] Born of the broader spread of postmodernism within scholarship, which facilitated other such movements as critical theory, semiotics and feminist theory, the 'performative turn' drew attention to the concept and practice of performance, both in the formal sense of artistic performance, as well as more general human behaviours in society. This eventually rippled through disciplines within the arts including music, where a burgeoning interest grew in music performance in all its complex and varied dimensions. Nicholas Cook theorises that music lagged behind the humanities in no small part because of the "unquestioned textualist paradigm" it had been operating under.[4] The ushering in of postmodern enquiry through 'new musicology' in the 1990s, largely attributed to such writings as Lydia Goehr's *The Imaginary Museum of Musical Works* (1992) and Christopher Small's *Musicking* (1998), began to challenge this notion of the primacy of the text.[5]

Prior to this shift, however, general frustrations with the rigidity of musicological enquiry were voiced by several prominent scholars. Joseph Kerman's oft-quoted "How We Got into Analysis, and How to Get Out" from 1980, bemoans the narrow bounds of analysis, whose function is to adopt a 'scientific' line of enquiry that avoids value judgments and seeks a claim to objectivity.[6] For most practitioners, he argues, the point of analysis is to prove that a work adheres to organicist principles, and in doing so, prove that the work is worthy of veneration. At the time of

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[3] J L Austin is credited with coining the terms 'performative utterance' and 'performativity' in his book *How to do Things with Words*, which many have attributed as the start of discussion of performance and its various meanings and functions. Austin, J. L., *How to Do Things with Words* (Cambridge: Harvard University Press, 1962); Barbara Bolt and Jeffrey Swinkin have also written on this subject in relation to art: Barbara Bolt, "Artistic Research: A Performative Paradigm?" *PARSE* 3 (Summer 2016): 129-142. https://parsejournal.com/article/artistic-research-a-performative-paradigm/; Jeffrey Swinkin, *Performative Analysis: Reimagining Music Theory for Performance* (Rochester, New York: University of Rochester Press, 2016).

[4] Nicholas Cook, "Performing Research: Some Institutional Perspectives," in *Artistic Practice as Research in Music: Theory, Criticism, Practice*, ed. Mine Doğantan-Dack. (Farnham: Ashgate Publishing Ltd, 2015), 14.

Cook provides a brief but illuminating summary of these attitudes (political, musicological, historical) in: Nicholas Cook, "Between Process and Product: Music And/as Performance," *Music Theory Online* 7, no. 2 (April 2001), https://mtosmt.org/issues/mto.01.7.2/mto.01.7.2.cook.html.

[5] Lydia Goehr, *The Imaginary Museum of Musical Works: An Essay in the Philosophy of Music* (Oxford: Clarendon, 1992); Christopher Small, *Musicking : The Meanings of Performing and Listening* (Wesleyan University Press, 1998).

[6] Joseph Kerman, "How We Got into Analysis, and How to Get Out," Critical Inquiry 7, no. 2 (Winter, 1980): 311–331. JSTOR https://www.jstor.org/stable/1343130.

writing, he observes that music analysis, as opposed to music criticism, dominated music departments. He argues that "They come up with fascinating data and with undoubtedly relevant data; yet one always has a sinking feeling that something vital has been overlooked."[7] Kerman's example of a musico-poetic analysis of Schumann is standard practice today, rather than a radical thought exercise, but his statement still stands that we need to explore "some lines along which a more comprehensive, 'humane,' and (I would say) practical criticism of music can and should be developed."[8]

Kerman's adoption of a musico-poetic analysis in his article was based on Edward T. Cone's *The Composer's Voice* (1974), which explored the idea of a musical work having its own dramatic persona, that may or may not be reductively tied to autobiographical details of the composer. The persona also appeals to a higher level of musical understanding than organicist analysis by engaging with imagination and narrative. He argues that the performer "far from being an imperfect intermediary between composer and listener, an inaccurate translator of musical thought, is a living personification of that spokesman".[9] As such he draws a parallel between the work of a performer and that of an actor. This thesis is startling in its invocation of the role of imagination in both the composition and performance of a musical work, and for its acknowledgment of the performer as having an important creative role through performance, particularly for the 1970s. Indeed Cone's output in general is remarkable for its emphasis on the actual processes of music-making, and the human and temporal parameters that affect it. This is due in large part to his unique viewpoint, undoubtedly informed by his training as a composer and pianist. These ideas, seemingly underrated, are still incredibly thought-provoking, and are being rediscovered by scholars today.

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[7] Kerman, "How We Got into Analysis," 320.

[8] Kerman, "How We Got into Analysis," 331.

[9] Edward T. Cone, *The Composer's Voice* (Berkeley: University of California Press, 1974), 5.

Cone expressed similar exasperation with analysis in "Three Ways of Reading a Detective Story - or a Brahms Intermezzo".[10] His argument that there are three broad stages of interacting with any work is a neat one for acknowledging various parts of the listening and 'knowing' experience. Loosely defining his "first reading" as the initial experience or experiences of becoming familiar with a new composition, Cone believes that too many musicologists treat the "second reading", the stage of analysis, as being the end of the journey. He posits that most analysis is "synoptic and atemporal, it proceeds from an initial assumption of omniscience; it is based on the premise that comprehension of the whole is prerequisite for appreciation of the part…[it] does scant justice to our experience of hearing a composition in real time. It accepts as the goal what should be only a stage - albeit an important one - of musical comprehension."[11]

Cone instead urges scholars, performers and listeners alike to continue to a "third reading", which combines the insights of the second reading with the feeling of discovery of the first reading through a kind of purposeful forgetting, to create a properly rich musical understanding. He hypothesises that this is the very process that takes place when one re-reads a favourite novel, or indeed listens to a familiar musical work again, and that it therefore has much to offer musicological discussion. Though his article largely focusses on harmony and structure, his willingness to entertain multiple possibilities, and to acknowledge listening and instinct as being equally vital parts of the process of musical comprehension, are still relevant today. Reminiscent of his work in *The Composer's Voice*, Cone posits that the performer also balances intimate knowledge of the musical work with a sense of discovery and spontaneity during a performance, with each work and performance requiring a different balance to be struck.[12]

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[10] Edward T. Cone, "Three Ways of Reading a Detective Story or a Brahms Intermezzo," *The Georgia Review* 31, no. 3 (1977): 554–574.

[11] Cone, "Three Ways of Reading a Detective Story," 565.

[12] Cone, "Three Ways of Reading a Detective Story," 573.

Much has changed in the forty years since this article was published, as musicologists started to address performance specifically. Carolyn Abbate's '*Drastic or Gnostic?'* from 2004, for example, champions the notion that musicologists must attempt to grapple with musical performance, particularly that which is live rather than recorded. Building on Vladimir Jankélévitch's assertion that music is a temporal phenomenon that is experienced through performance (much as Cone and various others have posited), she argues that scholars miss a vital part of the music by relegating performance to the inarticulate realm of subjectivity, ineffability and the undomesticated.[13] It has done a great deal to draw attention to the role of performance within both the academy and our lives in general, while challenging traditional modes of musicology. Her chosen example to demonstrate this, however, is disappointing in its focus. Rather than engaging with the performer's particular artistic merits or interpretive choices in a well-known operatic role, she instead probes (and immortalises) the mistakes the performer commits in a particular live performance. While it is certainly the case that mistakes can be a feature of live performance, and that recordings have made us highly sensitive and intolerant to this phenomenon, focussing on what can go wrong ignores the far more important and captivating features of the performance of a musical work, and obfuscates discussion of why and how performance is a vehicle for musical meaning.

Similarly, Lawrence Kramer's account of attending a string trio performance in "The Musicology of the Future", is perplexing in its concentration on the absence of a fourth member in an imagined string quartet.[14] These performances are exposed for what they are *not*, rather than for what they are. While my purpose in mentioning these particular examples is not to suggest that their summations are incorrect, it is however to highlight their insufficiency as examples truly grappling

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[13] Carolyn Abbate, "Music—Drastic or Gnostic?" *Critical Inquiry* 30, no. 3 (2004), 505.

[14] Lawrence Kramer, "The Musicology of the Future," *Repercussions* 1, no. 1 (1992), 12, https://www.ocf.berkeley.edu/~repercus/wp-content/uploads/2011/07/repercussions-Vol.-1-No.-1-Kramer-Lawrence-The-Musicology-of-the-Future.pdf

with performative processes. It is no surprise that this insufficiency in general has sparked polemical pieces on the other end of the spectrum, highlighting the frustration felt by performers within this landscape. Dillon Parmer, as recently as 2014, goes so far as to liken the relationship between musicology and performance to that of Aristotle's ruler-ruled archetype.[15]

Music performance scholarship today continues to proliferate, covering a wide range of dimensions including performance psychology, autoethnographic reflection, exploration of physical embodiment procedures, and development of pedagogical practices to name a few. One phenomenon that has enabled a surge in performance research in the last decade is the inclusion of conservatoriums in universities, and postgraduate programs that equate creative works with research, often with a textual component as part of the whole research output. As Cook uncovers in "Performing Research: Some Institutional Perspectives", these research models are still being debated and finessed as policies are designed.[16] Indeed the multi-dimensional nature of music performance can be seen through the accompanying terminology that has sprung up, much of which is still being debated and formed. Terms such as 'performative interpretation', 'performance analysis' (dismissed by John Rink for its ambiguity),[17] 'practise-led research' and other such referents as 'performer-analyst', 'performer-researcher' and 'artist-researcher' expose the enormity and diversity of possible research strands within performance. Disagreements abound regarding which variants are more effective at encapsulating the processes that performers undertake, as can be seen by ongoing debate around Janet Schmalfeldt's research, and whether or not it actually reflects performative attitudes and considerations, as she claims it does.[18] This has spawned many

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[15] Dillon Parmer, "Musicology, Performance, Slavery: Intellectual Despotism and the Politics of Musical Understanding," *Intersections* 34, no. 1–2 (2013/14): 59–90.

[16] Cook, "Performing Research," 11–32.

[17] John Rink, "The (F)utility of Performance Analysis," in *Artistic Practice as Research in Music: Theory, Criticism, Practice*, ed. Mine Doğantan-Dack. (Farnham: Ashgate Publishing Ltd, 2015), 127.

[18] See Janet Schmalfeldt, "On the Relation of Analysis to Performance: Beethoven's Bagatelles Op. 126, Nos. 2 and 5," *Journal of Music Theory* 29 (1985): 1–31; Schmalfeldt, "Form as the Process of Becoming: The Beethoven-Hegelian Tradition and the Tempest Sonata," *Beethoven Forum* 4 (1995): 37–71.; Schmalfeldt, *In the Process of Becoming: Analytic and Philosophical Perspectives on Form in Early Nineteenth-Century Music* (Oxford: Oxford University Press, 2011).

responses from other musicologists such as Mike Cheng-Yu Lee, and most recently Mine Doğantan-Dack,[19] as well as responses from Schmalfeldt herself.[20]

The difficulties that plagued performance discussion decades ago are clearly still present, and require further contemplation. Kathleen Coessens, Darla Crispin and Anne Douglas (hereafter referred to as Coessens *et al.*) articulate some of the obstacles that continue to challenge it in *The Artistic Turn: A Manifesto*.[21] Echoing the frustrations already laid out regarding the so-called scientific attitude, keen on generating data and only dealing with that which can be articulated easily through language, Coessens *et al.* argue that the performer is usually the subject of research, rather than the researcher, and that the necessary presence of "idiosyncracy, temperament and the imagination" in performance seem to "defy precise analysis and therefore escape scientific discourse".[22] This also results in difficulties with using language to describe less concrete observations and processes. Another barrier to the task is the fact that performance is "selectively revelatory", and any reflections made on it "may, or may not, remain implicit - and even invisible - within the artistic outcomes they produce".[23] John Rink, sounding reminiscent of Kerman decades ago, urges that clarifying the goals of such scholarship and finding effective methodologies is paramount:

> While I welcome this expansion and regard the growth of a musicology of performance as a notable achievement and a harbinger of ongoing change in the discipline, I nevertheless have reservations about the aims and outcomes of much of the recent performance-analytical work in question. First of all, some studies in this vein seem more intent on generating data for its own sake rather than using data to reach musically meaningful conclusions. As a

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[19] Mine Doğantan-Dack, "The Role of the Musical Instrument in Performance as Research: The Piano as a Research Tool", *Artistic Practice as Research in Music: Theory, Criticism, Practice*, ed. Doğantan-Dack (Farnham, 2015), 169–202.; Mike Cheng-Yu Lee, "A Response to Schmalfeldt's "Form as Process of Becoming": Once More on the Performance and Analysis of Schubert's Sonata in A minor, Op. 42," *Music Theory Online,* 16 no. 2 (June 2010), https://mtosmt.org/issues/mto.10.16.2/mto.10.16.2.lee.html.

[20] Janet Schmalfeldt, "Response to Mike Cheng-Yu Lee," *Music Theory Online,* 16 no. 2 (May 2010), https://mtosmt.org/issues/mto.10.16.2/mto.10.16.2.schmalfeldt2.php.

[21] Kathleen Coessens, Darla Crispin, and Anne Douglas. *The Artistic Turn: a Manifesto* (Ghent, Belgium: Orpheus Instituut, 2009).

[22] Coessens *et al*., *The Artistic Turn*, 44–46.

[23] Coessens *et al*., *The Artistic Turn*, 152–3.

> result, a disconnect may occur between the concerns of the researchers producing the work and those of performers in general, which could limit the practical utility if not the musical viability of the studies in question.[24]

To this end, encouraging the inclusion of performer scholars and accepting that they have knowledge to impart is paramount. But to forge new methodologies and areas of study within music performance studies, it is necessary to consider the ontology of a musical work, and how performance figures within it.

The Ontology of the Work of Art

The textualist paradigm, or work concept, prominent in scholarship before the performative turn, is based on the premise that the score constitutes the totality of the musical work. As the Polish phenomenologist, ontologist and aesthetician Roman Ingarden posits in *The Ontology of the Work of Art* however, "[…] the musical work, as the correlate of a score, is a schematic formulation endowed with a multiplicity of possible concrete forms."[25] Dissecting this claim, we first must understand Ingarden's "schematic formation" as the score or text, which is able to articulate some aspects of a work, such as pitch, rhythm and metre, to name just a few, while the concrete forms here constitute performances of the work. The score is incomplete, given the myriad musical intentions that cannot be rendered accurately as verbal instructions on a page, and as such is incapable of encapsulating the whole of the musical work. For the work to be fully realised it requires concrete forms through some kind of sonic counterpart, and indeed it can bear an infinite number of them. As Ingarden explains,

> One can only read the score, and even in doing that one involuntarily supplements the schema with *imagined* details; we imagine more or less vividly,

[24] Rink, "The (F)utility of Performance Analysis," 128.

[25] Roman Ingarden, *Ontology of the Work of Art: the Musical Work, the Picture, the Architectural Work, the Film* (Athens : Ohio University Press, 1989), 117.

> but also only vaguely, how the whole work, thus no longer the mere schema, might sound.[26]

Ingarden labels these "imagined details" as "areas of indeterminacy", which can only be made concrete, or determinate through the temporal process of performance. It is important to note here that our own aural imaginings of a score are not necessarily bound by practicality, nor can they be heard by listeners, and therefore cannot fill in these areas of indeterminacy satisfactorily. Ingarden further explains that the sheer proliferation of different concrete forms that can be generated from a schematic formation is exactly what ensures the continued existence and relevance of the work to listeners across different musical epochs.[27]

Philosopher Bruce Ellis Benson takes this a step further in *The Improvisation of Musical Dialogue.* He suggests that because the musical work cannot be fully realised without performance, its very existence comes into question between those performances. As such, "[…] it is never a question of simply prolonging music's life - that is, of keeping it alive, - *but always one of bringing it to life once again*. All performance is resuscitation."[28] To this end, the concept of simply being faithful to the score ignores a vital part of the work's intrinsic existence, and how meaning can be experienced through it. Stan Godlovitch provocatively illuminates the folly of this attitude, and reliance on imagined performances, by drawing a parallel to recipes: "That what one hears replaces a performance is as odd as saying that the imagined taste and smell of a dish read off a recipe satisfies one's hunger."[29] Another metaphor by which to parse this phenomenon is to consider a sport such as tennis. The rules are always the same, the boundaries of the court are the same, and yet no two matches, or tennis players, are alike. It is this that captivates us and makes us watch.

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[26] Ingarden, *Ontology of the Work of Art*, 106.

[27] Ingarden, *Ontology of the Work of Art*, 107–22.

[28] Bruce Ellis Benson, *The Improvisation of Musical Dialogue: a Phenomenology of Music* (Cambridge: Cambridge University Press, 2003), 179.

[29] Stanley Godlovitch, *Musical Performance: a Philosophical Study* (London: Routledge, 1998), 90.

The Model of Musical Dialogue

But denial of the nature of the work also has other ramifications. Most significantly, it distorts the relationship between composer, performer and listener, by suggesting that the composer's intention should be the dominant priority. As such it is the performer's job to be as inconspicuous as possible, while the listener is only deemed up to the task of listening properly if they understand the composer's intention, and seek it out in their listening experience. This dictatorial assumption denies the intentionality of everyone except the composer, and again overlooks an enormous part of what makes music meaningful. It nonetheless has been expressed by composers, as well as many musicologists, in the past. Igor Stravinsky famously lamented:

> It is the conflict of these two principles - execution and interpretation - that is at the root of all the errors, all the sins, all the misunderstandings that interpose themselves between the musical work and the listener and prevent a faithful transmission of its message.[30]

He continues by suggesting that this can ruin the reception of the work with listeners:

> And so it comes about that the first impression, which is so important, the first contact of the newborn work with the public, is completely dependent upon the validity of a presentation that eludes all controls. Such, then, is our situation before an unpublished work when the quality of the performers before us does not guarantee that the composer will not be betrayed and that we shall not be cheated.[31]

The extreme ethical language leaves the reader in no doubt that the expression of the performer's voice can be viewed as positively sinful, committing an act of infidelity against both composer and listener. Even Korngold is quoted as saying "No performance of my works is good. I have never heard a perfect performance of any of my operas!"[32] These statements, however, rest on the faulty assumption that the composer's imagined performance has merit over a real performance, and that

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[30] Igor Stravinsky, *Poetics of Music in the Form of Six Lessons* (Cambridge, Mass: Harvard University Press, 1982), 122.

[31] Stravinsky, *Poetics*, 133.

[32] Erich Wolfgang Korngold, "Composing for the Pictures: An Interview", interview by Verna Arvey, *The Etude* 55, no. 1 (January 1937), 16. https://digitalcommons.gardner-webb.edu/etude/851.

the composer only is able to understand the entirety of their work. But as Stravinsky discovered himself later in life through conducting his own works in performance:

> If the speeds of everything in the world and in ourselves have changed, our tempo feelings cannot remain unaffected. The metronome marks one wrote forty years ago were contemporary forty years ago. Time is not alone in affecting tempo - circumstances do too, and every performance is a different equation of them.[33]

This constitutes a remarkable turnaround in attitude, but it also confirms that perspectives change, and that all people involved in music making and listening can therefore derive their own meanings from a work. Indeed, a great work might be considered one where an infinite number of meanings and experiences are possible, and are possible through the multitude of changes that happen to people and societies across time.

If the traditional model suggests that the composer's intention is paramount, and the performer should be as unobtrusive as possible, Benson's model of a musical dialogue presents a much more nuanced, and fruitful, antidote. A central argument in *The Improvisation of Musical Dialogue* is that a fundamental shift in the perception of music making and listening is required. Rather than allowing one group, such as composers, to dominate by asserting their wishes, a fine balance much be achieved between composer, performer and listener through dialogue.[34] This dialogue requires each party to remain open to the 'otherness' of the others, a difficult yet fundamental task to any act of human communication. This also requires each party to understand the role of the others in the dialogue, and allow room for their individual voices to be expressed. As the diagrams below show, Benson argues that this would require a change from the traditional model of composer dictating to performer, dictating to listener, to one where each party maintains their voice while also taking into consideration the concerns of the others. One controversial consequence of this could be that composers would take into account what listeners might want to

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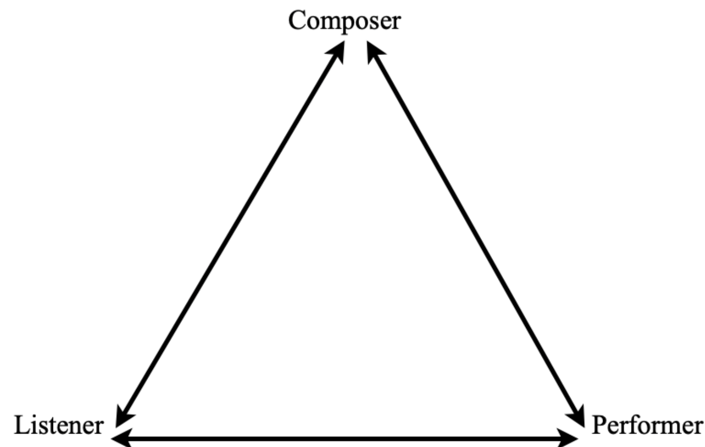
[33] Igor Stravinsky and Robert Craft, *Dialogues* (London: Faber Music, 1968), 122.

[34] Benson, *The Improvisation of Musical Dialogue*, 163–191.

Figure 1.1a) The 'Traditional' Model of Listening

Figure 1.1b) Benson's Model of Musical Dialogue



hear, rather than maintaining the view that only a small niche audience educated enough to understand their work should be considered. While this model could of course be problematic in certain situations, the general idea of a dialogical relationship provides more options. Korngold's oeuvre, for example, could be viewed in more nuanced ways, rather than simply as a 'sellout' who pandered to listeners, and therefore was not worth taking seriously.

The Role of Recordings

The evolution and dissemination of recordings is arguably the most profound development that has led to the growth of performance scholarship.[35] The temporality of live performance until that point made it difficult (though not impossible) to reflect on. The use of recordings has largely circumvented this drawback. Whether documenting live performances or being carefully

[35] It has also facilitated the distribution and accessibility of music, including works, styles and genres previously considered obscure or under-appreciated. Korngold's output has benefitted directly from the dissemination of recordings.

constructed in a recording studio, recordings have aided performance studies due to their ability to be listened to multiple times, as well as the ease with which multiple recordings by a range of artists can be sourced and experienced quickly and cheaply. They have also become a standard tool in the practice room, with most students using smart phones and tablets, as well as other portable recording devices, to regularly review their playing. This author can also attest to being taught to 'aim to sound better than the recording'. It was tacitly acknowledged that the purpose of this exercise was not the totality of the work required to perform, nor was it to repress one's own artistic convictions, but rather to have a goal to strive towards in terms of instrumental mastery. That would then grant the performer greater ease to execute their own artistic convictions.

Paul Thom builds on Ingarden's conception of the musical work in 'The Interpretation of Music in Performance', defining a vocabulary that identifies not only the musical work as schematic formation and concrete forms, but also the place of recordings. He posits that "Determinacy concerns the *content* of that which is performed, fixity concerns its *vehicle*, and definitiveness the type of *authority* it carries."[36] He continues, saying that:

> …even though scores of musical works are in varying degrees indeterminate, their existence as scores ensures their relative fixity, and the fact that they embody works ensures their definitiveness…Of course, the *recording* of such a [jazz] performance is fixed, as are all recordings - even recordings of fixed [classical] works - because recordings themselves have fixity, even if they do not always possess the definitiveness.[37]

Using these three parameters, we could suggest that the score for Korngold's Violin Concerto is partially indeterminate (accepting the thesis that the score inherently has areas of indeterminacy), high in fixity, and high in definitiveness. A live performance of the concerto, on the other hand, is high in determinacy (as all areas of indeterminacy become determined one way or another through performance), high in fixity (it exists during the time that it takes place, but not after), but is low in definitiveness (as many concrete forms of a work are possible). Likewise, a recording of the

[36] Paul Thom, "The Interpretation of Music in Performance," *British Journal of Aesthetics* 43, no. 2 (April 2003), 128.

[37] Thom, "The Interpretation of Music in Performance," 130.

concerto is high in determinacy (for the same reason as a live performance), high in fixity (the recording is an object that can be temporally replayed ad infinitum), *but also* has no claim to definitiveness (for the same reason as a live performance).

This also highlights the danger of mistaking the definitiveness of a recording as being high due to its high fixity throughout time, rather than low given the multitude of sonic realisations possible. As Andrew McGuinness, drawing on the work of Paul Thom, eloquently summarises:

> Listening to musical works for performance has traditionally involved successive ephemeral encounters with performances with incidental and non-incidental differences, through which the listener is intended to hold a double awareness: of the work, and of different possible readings and interpretations of it. By contrast, listening to a recording as a self-sufficient artefact involves successive ephemeral encounters with exactly repeated sound events with no differences. Without non-incidental differences to clarify in what the work consists, there can be no incidental sounds; only one perspective on what is represented.[38]

Confusion regarding this point has led to recordings being treated in a similar fashion to scores, namely as artefacts that can be pulled apart and reduced to their individual components. These components are then extracted and treated as inherently meaningful. But performance is greater than the sum of its parts, and cannot simply be assembled. To do so is to ignore the music as a temporal experience that unfolds over time, as well as risk the coherence of the musical work by prioritising arbitrary elements over the spirit of the whole. As previously mentioned by Coessens *et al.*, recordings are equally incapable of exposing the various processes underway, and often merely present the outcomes.

Mine Doğantan-Dack argues this point in detail in her chapter "Recording the Performer's Voice", adding that "by insinuating the severance of the singular ties between the performer and recorded performance, the technology presumably encourages one to hear the latter first and

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[38] Andrew Mcguiness, "Musical works: Scored, Performed, and Recorded." (Masters diss., The University of Sydney, 2019), 153.

foremost as abstract musical structure."[39] As a result the same musicological frameworks are applied to recorded performances as are applied to the score, meaning that the performances themselves are used to provide evidence of textual findings, rather than as revealing in themselves areas of musical meaning generated specifically by the performer, further trammelling attempts to truly engage with performance. Doğantan-Dack attributes this practice to the fact that "performers and musicologists have never interacted sufficiently to develop the tradition of a shared conceptual plane."[40]

The Concept of Fidelity (Authenticity)

Though the Historically Informed Performance movement has been discussed at length in scholarship, it is worth mentioning here as it is still a dominating, and spreading, research practice in the academy. It is also unique as a widely accepted and largely unified performance research methodology, and has been a successful trend for selling recordings and programming concerts. Its claims to authenticity, to scores, treatises and recordings, can be as problematic to performance as the *Werktreue* concept. As Richard Taruskin has discussed at length in *Text and Act*, authenticity, as understood as textual fidelity, is actually a modernist construct.[41] It is a false premise to assert that by reading treatises and listening to early recordings one can presume to embody the attitudes, and therefore performance practices, of the past. Even if this was possible, we have already established that doing so suffocates the work, ensuring its death rather than its continued dialogue with subsequent societies. As Mikhail Bakhtin argues, "[Shakespeare] has grown because of that which actually has been and continues to be found in his works, but which neither he himself nor his contemporaries could consciously perceive and evaluate in the context of the culture of their

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[39] Mine Doğantan-Dack, "Recording the Performer's Voice," in *Recorded Music: Philosophical and Critical Reflections*, ed. Mine Doğantan-Dack (London: Middlesex University Press, 2008), 295.

[40] Doğantan-Dack, "Recording the Performer's Voice," 298.

[41] Richard Taruskin, *Text and Act: Essays on Music and Performance* (New York: Oxford University Press, 1995).

epoch."[42] We could take this a step further by acknowledging artists who achieved little if any success in their time, only to be considered of vital artistic and cultural importance today. Vincent van Gogh and Herman Melville's *Moby Dick* immediately spring to mind.

It is not that research and emulation offer nothing to the performer. As will come to light throughout this dissertation, historical and text-based research is a vital component of performative interpretation. Emulation as a technique is often used as a pedagogical and artistic tool to broaden one's skillset and greater artistic horizons. Practising such nuances as slides and phrasings can be added into the figurative toolbox to be drawn upon at any time. There is also great appeal in assuming what is often called a 'scientific' mindset, which appears to turn up solid, provable data. Quantifying creativity is an intoxicating ambition, especially when considering the securing of research funding within universities, but also as a marketing angle in recording releases and concert programmes. The danger lies in conflating these findings with a fixed truth, and therefore claiming greater artistic authority over performances that do not engage in this process. They can also fall into the trap of dogma, claiming to present the only faithful, and therefore permissible, interpretation of a work. This can also have ramifications for the performer. By applying a singular lens to a work, a search for authenticity in the moral sense, as Taruskin describes it, is left out of the process. In other words, many performers assume that by playing in this researched, approved way, they have done enough. They do not need to, or do not even think to, create an interpretation that adds to the meaning of the work. If we accept that areas of indeterminacy abound in the score, and these cannot help but be made determinate through performance, then it is erroneous to believe that no act of interpretation is happening, and that one is being purely faithful to anything.

Barthold Kuijken is a refreshing voice in this debate, as a practitioner of Historically Informed Performance himself. He says in his aptly named book *The Notation Is Not The Music*:

[42] Bakhtin, "Response to a Question," 4.

> We thus create a new performance tradition that is based on the personal choice of some historical facts plus a strong dose of individual genius…imitation is, at least temporarily, a part of the artistic learning process, but I consider it the teacher's task to leave this developmental stage as soon as possible.[43]

While such attitudes are hopefully spreading throughout practitioners of Historically Informed Performance and the academy, it is this author's observation that a stigma still exists for those who choose to focus elsewhere; the performing of Bach, for example, becomes a heavily political, as well as artistic, endeavour; proving the worth of one's research, particularly when it might not have an immediately audible impact on a performance, can be a difficult task.

[43] Barthold Kuijken, *The Notation Is Not the Music: Reflections on Early Music Practice and Performance* (Bloomington: Indiana University Press, 2013), 3.

Chapter 2

The Performer and Performative Interpretation

I have shown how it is now generally accepted that musical scores have areas of indeterminacy that must be made determinate in performance one way or another, and that it is the infinite number of ways that this can happen that brings the musical work to life throughout time. But what does this mean in terms of the role of the performer? How do they resuscitate the work in performance, to use Benson's term, and to whom are they responsible during this process? What information is therefore useful to the performer, and how can analysis aid this?

The Responsibility of the Performer

If performance is vital to the continued existence of a work through time, and performers bring the work to life for the listener, then it follows that the performer must contribute to the work in more than just a perfunctory way. Returning to Benson's concept of the musical dialogue, it is clear that a delicate balance is required to make room for the concerns of composer, performer and listener all at once. As Benson says:

> The challenge facing the performer is that of speaking both in the name of others - the composer, performers of the past, and the whole tradition in which one lives - and in one's own name, as well as *to* those who listen. It is an act that may or may not be successful. Performing and listening require developing an ability to listen to what the composer is saying and to let that voice be heard. And it can best be heard (and we can even go so far as to say that it can *only* be heard) in not being merely repeated. For mere repetition usually does not compel us to *listen*.[44]

Benson's frequent use of the word 'translator' to describe the performer is useful, particularly when considering what linguistic translation involves. When one translates from one language to another such as German to English, the translator must have an understanding of what the author of the original text was saying, and the language they were using. The translator must also understand the

[44] Benson, *The Improvisation of Musical Dialogue*, 188.

target reader in the new language, and the various idioms and idiosyncrasies that are known to those readers. More often than not a literal translation of the words in the original language does not convey the required meaning in the new language, a phenomenon further complicated when trying to use such devices as irony and humour. The translator must have knowledge of all of this, along with their own convictions as to what is meant, and how this can best be conveyed to the target audience, even if it means replacing literal translation with a more meaningful expression.

Music is no different in this sense, though one could argue that the translation of music is more extreme if considering that the notation system has to be turned into sound, and that this process is far less familiar to the average person than the use of language. To be an effective translator then, the performer must have an understanding of the text and the history of interpretation, but has to use these in conjunction with personal artistic conviction to go *beyond* imitation, and have an understanding of the kinds of listeners that might hear the performance. To this end, Benson argues that those claiming nothing more than the faithful reproduction of the composer's voice are avoiding responsibility within this thesis of the musical dialogue.[45] He is joined in this sentiment by other musicologists and performers. Daniel Barenboim's books have provided valuable insight into how a prolific, world-renowned and in-demand performer and conductor approaches the act of music making. In particular, *Everything Is Connected* (2007), "the result of nearly sixty years of performance, instruction and contemplation",[46] brings together his vast personal knowledge of performance, reflections on philosophers such as Spinoza, and political and social parallels to examine virtually every aspect of music. The essay "Freedom of Thought and Interpretation" from the book manages to concisely articulate several major points about the nature of interpretation, and its aims.

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[45] Benson, *The Improvisation of Musical Dialogue*, 180.

[46] Daniel Barenboim, *Everything Is Connected: The Power of Music* (London: Weidenfeld & Nicolson, 2008), 4.

Barenboim muses that “The three permanent questions that a musician must ask himself are: why, how and for what purpose. The inability or unwillingness to ask these questions is symptomatic of a thoughtless faithfulness to the letter and an inevitable unfaithfulness to the spirit.”[47] He also offers that “To be ‘faithful to the score’, a phrase one hears often, means so much more than its literal reproduction in sound; seen from this perspective, there is no such thing as absolute faithfulness to the score. Literacy is only half of the equation, the other half being made up of the questioning that leads us to search for and understand each part of the music in terms of the ultimate nature of the whole.”[48]

Performative Interpretation

So what is performative interpretation, and what are its aims? Paul Thom’s complex investigation avoids committing to a prescriptive list of defining features.[49] However, several elements can be gleaned. The common use of rhetorical and theatrical metaphors to describe a performer, such as actor and orator, hint at a vitality and immersion experienced by the performer within the work. To this end we have already come across this analogy in the writing of Edward T. Cone. Rather more nebulous are the conditions of projection and coherence. The former refers to the overt projection of the interpretation, rather than its existence purely in the mind of the performer, that is to say that the interpretation must be realised through performance. The latter implies a coherence of the interpretative idea in an open-ended way. This could be within passages, or across the entire performance, and may include such considerations as stylistic unity. He clarifies that not all performances can therefore be tacitly accepted as interpretative. In essence, what appears to be necessary is a full commitment to an interpretation by the performer, in such a way that meaning

[47] Barenboim, *Everything Is Connected*, 18.

[48] Barenboim, *Everything Is Connected*, 52–3.

[49] Thom, “The Interpretation of Music in Performance,” 136–7.

can be imparted, which the audience is able to perceive and subsequently be affected by. Richard Taruskin's more impassioned description is perhaps simpler to understand:

> it seems to me that the special opportunity, and the special task, of a movement in musical interpretation that aspires to authenticity [in the moral sense, not in the truth sense] is to foster an approach to performance that is founded to an unprecedented degree on personal conviction and on individual response to individual pieces. Such an approach will seek to bring to consciousness and thereby to transcend the constraints that are variously imposed by fashion, by conventional training, by historical evidence and even, or especially, by our intuition. And this means, ultimately, cultivating an essentially sceptical frame of mind that will allow no "truth" to pass unexamined.[50]

Artistic Conviction

The notion of a performer having artistic conviction has surfaced several times already in various aforementioned sources. But how is this achieved? Barenboim touches on several points that illuminate this issue, first and foremost that the task of the performer is "to aim to become part of [the music]."[51] This sentiment is expressed in one way or another by many performers, including the highly individual (and often criticised) violinist Patricia Kopatchinskaja, who articulates it thus: "I have to be touched first before I can translate that to others. I cannot express what I don't have in me. This means, I don't only tell a story but am that story."[52] Barenboim argues that this process starts with initial listenings, but then must proceed to analysis of the piece to ensure that spontaneity in performance is built on a thorough personal understanding of the work and not simply whim:

> Some musicians fall prey to the superstitious belief that too thorough an analysis of a piece of music will destroy the intuitive quality and the freedom of their performance, mistaking knowledge for rigidity and forgetting that rational understanding is not only possible but absolutely necessary in order for the imagination to have free rein.[53]

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[50] Taruskin, *Text & Act*, 77.

[51] Barenboim, *Everything Is Connected*, 52–3.

[52] Patricia Kopatchinskaja, *Patricia Kopatchinskaja | A Day in the Life of the Moldovan-Austrian Violinist* (Sounding Images, 2012), 11:47. https://www.youtube.com/watch?v=BpHRoqBXgvo&list=PL7ov62RUZK3V6Dzh_bKa4Ieu0Oka_HLfU&index=29

[53] Barenboim, *Everything Is Connected*, 46–7.

While specific analytical models are not suggested, Barenboim's description implies that there is no such thing as too much analysis, or too much knowledge. This thought is also supported by Joel Lester, who asks "What sorts of analysis can assist performers of Mozart's music? My answer...just about everything."[54] The other implication of this idea is that one must keep an open mind to the work, and not simply cleave to traditional analytical tools out of habit, but continue to search and question. For many performers, relationships with musical works can evolve in this fashion over a lifetime, with each performance prompting another investigation, a change of perspective, and ultimately a different interpretation. As Barenboim states, "After this initial contact, then, I can proceed to an analysis of the piece, work on it, think about it, turn it upside down and, in so doing, acquire far more knowledge of the music than I had upon the original reading of it."[55]

A natural consequence of this individual artistic voice and the responsibility of the performer to resuscitate the work through performance is that the range of interpretive possibilities is much wider than many are prepared to realise. Barthold Kuijken illustrates this effectively through his graph, "The Compass", which uses the cardinal directions to form a sliding scale (see fig 2.1).[56] The east and west points on the compass indicate for whom the performer feels loyalty (does he or she play most with audience or the composer in mind), while the north and south poles indicate the extent to which the performer is subservient to, or in command of, the work (do they follow the score faithfully, or do they assert their creative stamp on in even if it contradicts the score). Positing that most performers will reside somewhere in the middle at a position of their choosing, rather than on the extreme points, he nonetheless defends that all kinds have validity. Perhaps more interestingly, he posits that each piece may require a shift of priorities depending on the qualities the performer observes in it.

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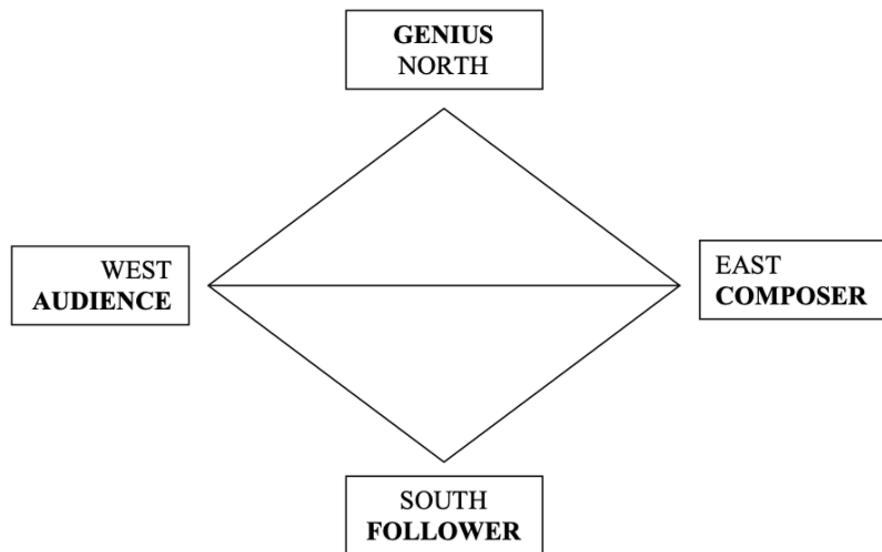
[54] Joel Lester, "Analysis and Performing Mozart," *College Music Symposium* 51, (2011), https://www.jstor.org/stable/10.2307/26513065

[55] Barenboim, *Everything Is Connected*, 57–8.

[56] Kuijken, *The Notation Is Not the Music*, 101–106.

Figure 2.1. Barthold Kuijken's "The Compass"



What this also represents is a sliding scale of listening experiences amongst audience members. While points on the outer extremes will most likely attract few listeners, and will therefore prove unsuccessful through their obscurity, there is a wide gamut of interpretations, and indeed musical features, that listeners might be primed to hear. The demographic spread of any audience could include those completely uninitiated into classical music, through to the casual appreciator, to musicologists, performers and composers, whose expertise guarantee some depth of knowledge, but potentially differing priorities. As Lawrence Ferrara summarises, "listeners experience music as a multiplicity of levels of significance which may include the sound-in-time, formal properties or syntax, the symbolic transformation of human feelings and the exemplification of a sense of the historical epoch in which the musical work was created."[57] The performer's responsibility is also to then address all of these features in their performance.

[57] Lawrence Ferrara, *Philosophy and the Analysis of Music: Bridges to Musical Sound, Form, and Reference* (New York: Greenwood Press, 1991), xiii.

To this end, it is interpretation, which highlights different features in different ways, that all listeners, even formal analysts, are interested in hearing in performance. Bruce Ellis Benson highlights that

> …it is precisely what is *not* to be found in the score that we often most value. How those notes are *played* explains why an interpretation by von Karajan or Stokowksi [sic] not only *sounds* so radically different from one, say, by Hogwood or Pinnock, but may well have a radically different *effect* on us - and that effect may well cause us to choose one over the other.[58]

In short, audiences regularly choose to attend concerts or procure recordings of pieces by certain performers, ensembles and conductors, precisely for how they make sense of the text differently. While tastes may dictate that some prefer what can be viewed as a more faithful recounting of a text and performance practice, others are drawn, consciously or otherwise, to the opposite. One only needs to think of violinists such as Patricia Kopatchinskaya, and Nigel Kennedy before her, who polarise audiences with their unorthodox yet textually faithful interpretations, attracting both passionate fans and fervent denouncers. To deny this phenomenon is to stunt the dialogical exchange between the musical triumvirate of composer, performer and listener, ultimately to the detriment of all three.[59]

The Improvisational Attitude

As mentioned earlier, live performance unfolds through time. It cannot be repeated, and the way in which it unfolds cannot be predetermined. It is this element of discovery that draws listeners to the concert hall to hear works that they may already know extremely well. Barenboim describes this phenomenon as improvisational, though firmly based in preparatory work:

> The next step is the result of knowing the material in the most detailed way, which allows me to relive the first encounter, this time, however, with a kind of conscious naïveté, which allows me to unfold the piece as if the music is being composed as I play it. Very often, after having worked in depth this way, something will unexpectedly occur to me during the

[58] Benson, *The Improvisation of Musical Dialogue*, 84–5.

[59] Benson, *The Improvisation of Musical Dialogue*, 164.

> performance, making me go in a direction that never struck me in all the times that I had played it at home. This spontaneous realisation, though, would not have been possible without all the repetitions and the familiarity resulting from intense study. This is why improvisation – going in an unexpected direction, allowing the fingers, the heart, the brain, the belly, to cooperate in an unpremeditated way – is a very blessed state in the life of a human being, as well as the basis for making music.[60]

Bruce Ellis Benson also describes this 'improvisational attitude', further confirming that all performance shows elements of some kind of improvisation.[61] While our traditional conception of improvisation involves the composition of a jazz solo or even a Baroque cadenza on the spur of the moment, Benson highlights that all performers engage with this *mindset* on some level, even if to a small degree. While he identifies eleven types of improvisation, spanning the full gamut of musical possibility, it is types 1 and 11 that performers of standard Western art music participate in, and that are relevant to Korngold's Violin Concerto. Type 1 refers to the areas of indeterminacy as identified by Ingarden, and which were the source of Stravinsky's anxiety regarding performers. These include such considerations as determining dynamics, tempi, phrasing and timbre. Type 11 refers to improvising on the inherited traditions of performing works. As Benson identifies, "working within a tradition inevitably requires modifying that tradition by augmentation and transformation."[62] This includes trends that change over time, an example of which could be the recent decrease in vibrato use in performances of baroque works. This point is exactly what Ingarden affirmed as vital for the continued existence of an artwork, and Benson identified as the drawcard for audiences. This is also what Emmanuel Kant referred to as 'genius': "in mere imitation the element of genius in the work - what constitutes its spirit - would be lost".[63] It is worth noting that this attitude has strong resonances with Cone's 'third reading', where consciousness of what will happen is purposely suppressed to allow for a sense of discovery and innovation.

[60] Barenboim, *Everything Is Connected*, 57–8.

[61] He emphasises that this list is not exhaustive; Benson, *The Improvisation of Musical Dialogue*, 26–30.

[62] Benson, *The Improvisation of Musical Dialogue*, 29.

[63] Benson, *The Improvisation of Musical Dialogue*, 181.

Instrument-cum-sound

Another aspect of performing that has been largely overlooked is the relationship between the performer and their instrument. As previously established, an imagined aural rendition of a score is incomplete and highly subjective, yet this fact is often ignored, as is the physicality of a performer, which invariably entails their instrument. Equally important, however, is the fact that when performers conceive imagined and realised performances, they invariably do so through the embodied knowledge of their instrument. As Doğantan-Dack argues, "Performers do not think merely in and through sound, but in and through *the instrument-cum-sound*."[64] This point has been made by others, such as Cone, who posits that "The voice of an instrument is not to be narrowly construed as an abstract or ideal sound; it is the actual sound as conveyed through the mechanics of an instrument by the energy and dexterity of a player, and its character depends on the potentialities and limitations thus defined."[65] Cone posits that we think of good performances as the "musician-*cum*-instrument", not as seperate entities. As such, the music should feel as if it is "composing itself through the player by means of an instrument."[66]

Psychology and Performance

It is well beyond the scope of this dissertation to delve deeply into the growing literature on performance psychology. It is still useful, however, to make connections between the discussion so far and this burgeoning research, as it indicates that such elements as imagination and narrative devices are vital for learning and performing processes on a neural, as well as artistic, level. Research by Chaffin and Imreh suggests that knowing the structure of a musical work is important in the early stages of memorising it, forming chunks by which the brain can begin to map the

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64 Mine Doğantan-Dack, "The Role of the Musical Instrument in Performance as Research: The Piano as a Research Tool," in *Artistic Practice as Research,* 172.

65 Cone, *The Composer's Voice,* 107.

66 Cone, *The Composer's Voice*, 106.

entirety of the work: “The artist is shaping the way an audience's experience unfolds across the performance, and it is attention to structure that makes this possible. Attention to structure serves the double purpose of preparing both the interpretation and the retrieval structure. Indeed, the two are not readily separable.”[67] In the hierarchy of memorising that they outline, structure helps the brain piece together basic performance cues, which include correct fingerings, notes and rhythms. These usually start with very small units from notes to bars to phrases and so on. Further on in the process, however, higher level cues are needed to maintain a memorisation of the entire score along with all the motor programming. These are also endowed with interpretive cues, which Chaffin and Imreh define as matters relating to dynamics etc. Basic performance cues eventually have to be dispensed with, as they get in the way of forming an overall picture of the work. The top of the hierarchy is the expressive cue, which covers such ideas as to play as if surprised, or with a mysterious feeling, and it is these cues that actually allow the performer to complete the process of memorisation, and dispense with conscious thought of stringing together basic performance cues. As they found, “Expressive cues came to form a new level in the retrieval hierarchy that could elicit the motor responses that make up the performance, the basic and interpretive performance cues, and the more detailed knowledge of the piece represented by the complete sets of basic and interpretive features.”[68] These findings provide a scientific basis for Kopatchinskaya’s and Barenboim’s comments that one must become the work in order to be able to perform it effectively. This is confirmed to come out of deep work on the piece, that ultimately has to transcend formal analysis and attain a level of interpretation based on imagination.

Research by Isabelle Héroux into the shaping of interpretations by musicians builds on these findings. In her 2016 article “Understanding the Creative Process in the Shaping of an Interpretation by Expert Musicians”, Héroux reported findings that musicians in the study needed to undertake

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[67] Roger Chaffin and Gabriela Imreh, “Memory and Performance,” in *Practicing Perfection : Memory and Piano Performance*, Roger Chaffin, Gabriela Imreh and Mary Crawford (Mahwah: Taylor & Francis Group, 2002), 210.

[68] Chaffin and Imreh, “Memory and Performance,” 215–16.

processes of "artistic appropriation" to help them memorise a work.[69] The two subjects she reports about had different processes for doing this; Subject 2 formed extra-musical aids, such as narratives, early in the process as a means of memorising, combining expression with technique at the early stages. Subject 3, on the other hand, preferred to unlock the meaning within the musical text, though found himself engaging in creative interpretation not fully supported by score-based evidence. He conceded that this was the case, but that it was probably ok up to a certain point.[70]

Written Analysis

Musical performance is an act of creating musical meaning. During this act a performer puts forth an interpretation of a musical work, which listeners can then choose to engage with to derive their own meaning from it. Though performers spend most of their time engaged in this process, and its fruits are the main form of music appreciation for most people, it is seldom explored in music scholarship outside the realm of philosophy. The pervading attitude, it would seem, is that performative interpretation is simply a practical act that takes place at the time of the performance, and therefore cannot be written about in a meaningful way. In light of all of this, how can written analysis support and reflect performative processes? First and foremost it can pose questions and uncover features of the score that can aid performers in their investigations. It can help to establish boundaries, based on the history of the work, and the inherited tradition of interpretation within performance. Just as a sport such as tennis has clear boundaries about what is acceptable and what helps you win the game, each game is completely different. Even after establishing musical boundaries, one can still choose to reside outside of them, unlike sport. Doing so with an investigation, however, means it is done with a clear intentionality and ethos, rather than as a haphazard whim.

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[69] Isabelle Héroux, "Understanding the Creative Process in the Shaping of an Interpretation by Expert Musicians: Two Case Studies," *Musicae Scientiae* 20, no. 3, 2016: 304–324. DOI: 10.1177/1029864916634422

[70] Héroux, "Understanding the Creative Process", 320.

While it is indeed true that writing does not sufficiently replace listening, it does not mean that we cannot engage with the written form as a means of shedding light on the multifaceted considerations that performers grapple with to conceive of an interpretation. As Lawrence Kramer suggests:

> It is true, of course, and obvious that the words cannot *substitute* for the experience of hearing or playing the music; but it is equally true, and should be equally obvious, that they are not meant to. It is also true that the words don't say everything that could be said about the music, but they are not meant to do that, either. They are not wholly satisfying, but they are, again, not meant to be. (We may not even want them to be.) It isn't at all necessary for us to "hear" what the words say in our immediate experience of the music, though we may find such a resonance upon later reflection or in our imaginations. All that is necessary is for us to hear or play the music as one would do when oriented, predisposed, by those particular words. Once we do that, meaning will emerge in full force and make itself available to our understanding.[71]

While Kramer focusses on words as priming device for listening and performing, I suggest that any kind of investigation should fit this description, and that meaningful performance does not necessarily rely on reading words first.

The benefits to be gained by persevering and attempting to fulfil these challenges, however, make it worth the effort. As Coessens *et al.* declare, "The strength of the artist-researcher lies in his or her capacity to reinvent social relations, to create new knowledges, to affect an audience in new ways and to reveal different meanings and intellectual observations."[72] While many strands of artistic research are best demonstrated through the creative work, reporting on insights and processes in text also gives the researcher the opportunity to render at least some of the 'invisible' outcomes visible, and therefore open them to further reflection and discourse. Investing in ways to express outcomes "can offer new insights, whether cognitive, artistic, aesthetic, or practical."[73] The following section will detail my methodology resulting from the discussion inChapters One and Two.

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[71] Lawrence Kramer, *Interpreting Music* (Berkeley: University of California Press, 2010), ProQuest Ebook Central, http://ebookcentral.proquest.com/lib/usyd/detail.action?docID=581278, 95.

[72] Coessens *et al*., *The Artistic Turn*, 161.

[73] Coessens *et al*., *The Artistic Turn*, 174–5.

Methodology

For anyone involved in aesthetic practice, it is less easy to be 'captivated in acceptedness' of the empirical world: what is fundamental to Being is grasped from a critically different place.
Lawrence Ferrara[74]

The school of philosophy known as Phenomenology, pioneered by Edmund Husserl (1859–1938), offers the performer a useful framework for engaging with the concept of a work. Assuming a phenomenological attitude changes the relationship between the individual and how they perceive the world around them. Rather than finding objects in the world that have an intrinsic meaning that is closed off to us until we assert an analytical method onto it to begin to unlock that meaning, we instead derive meaning from our conscious experience of those objects. In other words, they gain meaning through our experience of them. But what does this mean for musical analysis and interpretation? Instead of approaching a work through one particular lens, such as harmonic analysis, we allow ourselves to remain open to the experience of the work, responding to the various elements that our consciousness engages with. Essentially, instead of tacitly assuming that a particular pre-chosen analytical tool will unlock the significance and meaning of an object (a work), our directed consciousness finds moments of meaning, which we then try to understand through potentially numerous tools chosen from the relevant conscious experience. The danger we can avoid in this way is to close ourselves off from the various layers of meaning that could potentially be derived from our experiences. As Ferrara posits, "As the method replaces the immediacy of the analyst, music comes to mean only what methods allow it to mean."[75]

In order to achieve this openness to the work, Husserl appropriated the concept of 'epoché', which was an established component of many ancient Greek schools of philosophy. Commonly

[74] David Clarke, "Music, Phenomenology, and the 'Natural Attitude': Analysing Sibelius, Thinking with Husserl, Reflecting on Dennett," in *Music and Consciousness 2* (Oxford: Oxford University Press, 2019), 22.

[75] Ferrara, *Philosophy and the Analysis of Music*, xvi.

translated as 'suspension of judgment', its aim is to direct consciousness to various areas in a systematic fashion while blocking tacit assumptions and prejudices. This seems particularly pertinent to a discussion of Korngold's Violin Concerto, given the combination of mystique and vitriol that, though changing slowly, still exists in most listeners' minds. As such, these various prejudices and commendations will be examined first, so that they can be suspended as much as possible from the analytical process. Another reason for adopting this attitude is simply due to the sheer lack of academic discourse regarding Korngold's outputs, particularly in relation to the concerto. This means dealing with a virtual tabula rasa as I attempt to analyse different components of this musical work, and therefore a strengthened need for openness of mind. As Thomas Clifton asserts in *Music As Heard*, "A properly conducted phenomenological inquiry strives to avoid such prejudices as come in the form of premature answers, uncritically accepted beliefs, or wishful thinking."[76]

In his book *Philosophy and the Analysis of Music*, Lawrence Ferrara sets out a method for encompassing what he describes as the three main areas of musical analysis, namely "explanation (of form), description (of the sound-in-time), and interpretation (of reference)".[77] This 'eclectic method' allows for the exploration of traditional notation-based analysis, performance practice and listening, as well as historical context and the life of the composer, a synthesis akin to the kind of work that performers undertake. This method, however, "must be penetrable; it must allow any level of musical significance to pass through or penetrate its questioning structure and add to the listener/analyst's database."[78] This ensures an openness towards all possible layers of information at any given time. Looking at the "Ten Steps" derived by Ferrara for his eclectic method, we can see

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[76] Thomas Clifton, *Music as Heard: A Study in Applied Phenomenology* (New Haven: Yale University Press, 1983), 17.

[77] Ferrara, *Philosophy and the Analysis of Music*, 180.

[78] Ferrara, *Philosophy and the Analysis of Music*, 179.

the broad, and somewhat ambitious nature of the types of analyses he considers to address the issue of the intersubjective nature of the musical work:

I. Historical Background
II. Open Listenings
III. Syntax
IV. The Sound-in-Time
V. Musical and Textual Representation
VI. Virtual Feeling
VII. Onto-historical World
VIII. Open Listenings
IX. Performance Guide
X. Meta-Critique

This wholistic approach has made general phenomenological framework, and Ferrara's method specifically, popular in recent times with students grappling with the task of writing meaningful dissertations to accompany their creative works.

While Ferrara does not necessarily intend for all steps to be included in a written analysis, (indeed only several of these steps will be used in my examination), it is clear that listening is a key component of the method. An emphasis on listening is of great importance, not only in phenomenological investigations, but also in performance studies, as previously mentioned. The process of learning a piece with the goal of performing it usually begins with a study of the score, resulting in an imagined sonic correlate. Recordings can also be consulted through the learning of the work, with performers often gravitating to one particular recording for a number of personal aesthetic reasons. This being the case, it follows that much of the performer's understanding of the musical concepts of a piece come from this critical stage. Ferrara deems it so important that he accounts for two listening-related steps in his eclectic method: one towards the beginning of analytical work, before other layers of information have been mined, and one towards the end, fully endowed with the analyst's findings. Ferrara points out, in his article "Phenomenology as a Tool for Musical Analysis", that personal value systems will always inform any analysis of a work, but his phenomenological methodology prompts one to open their ears as much as possible to respond to a

work itself, rather than trying to squeeze a work into ill-fitting constraints.[79]

The concept of conducting 'open listenings', in which the listener slowly gleans more and more information about a piece purely by listening, enables one to examine and discuss the more subjective and transcendental aspects that move an audience. As Ferrara says, "If the work functions at levels of meaning other than syntax, then so must the analysis. Musical analysis must not be limited to a discussion of formal elements".[80] In other words, an artistic work of any kind is greater than the sum of its parts, and identifying the 'x factor' that makes a work exceptional often comes down to the feeling the piece imparts to the audience through the hearing of it. One could draw a parallel between open listenings and Edward T. Cone's "first reading".

Ferrara identifies, however, that the combination of phenomenological and more traditional analysis methods, particularly for tonal works, provides the most complete examination of a work:

> …traditional procedures like those of Schenker, Jan LaRue, or others could be used to uncover and articulate elements of musical syntax and style that a phenomenological inquiry might miss. Of course, the reverse might be the case as well; phenomenology provides a method that may uncover dimensions of syntax not usually explicated in conventional approaches to musical analysis. This certainly strengthens the case for a synthesis of phenomenological description with other traditional forms of musical analysis.[81]

Steps I Will Take

Treating Ferrara's steps as inspiration for broader categorisations rather than prescriptive requirements, the first part of the discussion of the Violin Concerto will delve into historical background. While this will entail the background of the piece, as well as of Korngold himself, it will centre around the various circumstances that have informed the concerto's reception to date. This will also involve discussion of its reception today. As Korngold's compositional practices are

[79] Lawrence Ferrara, "Phenomenology as a Tool for Musical Analysis," *The Musical Quarterly* 70, no. 3 (1984), 355–373.

[80] Ferrara, "Phenomenology as a Tool," 373.

[81] Ferrara, "Phenomenology as a Tool," 360.

not yet cemented in scholarship, an overview of stylistic traits across his oeuvre that pertain to the concerto will be summarised. Beginning the concerto analysis in earnest, each movement will contain the steps I outline below.

An 'Open Listening' will be included in my analysis as a means of showing how the analysis is guided by the initial experience of engaging with the work through listening. It is also an attempt to preserve the nature of the unfolding temporal experience in text, before applying an analytical eye. A brief 'Syntax' section will follow to provide basic formal information, addressing the lack of musicological investigation into the work so far. This will mainly centre on important points regarding the structure of each movement, and is certainly not intended to be exhaustive.

Steps Four, Six and Seven will be jointly dealt with under the subheading of 'Virtual Feeling' within the analysis; this step will be the most detailed, mirroring performative interpretation processes. As part of this analysis, I will be using elements of topic theory and semiotics as a bridge between syntactical matters and more descriptive language. These methods of enquiry are useful for engaging with matters of style and character. In addition to the work of Kofi Agawu and Janice Dickensheets,[82] I will be drawing on Raymond Monelle's extensive writings in the field as a core reference.[83] As Michael Klein posits, "…a narrative project serves interpretation in the way that performers think of it…Study of musical narrative may tell us much more about a good performance than do the staid accounts from the classic performance-and-analysis paradigms."[84]

The 'Musical Representation' step will be used as a discussion of the filmic origins of the piece in relation to the concerto, rather than a thorough analysis of each film. Access to the films is

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[82] Kofi V. Agawu, *Playing with Signs: A Semiotic Interpretation of Classic Music,* (Princeton, N.J: Princeton University Press, 1991), 50.; Janice Dickensheets, "The Topical Vocabulary of the Nineteenth Century," *Journal of Musicological Research* 31, no. 2–3, (2012), 137.

[83] Raymond Monelle, *The Musical Topic: Hunt, Military and Pastoral, (*Bloomington: Indiana University Press, 2006).

[84] Michael L. Klein, "Musical Story," in *Music and Narrative since 1900*, ed. Michael L. Klein and Nicholas Reyland (Bloomington: Indiana University Press, 2013), 17.

limited today, particularly in countries outside of the US. It is not impossible to find copies, but it does indicate a likelihood that listeners of the concerto today are largely unfamiliar with the films from which material has been taken. As such, discussion of those films has purposely been placed after the concerto analysis, in keeping with the average listening experience today. This has also been done to highlight that finding meaning in the concerto is not contingent on thorough knowledge of its filmic origins. This extra layer of semiotic information is nonetheless useful in revealing how Korngold's background in the late-Romantic compositional style provided a natural framework with which to approach the newly established occupation of scoring talking pictures in 1930s Hollywood, and the reciprocal process of adapting that film music back to the concert hall. Dickensheets proposes that most of the population today is exposed to art music through the medium of film scores, and most orchestral film scores employ topics, an observation that assists in the consideration of how audiences hear the concerto today.[85]

Lastly a 'Performance Guide' for the Concerto will close the analysis chapter. Rather than adopt Ferrara's prescriptive language, this discussion will draw attention to examples of interpretative interest, as well as offer suggestions more generally. An appendix is included at the end which contains a synopsis of each film followed by an overview of the film score material directly related to the concerto, for reference.

[85] Janice Dickensheets, "The Topical Vocabulary of the Nineteenth Century," *Journal of Musicological Research* 31, no. 2-3, (2012): 137. DOI: 10.1080/01411896.2012.682887.

Chapter 3

Reception Then and Now

The Violin Concerto - Composition, Premiere and Subsequent Reception

Korngold originally wrote the concerto with violinist Bronislaw Huberman in mind, though a meeting with Jascha Heifetz, and Huberman's refusal to set a first performance date, led to Heifetz's eventual premiere of the work.[1] This world premiere took place in St. Louis, USA, on 15th February 1947, under the baton of Vladimir Golschmann. This note by Korngold appeared in the program:

> In spite of its demand for virtuosity in the finale, the work with its many melodic and lyric episodes was contemplated rather for a Caruso of the violin than for a Paganini. It is needless to say how delighted I am to have my concerto performed by Caruso and Paganini in one person: Jascha Heifetz.[2]

The following letter was written by Korngold in the lead up to this premiere, to explain the concerto and his musical ideals to the press, though it was never used:

> I want a confirmation, an answer to a question of decisive importance for me: is there still a place and a chance for music with expression and feeling, with long melodic themes, formed and developed on the principles of the classic masters - music conceived in the heart and not constructed on paper? Please don't get me wrong. I was never and I am not today, a reactionary or an old-fashioned composer. On the contrary; brought up with the sound of Richard Strauss's *Elektra* and the symphonies of Gustav Mahler (which by the way, still today - after forty and fifty years - are progressive, more daring, and newer than most of certain symphonies written in the last ten years!), I was one of the first ardent admirers of Stravinsky.
>
> I remember well the time when I, as a musical child prodigy of eleven and twelve years, baffled and scared the music authorities with my own harmonically ultra-modern compositions. But ever since I started…I always remained true to my own beliefs; that music should be melodic, and as an old Viennese master used to preach and teach to me - "wohllautend" (well-sounding). The world premiere of my concerto this coming Saturday will be a most important and exciting event in my life.[3]

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[1] Brendan G Carroll, *The Last Prodigy: a Biography of Erich Wolfgang Korngold* (Portland, Oregon: Amadeus Press, 1997) 320–1.

[2] Carroll, *The Last Prodigy*, 329.

[3] Carroll, *The Last Prodigy*, 329.

The concerto was a success with audiences, while some critics expressed their support for it, as evidenced by the following review: “Whether the concerto is great music, one, after only a first hearing, would hate to say…Only Time will assess its authentic values. This enthusiastic admirer believes Time will find true values there.”[4]

Korngold was anxious about the New York performance that was to soon follow, expressing well-founded concerns about its potential critical reception. A now lost letter written on 20th February 1947 to Josef Reitler, an old *Neue Freie Presse* colleague of father Julius’s, now professor at Hunter College, articulates this fear:

> My violin concerto was triumphantly received in St. Louis. A success like in the best times in Vienna. My father often sprang to mind….Heifetz put his heart and soul into the work - and played with intense ardor. I enclose a copy of the only morning paper in St. Louis which mentions two inestimable things: the most enthusiastic ovation in the history of the hall and the prophecy of a lifespan like that of Mendelssohn’s concerto (I need no more than that!).
>
> I now have five weeks until the New York critics tear it apart (it is even possible that I shall conduct it myself in New York). I must use this time to the full. I would be most grateful for your help in this. Is there any chance you could get a small report of its success into the New York music press or even a daily paper…? I seem to be helpless and neglected here, I have no manager, no agent, not even a publisher in America. (All I can do is to send a copy to Schott in London who will print the work. But they obviously have no influence in New York.) Please do what you can. If the knowledge of this success reaches the music world (violinists, directors, and audience) before the New York critics vent their snobbish, atonal anger on it, the violin concerto may be a decisive turning point for me, a comeback![5]

It was indeed this performance that prompted some vicious critical responses that have endured. Olin Downes of *The New York Times*, dubbed it a “Hollywood Concerto”, while Irving Kolodin of *The Sun* described the work as “more corn than gold”, an epithet still heard today. This enduring piece of acerbic word play might indeed constitute the 1940s version of ‘clickbait’.

Given Heifetz’s status as arguably the best and most respected concert violinist in history, it is inexplicable that he received only praise for his choice in performing and promoting the work, while Korngold suffered cruel judgment. Heifetz’s interest in promoting works that were not

[4] Carroll, *The Last Prodigy*, 330.

[5] According to Carroll, the letter no longer survives, though Reitler’s sympathetic response remains preserved; Carroll, *The Last Prodigy*, 330.

necessarily looked upon favourably by music critics was not extended to Korngold alone. In fact, Heifetz's numerous arrangements not only show his interest in experimenting with musical genres, but also his desire to bring them to the concert hall through new mediums. It is evident, not only from these arrangements but from his output in general, that he was a champion of composers of all genres, irrespective of their reception by critics of the day. The Deutsche Grammophon recording release, *It Ain't Necessarily So*, proves this singlehandedly, as it contains fifty two recordings of Heifetz playing works from composers as diverse as Chopin, Ravel, Weill and Irving Berlin, as well as featuring a duet with Bing Crosby.[6]

One suspects that Heifetz was aware that his established image as the best concert violinist of the day afforded him the clout and influence to become a 'taste-maker' within art music, that is, someone who shapes what trends will become fashionable. Famous violinists today are arguably in the same position, especially with the ease of access to their audience base through social media platforms, helping to revive Korngold's Violin Concerto.

To understand what caused Korngold to fear how the concerto would be received, and what subsequently prompted him to write these impassioned letters, it is worth taking a brief look at the political and cultural crucible that wedged Korngold.

Opera, Wagner and Film

The fully integrated and highly coveted place of cinema within modern life can be traced back to the earlier classical period of Hollywood filmmaking around the 1930s–40s, though this period owes its popularity to a cultural experience already firmly established when the first camera was invented. Opera had been a widely popular form for close to two centuries by the time early twentieth-century European audiences were enjoying them. As Taruskin discusses in "The Golden

[6] Jascha Heifetz, *It Ain't Necessarily So: Legendary Classic and Jazz Studio Takes*, (Deutsche Grammophon, 00289 477 6269 G OM2, 2006).

Age of Kitsch", opera had reached such a height in the early twentieth century that audience appetites demanded a constant turnover of new material, with each opera that managed to be staged enjoying an explosion of multiple performances and corresponding accolades, before fizzling out and being replaced by the next sensation.[7] This phenomenon is so entrenched today in such areas as popular music and cinema that it is considered the norm.

Opera's popularity as the art form that could encapsulate and convey epic stories and human drama was eclipsed by the advent of the 'talkies', or film with sound. As Taruskin posits, "With the advent of the sound film, opera found its preeminence as a union of the arts compromised and its standing as the grandest of all spectacles usurped. The kinds of subjects that had been its chief preserves – myth and epic, historical costume drama, romantic melodrama, fast-paced farce – suited the new medium even better."[8] Opera could not compete with the realism offered by a medium that was not held back by such constraints as live performance, theatre and stage dimensions, and time continuity. As Walter Benjamin explains, "for contemporary man the representation of reality by the film is incomparably more significant than that of the painter, since it offers, precisely because of the thoroughgoing permeation of reality with mechanical equipment, an aspect of reality which is free of all equipment."[9] These technological advancements allowed audiences to reach much closer to actors, and therefore immerse themselves more fully in the experience of the drama.

This new sound film needed to establish a sound world in which live musicians accompanying on an organ, or pastiches of pre-existing music were no longer viable. Given its ubiquitous, and therefore expected, use in cinema today, we take for granted that the classical Hollywood score was a construct that consciously needed to be found and instituted. Its choice of Romanticism was not just pragmatic happenstance resulting from the skillset of the European

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[7] Richard Taruskin, "The Golden Age of Kitsch," in *The Danger of Music and Other Anti-Utopian Essays* (Berkeley: University of California Press, 2019) 246.

[8] Taruskin, "The Golden Age of Kitsch", 246.

[9] Benjamin, Walter, *The Work of Art in the Age of Mechanical Reproduction,* trans. J. A. Underwood (Penguin Great Ideas. Harlow, England: Penguin Books, 2008) 236.

emigres arriving in Hollywood, but also a wish to create greater unity within a film. On a practical level, music is the only element of a film that does not suffer from discontinuity, unlike the drama (where time is manipulated to fit within a two-hour frame), various changes in camera angles, and the stitching together of scenes in post-production. The use of original music was also cheaper than stitching together a motley crew of pre-existing pieces of music that were already protected by copyright laws. Artistically, the tools of Romanticism allowed for the representation of both the expansive and universal, and the miniature and intimate. If we consider a film in the Western genre, we expect both a grandiosity of concepts, such as good vs evil, and settings, such as the extensive desert, but also to follow the individual hero on his quest to restore good, usually with a measure of personal introspection and recollection. In fact, as Caryl Flinn observes, this mix of large and small, or rather the "aggrandized notion of the human subject", is a chief preoccupation in Wagnerian opera.[10] It is no surprise then that Wagnerian practices, a norm in opera post-Wagner, were seen to fit these new demands. While there is scholarly disagreement about the use of the term *leitmotif* in reference to film scoring techniques, it is clear that its institution, whether considered expert or not, became one of the hallmarks of thematic development within a score as a narrative tool. Also, the "reversion to a nineteenth-century romantic model offered the promise of plenitude and unity on aesthetic levels because music supposedly rounded out the mass-produced film text through an ability to engender emotional, verisimilitudinous, and humanising effects."[11]

Modernism

Korngold's lost letter, and the subsequent critical responses, highlight some interesting points about the time in which Korngold found himself. Joshua Adam Henry's dissertation "The Dichotomy Between Film Music and Concert Music: Demonstrated By The Careers Of Aaron Copland and

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[10] Caryl Flinn, *Strains of Utopia: Gender, Nostalgia, and Hollywood Film Music* (Princeton: Princeton University Press, 1992), 26.

[11] Flinn, *Strains of Utopia*, 153.

Bernard Herrmann", offers a thorough dissection of some of the overarching historical and contemporary issues that have been inherited through to the present day.[12]

The first of these, the uneasy relationship between art music and pragmatic music, still endures to this day, but has actually been straddled by composers throughout the history of Western art music. As Henry points out, one of the greatest examples of this is Johann Sebastian Bach, many of whose works were written for occasions such as weekly Sunday mass.[13] His image as a 'serious' composer of art music does not seem to have been in any way tainted by this association. This is of particular interest when one considers that, like Bach and his many church-funded positions, Korngold's patron, for all intents and purposes, was Hollywood. Henry proceeds to point out that works by Haydn and Mozart that fall into the category of incidental theatre music have been ignored as worthy subjects of academic music analysis. This phenomenon continues up to the present day, with only a few notable exceptions, such as Grieg's *Peer Gynt* suite, which also had its origins in incidental theatre music.

The comparative merits between absolute music and programmatic music have also shaped the debate. With the rise of art music composition in the nineteenth century, there was also a rise in the composition of programmatic works, that is, music with extramusical ties or inspiration. As Henry points out, the culmination of this particular genre can be seen as the tone poems of Liszt and Richard Strauss. Interestingly, Henry includes a quote from Harry Lojewski, the MGM studio music director at the time of Korngold, who called each of these tone poems "a score to an invisible film".[14]

The modernists of the twentieth century shunned pragmatic and programmatic music, both of which are intrinsic elements of composing music for film. The third factor that Henry throws into

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[12]Joshua Adam Henry, "The Dichotomy Between Film Music and Concert Music: Demonstrated by the Careers of Aaron Copland and Bernard Herrmann" (MMus. diss., The University of Wisconsin-Milwaukee, 2017).

[13] Henry, "The Dichotomy Between Film Music and Concert Music," 7.

[14] Henry, "The Dichotomy Between Film Music and Concert Music," 8.

the mix is that of economics. While pragmatic music, through its very nature implies a financial motivation for its composition, working for the film industry was regarded (and still is to an extent) as particularly low, often attracting the derogatory description of an artist as a sellout. Henry explains that this was a problem particular to the US, given the well-oiled machine that Hollywood became, as opposed to cinema in Europe which has never been as systematised, even to this day. Hermann is quoted in the paper as saying, "America is the only country in the world with so-called "film-composers" - every other country has composers who sometimes do films".[15]

As Caryl Flinn elegantly summarises, "In order for modernism to expel Wagner in particular and romanticism in general it had to abandon some of the movement's fundamental principles. Among them were its highly sensual, expressive understanding of music, its affiliation of music with human emotion and immanence and with the idea of ineffability."[16] This is also evident amongst American composers at the time, most vocally Aaron Copland in 1941:

> Most Hollywood scores are written in the late nineteenth century symphonic style, a style now so generally accepted as to be considered inevitable. But why need movie music be symphonic? And why, oh why, the nineteenth century? Should the rich harmonies of Tschaikovsky, Franck, and Strauss be spread over every type of story, regardless of time, place, or treatment?[17]

Though ultimately dismissing Korngold's operas as 'kitsch', Richard Taruskin at least takes pains to shut down any possible artistic or intellectual justification of the Nazis' policy, identifying that "There are no lessons to be learned from studying the Nazi index of banned musical works, which, like the Nazi canon, contained masterpieces, ephemerae, kitsch, and trash, covering a wide

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[15] Henry, "The Dichotomy Between Film Music and Concert Music," 68.

[16] Flinn, *Strains of Utopia*, 20–1.

[17] Horowitz, *Artists in Exile*, 131.

stylistic and ideological range”,[18] later saying that “for the Nazis, the first question about a work of art was never, What does it say? It was, Who is speaking, friend or foe?”[19]

Listening Today

Most inhabitants of the Western world today are familiar with, if not fervently invested in, the orchestral Hollywood sound as found in juggernaut franchises such as *Star Wars*, *Lord of the Rings* and *Harry Potter*, all of which have extended their originally conceived confines to make sequel after sequel. The saturation of filmic adaptations of Marvel and DC comic book stories, as well as Pixar and Disney films for younger audiences, is evidence of the public’s appetite for blockbuster films, a cycle perpetuated through the shaping of tastes that follows from such overexposure. These films all contain music heavily drawing from practices established by Korngold and his contemporaries during the 1930s and 1940s, a link explicitly acknowledged by such composers as John Williams. This music has become so popular as a result that concerts devoted to the live performance of film scores, whether accompanying complete screenings of a film or simply playing highlights without visuals, frequently feature in the programming of symphony orchestra seasons, often using their strong ticket sales to fund less popular concert series. The three film franchises above have all enjoyed live concert performances within Australia in recent years, through Sydney, Melbourne and Queensland Symphony Orchestras, for example. This type of consumption highlights several issues of relevance.

Firstly, the phenomenon of film music as a gateway to classical music appreciation is not a new one. Korngold himself said:

> It is not true that the cinema places a restraint on musical expression. Music is music whether it is for the stage, rostrum or cinema. Form may change, the manner of writing may vary, but the composer needs to make no concessions whatever to what he conceives to be

[18] Richard Taruskin, “The Golden Age of Kitsch,” in *The Danger of Music and Other Anti-Utopian Essays* (Berkeley: University of California Press, 2019) 241.

[19] Taruskin, “The Golden Age of Kitsch”, 244.

> his own musical ideology…Fine symphonic scores for motion pictures cannot help but influence mass acceptance of finer music. The cinema is a direct avenue to the ears and hearts of the great public and all musicians should see the screen as a musical opportunity.[20]

This attitude was shared by other composers at the time, such as Bernard Herrmann:

> The whole point I have been trying to make is that screen music is neither industrialized nor insignificant. Indeed the films and radio offer the only real creative and financial opportunities a composer has. He can write a film score for any musical combination and hear it immediately performed. Moreover the film gives him the largest audience in the world – an audience whose interest and appreciation should not be underestimated. A good film score receives thousands of "fan letters" from intelligent music lovers everywhere.[21]

Cinematic use of music, both diegetic and non-diegetic, pre-existing or written specifically for an original setting, has often exposed listeners to classical works already in existence, or to sounds drawing on broad classical music aesthetics. This is particularly true of works considered avant garde, and therefore harder to appreciate, such as compositions of György Ligeti in *2001: A Space Odyssey*, or ubiquitous use of atonality and extended techniques in horror films.

Secondly, a preoccupation with epic stories of heroism, good conquering evil, fantasy and mythology is particularly gripping as subject matter for present day audiences. This has even skipped over the fence to the world of television, most recently exhibited by the enormous success of HBO's *Game of Thrones*. This point is a crucial one when considering Korngold's film output. While the connection to a bygone era of filmmaking might seem tenuous, George Lucas's *Star Wars* was a deliberate evocation of these films. "Young people don't have a fantasy life anymore. All they've got is Kojak and Dirty Harry…the films they see are movies of disasters and insecurity and realistic violence…I want to give young people some sort of far away, excitement for their imaginations to run free."[22] As Lee asserts, Lucas was commenting on the state of the US having recently experienced the assassination of John F. Kennedy, the Vietnam War, Watergate, the Cold

[20] Duchen, *Erich Wolfgang Korngold*, 180.

[21] Henry, "The Dichotomy Between Film Music and Concert Music," 40.

[22] Peter W. Lee, *A Galaxy Here and Now: Historical and Cultural Readings of Star* Wars (Jefferson, North Carolina: McFarland & Company, Inc., Publishers, 2016), 164.

War and “other paradigm-shaking epochs that sent America spiralling downward.”[23] The films that Korngold scored, most of which belong in the genre of historical epics, became a natural blueprint in returning to a form of cinema that had fallen away along with a positive American identity. As Flinn states in *Strains of Utopia*, “contemporary cultural production actively banks on the utopian value that earlier, “classical” American culture - especially cinema of the 1940s - holds for us.”[24] Clear parallels with Richard Wagner and his vision for a German nationalism also come to mind, a point reinforced by the strong connection of his practices with those of film composers.

While Lucas has cited Korngold as a specific reference for *Star Wars* in interviews,[25] John Williams himself has revealed Korngold to be an influence in his writing:

> I’ve been particularly fascinated with the émigrés from Europe in the 1930s - people like Max Steiner and Erich Korngold, but also Vernon Duke and Kurt Weill…They brought this tremendous European culture. In a certain sense, my colleagues and I are the artistic grandchildren of these men. We have been the beneficiaries of a rich tradition that grew up here in the 1930s and ‘40s.[26]

Numerous sources have highlighted the similarity between the main themes of Williams’ *Star Wars* and Korngold’s film score to *King’s Row* (1942), both melodically and instrumentally. As such we can conclude that Korngold’s aesthetic has been proliferated and developed for modern audiences, and that they therefore have semiotic connections to particular musical tropes embodied in the work of Korngold through Williams. This might account for some of the renewed interest in Korngold’s work, that has been taking place since the 1970s, with a particular focus in the last decade.

The current enthusiasm for film music also highlights the variety of listening modes that exist today. Many filmgoers revisit soundtracks after watching a film, through various mediums. As well as attending the live performances mentioned above, soundtracks are released for purchase,

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[23] Lee, *A Galaxy Here and Now*, 163.

[24] Flinn, *Strains of Utopia,* 153.

[25] David W. Collins, “Star Wars: the Music (Part 1),” *The Soundtrack Show* (podcast), May 10 2018. https://www.iheart.com/podcast/105-the-soundtrack-show-29021108/episode/star-wars-the-music-part-i-29301357/

[26] Scott Chernoff, “Score of Force,” *Star Wars Insider* 111, (28 July 2009), 58.

and are available on major streaming services, such as Spotify and Apple Music. Certain composers tour concerts of their music in pseudo-rock concert settings, such as Hans Zimmer, drawing arena-size crowds worldwide. Other film composers continue the tradition of composing concert music, whether based on their film work or not, as shown by both John Williams and Dario Marianelli, the former of which collaborated with concert violinist Anne-Sophie Mutter to release an album of reworked movie themes as recently as 2019. In Mutter's words, "I also want to break the habit of thinking film music doesn't belong to a recital where you're playing Bach and Penderecki. Nonsense. I'll do it."[27]

The combination of easy, rapid proliferation of music across digital platforms, and the popularity of the film soundtrack, have led to the phenomenon of listeners reliving their imaginative film experiences through the relistening of soundtracks away from the cinema. While audiences have listened to classical music recordings outside of the concert hall for decades, the wish to relive film music more readily exposes the desire for people to entertain their imagination in constructed worlds. A once pejorative description like "Hollywood concerto" would now be considered by many to be a drawcard.

Having thus explored some of the many tensions that constrain the Concerto, these will now be put to one side in order to focus attention the Concerto itself.

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[27] Anne-Sophie Mutter, "Legendary Violinist Anne-Sophie Mutter," interview by Tamara-Anna Cislowska, *Duet* on *ABC Classic FM*, 30 August 2019, https://www.abc.net.au/classic/programs/duet/duet-anne-sophie-mutter/9852348.

Chapter 4

Concerto Analysis

Compositional Style

Korngold's oeuvre covers a wide range of genres and ensemble sizes, from chamber music through to large-scale symphonic and operatic works. His chamber music tends to focus on string instruments and piano; this includes three piano sonatas, a violin sonata, three string quartets, a piano quintet and a sextet for strings. Several sets of lieder, two of which are based on Shakespeare, also make up this category, though some were never published. As well as his symphonic film scores, Korngold wrote numerous orchestral works such as the tone poem *Tomorrow* Op. 33 (1944), Theme and Variations Op. 42 (1953), and the Symphony in F# Major Op 40 (1952). As well as five operas, he also wrote other works classified as dramatic, such as the ballet-pantomime *Der Schneemann*, and two cantatas, as well numerous operetta arrangements. He only wrote three instrumental concertos, one each for violin, cello, and piano for the left hand. Scholars have identified many stylistic traits across this varied output, though detailed studies of how each one is used in different genres is limited. While listeners may be familiar with Korngold's general sound, it is worthwhile highlighting a few of these traits to facilitate an understanding of the Concerto analysis that will follow, as well as to unburden this analysis from too much background information. The points I will briefly touch on have direct relevance to the Violin Concerto and the four film scores intrinsically linked to it.

Melody

One of Korngold's most recognisable traits is his ability to compose lyrical, memorable melodies. According to numerous commentators, many of these are built on rising 4ths, 5ths and 7ths, resulting in melodies that leap, or are angular in contour. A few other melodic features have become

apparent in my research, including the significance of the augmented 4th. Surfacing in a number of Korngold’s works, its first appearance occurs right at the beginning of Korngold’s Op. 1, the Piano Trio in D Major. The interval is used as a series of sighing figures played by the violin and cello against the piano, as seen in example 4.1. As well as being one of the salient features of the Violin Concerto, it can also be heard as horn calls in the Adagio of his Symphony in F# Major (bars 12–13 and 25–26).

Example 4.1. Korngold, Piano Trio Op. 1, bars 1–4.

Another feature that has come to light is his use of stepwise, lyrical melodies. While this is foundational across Western art music, Korngold seems to employ these stepwise melodies to convey intimacy and introspection, contrasting with leaping melodies that tend to represent grander concepts. These lyrical melodies can be heard in the second subject of the Violin Concerto’s first

movement, the Concerto's second movement, and arias such as "Marietta's Lied" from *Die tote Stadt*. In addition to this, Korngold sometimes uses leaping phrases, the second half of which imitate the contour of the first half, but push higher pitch-wise. Again, the opening of the violin concerto contains this feature, where A3 rises to G#5, followed by A3 rising to B5. Korngold's Violin Sonata is very similar in its opening, with the violin playing D4 to G5 in the first part of the phrase, followed by C#4 to B5. "Pierrot's Tanzlied" from Act II of *Die tote Stadt* also begins this way, with three rising phrases (see ex. 4.2; this has been written up the octave for ease of reading).

Example 4.2. Korngold**,** "Pierrot's Tanzlied", Act II of *Die tote Stadt,* fig. **169**.

Leitmotif

Many have attributed leitmotivic procedures as a Korngoldian staple. The exact nature of his use of leitmotif has yet to be explored, and some suggest that the term may not be entirely accurate in light of Wagner's particular development of them. Ben Winters, for example, prefers to label this practice generally as 'thematicism', which in Korngold's filmic work at least, "is frequently operating at a level that transcends other visual or aural information."[1] In Chapter Three I established the synergy between Romantic compositional practices and Hollywood film scoring. This is built on the foundation of thematicism, which uses continually evolving melodies as a signifier for place, time, event or character.

Korngold's command of this stylistic practice also ties in with a penchant for variation, as many of his film themes are not only developed, but take on added qualities as a film progresses. Winters uses the example of the love theme in *The Adventures of Robin Hood*. He observes that this

[1] Ben Winters, *Erich Wolfgang Korngold's The Adventures of Robin Hood: A Film Score Guide* (Lanham, Maryland: Scarecrow Press, 2007), 34.

theme is developed along with the theme that represents the character Richard the Lionheart and his kingdom of England, to the point where they ultimately become indistinguishable.[2] This also occurs in all four films that lend material to the Concerto, as highlighted in the following Concerto analysis and appendix sections of this dissertation. Korngold openly acknowledged this practice as a stylistic imperative across all his compositions:

> Never have I differentiated between my music for the films and that for the operas and concert pieces. Just as I do for the operatic stage, I try to invent for the motion picture dramatically melodious music with symphonic development and variation of themes.[3]

Motifs & Self-Borrowing

An extension of this predilection for variation and musical signification can be observed through his extensive use of musical self-borrowing. Much of this occurs as the appropriation of film score themes for concert music settings. Robbert van der Lek and Mick Swithinback painstakingly identify material that has been used in this way for pieces including the Violin Concerto, Symphonic Serenade for String Orchestra (Op. 39), and Symphony in F# Major (Op. 40).[4] As they discuss, however, many more works have been identified as following this process, with material being borrowed from 12 of his 17 scores.[5] Some of these occur as direct re-imaginings, such as *The Adventures of Robin Hood Symphonic Suite*, while others are woven into the fabric of new material. Van der Lek points out that while most of these works draw from a single theme from one film, the Violin Concerto ventures further by drawing from two film scores in the first movement, though only one theme is drawn from each. These are also kept as discreet sections within the movement. The Adagio from the Symphony, however, uses themes from three

[2] Winters, *The Adventures of Robin Hood*, 35.

[3] Brendan G Carroll, *The Last Prodigy: A Biography of Erich Wolfgang Korngold* (Portland, Oregon: Amadeus Press, 1997), 299.

[4] Robbert van der Lek and Mick Swithinbank, “Concert Music as Reused Film Music: E.-W. Korngold’s Self-Arrangements,” *Acta Musicologica* 66, Fasc. 2 (Jul.–Dec., 1994), 78–112, http://www.jstor.org/stable/932765.

[5] Van der Lek and Swithinbank, “Concert Music as Reused Film Music,” 79.
The number of scores Korngold wrote is reported differently in various sources, depending on whether films he simply arranged music for are counted or not. In *The Last Prodigy* Carroll identifies 23 films in total.

films in a more integrated way: "Whereas in the first movement of the violin concerto the two groups from different films each appear as separate units, the third movement of the *Symphony* brings together material from different films to form a group."[6]

As well as the use of substantial thematic chunks, smaller signatures recur throughout both his concert and cinematic works, though rarely deployed in the same manner. Korngold's self-titled "*Motiv des Fröhlichen Herzens*" (which translates to 'Motif of the Cheerful Heart'[7]) was first used in the Sinfonietta in B Major (Op. 5), before being worked into his Sextet for Strings in D Major (Op. 10), *The Adventures of Robin Hood* score and much of *Die Kathrin* (see ex. 4.3).[8] The main

Example 4.3. "*Motiv des Fröhlichen Herzens*" ('Motif of the Cheerful Heart').

feature of this motif is interlocking, rising perfect 4ths. While Carroll argues that variants of this motif appear in different guises in numerous other works, it is unclear whether all iterations of Korngold's favourite rising 4ths indeed derive from this motif, or whether his aforementioned penchant for the fourth in general is being utilised. Nonetheless it is clear from much of his output that the intervals in question hold special significance.

Winters also mentions the existence of a 'death motif', originating from *Die tote Stadt*, and subsequently permeating many of Korngold's other works.[9] In his article "Strangling Blondes",

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[6] Van der Lek and Swithinbank, "Concert Music as Reused Film Music," 104.

[7] Also translated as "Motto of the Cheerful Heart" by Brendan Carroll

[8] Carroll, *The Last* Prodigy, 85;121. Also in Winters, *Erich Wolfgang Korngold's The Adventures of Robin Hood*, 30.

[9] Winters notes that Nicolas Derny calls this motif the 'vision' motif, while Arne Stollberg labels the motif 'Paul's conscience'. Ben Winters, "Strangling Blondes: Nineteenth-Century Femininity and Korngold's 'Die tote Stadt'," *Cambridge Opera Journal* 23, no. 1/2 (March–July 2011), 78. DOI:10. 101 7 /S095458671200002X.
See Nicolas Derny, *Erich Wolfgang Korngold ou L'itinéraire d'un enfant prodige* (Editions Papillon, Geneva, 2008), 62-3; and Arne Stollberg, *Durch Den Traum Zum Leben : Eric Wolfgang Korngolds Oper "Die Tote Stadt"* (Are Edition, Mainz, 2003), 309.

Winters identifies this particular 'death' or 'vision motif' as a descending chromatic figure, which also features numerous times in the Adagio of the Symphony in F# Major (see ex. 4.4).[10] Duchen also confirms Korngold's frequent use of the motif:

> The Death motif is particularly significant. It is a descending chromatic scale, deep in the bass range of the orchestra in a uncomfortable, syncopated rhythm; and in Korngold's ensuing works, including his films, there is scarcely an intimation of death which does not employ this motif.[11]

While Duchen points out the use of bass range for this motif, it arguably features in various registers of the orchestra, as will be seen in the Concerto analysis. I have also identified its use in the cue "Carlota's Madness Starts" from the score for *Juarez* (dir. William Dieterle, 1939), on which the second subject of the Violin Concerto's first movement is drawn. The use of a descending chromatic figure to represent death had been adopted earlier by composers such as Liszt, who used it frequently in the first movement 'Inferno' of his *Dante Symphony,*[12] and Mahler who had a similar figure in the first movement of Symphony No. 2.[13]

Example 4.4. Korngold, trombones in Adagio from Symphony in F# Major, fig. **92**.

Example 4.5. Liszt, cellos and double basses, first movement of *Dante Symphony*, 6 bars before fig. **Kk**.

[10] Winters, *The Adventures of Robin Hood*, 158n28.

[11] Jessica Duchen, *Erich Wolfgang Korngold* (London: Phaidon Press, 1996), 78.

[12] Franz Liszt, *Dante Symphony, S. 109* (Leipzig: Breitkopf und Härtel, 1859).

[13] Gustav Mahler, *Symphony No. 2 in C Minor, ("Resurrection")* (Vienna: Universal Edition, 1897).

Example 4.6. Mahler, harps, cellos and basses, first movement of Symphony No. 2, bar 392–393.

Parallels can also be drawn between Korngold's death motif and the *passus duriusculus*, or chromatic fourth. While usually applied to Baroque music, requiring that all chromatic intervals must be included in the span of a perfect 4th, it is plausible that Korngold was aware of this device and chose to use it with varying degrees of modification. Raymond Monelle has suggested that this may relate to the *pianto* topic, which signifies weeping.[14] Forms of Korngold's death motif feature heavily in the Violin Concerto, sometimes staying true to the pure *passus duriusculus*, other times spanning more than a perfect 4th, or skipping some of the chromatic intervals.

<u>Harmony and Form</u>

A through survey of Korngold's harmonic practices has yet to be published, though general observations can be found in various sources. He favoured the use of open 4ths and 5ths within his harmonies, which can indeed be found in the first movement of the Violin Concerto. Duchen also identifies their use in 'The Enchanted Princess', the first piece from *Märchenbilder* for piano solo, though no specific examples are provided.[15] Similarly, Carroll notes his love of augmented triads, citing the beginning of *Violanta* and the *Sinfonietta* generally. A common descriptor for Korngold's harmonic language is that it is 'Straussian', heavily influenced by Richard Strauss's own practices. This usually references such features as harmonic ambiguity and frequent key changes, though

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[14] Raymond Monelle, *The Sense of Music: Semiotic Essays* (Princeton: Princeton University Press, 2010), 73, https://doi-org.ezproxy.library.sydney.edu.au/10.1515/9781400824038.fm

[15] Duchen, *Erich Wolfgang Korngold*, 48.

again, detailed analyses of this are scarce. This may also tie in with broad assertions that Korngold liked chords with 7ths and 9ths, chords that added colour but did not have a specific harmonic function,[16] and that he frequently engaged in delayed harmonic resolution. One feature that evidently crops up in the concerto is the use of harmonic sequences and cycles, which has also been found in his score for the film *The Sea Hawk*, where he cycles through major 3rds.[17] Many of these procedures can be attributed to a general late-Romantic aesthetic, showing that a detailed study of Korngold's use of harmony would be a major contribution to scholarship.

Frank Robert Ennis also observes Korngold's fondness for traditional nineteenth-century formal structures. As well as the Piano and Violin Concertos, which both adopt a standard three-movement structure, Korngold's Symphony in F# Major, which premiered in 1954, uses a traditional symphony format, long after the practice of doing so had dwindled. Drawing on Carroll's and Duchen's biographies, Ennis painstakingly lists various moments of internal forms as well. Sonata form, for example, features in numerous works including his Piano Trio Op.1, the first movements of all three piano sonatas, the third movement of his Symphony, and as I demonstrate further in this chapter, the first movement of the Violin Concerto.[18] Korngold also regularly utilised the scherzo and trio form as a second movement in works both chamber and symphonic, as well as theme and variations, and even prelude and fugue.[19] This did not preclude him from trying other innovative structures, however. His Piano Concerto, for example, is written in one continuous movement, with four contrasting sections.

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[16] Frank Robert Ennis, "A Comparison of Style Between Selected Lieder and Film Songs Of Erich Wolfgang Korngold", (PhD diss., The University of Texas at Austin, 1999), 122.

[17] Frank Lehman, *Hollywood Harmony: Musical Wonder and the Sound of Cinema* (New York, NY : Oxford University Press, 2018), 23.

[18] Ennis, "A Comparison of Style Between Selected Lieder and Film Songs," 102.

[19] Ennis, "A Comparison of Style Between Selected Lieder and Film Songs," 102–3.

Rhythm & Metre

Taking a look at many of Korngold's scores will reveal the frequent change of metre, usually maintaining the same crotchet pulse, such as 3/4 to 2/4 to 4/4. The use of various tuplets and tied notes across bar lines, as well as repeated musical cells with slightly varied rhythms, abound throughout his work. Hugo Friedhofer, one of Korngold's orchestrators and a film composer in his own right, states that Korngold's use of rhythm was "sort of written-out rubato. It all sounded very free and relaxed, but it was all metronomically on the paper that way."[20] This is echoed by Duchen who writes that "Interpreters of Korngold's music need do very little other than exactly what he tells them in order to project a sense of total musical freedom. He liked to leave nothing to chance."[21] While this makes sense, particularly when considering the co-ordination of a soloist with orchestra, it is worth noting that Korngold's own recording of the Largo from Piano Sonata No. 2 conversely reflects a propensity to play with added rubato in performance for expressive ends.[22]

Consulting the scores of his operas confirms this precise conception of rhythms, but this feature is by no means limited to Korngold. As Richard Hudson points out in *Stolen Time*, Mahler, Strauss and Puccini employed similar methods to essentially control the music, and ensure which notes were to be prolonged.[23] It is worth noting that while this rhythmic precision pervades much of his work, consulting his early scores reveals that the frequent change of metre was only adopted along the way. It creeps into the Violin Sonata in G Major (Op. 6), appears more fully realised in *Der Ring des Polykrates*, Op.7, and by the Piano Quintet in E Major (Op. 15), "Korngold indicates no fewer than fifty-four changes of time signature within this movement's [the Adagio's] thirteen-page full score, and the opening eight-eight signature never returns."[24] While the earlier works do

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[20] Winters, *The Adventures of Robin Hood*, 31.

[21] Duchen, *Erich Wolfgang Korngold*, 48.

[22] Erich Wolfgang Korngold, "Erich Wolfgang Korngold Plays the Largo from his Piano Sonata No 2 in E major" Youtube video of 1951 recording, 13 April 2010. https://www.youtube.com/watch?v=FO0DEXrIT78

[23] Richard Hudson, *Stolen Time: The History of Tempo Rubato* (Oxford: Clarendon Press, 1994), 309–10.

[24] Duchen, *Erich Wolfgang Korngold*, 93.

not change metre often, Korngold nonetheless replicates a similar "written-out rubato" through different means. In the Violin Sonata in Korngold deliberately obfuscates a clear sense of downbeat right from the opening, where both violin and piano enter together on the fourth quaver of the bar, playing the same rhythm, which features a tied note over the bar line. (see ex. 4.7). A sense of metre is further blurred by the signature use of triplets, tied notes and syncopations.

Analysis of the Concerto with 'Open Listening', 'Syntax' and 'Musical Representation' steps will now be presented, followed by the 'Performance Guide'.

Example 4.7. Korngold, Violin Sonata Op. 6, bars 1–6.

A Note On Film Theme Transcriptions

As scores are only available in their original manuscript form at the Warner Brothers Archives at the University of Southern California, all musical examples have been transcribed aurally, and as such they may deviate slightly from manuscript sources. Similarly, cue titles have been cross-referenced

from Robbert van der Lek's article "Concert Music as Reused Film Music", as well as album releases of the scores where they exist, which may differ to those found in the archival documents.[25]

[25] Soundtrack recordings: Erich Wolfgang Korngold, *Korngold: Another Dawn & Escape Me Never*, Moscow Symphony Orchestra & William T. Stromberg (Marco Polo 8.223871, 1996); Korngold, *Juarez & The Prince and the Pauper*, no artist credited (Tsunami [2] TCI 0626, 2006).; Korngold, *Anthony Adverse (Original Motion Picture Score)*, The Berlin Radio Symphony Orchestra &John Scott (Varèse Sarabande VSD-5285, 1991).; Korngold, *The Prince And The Pauper (The Complete Score To The 1937 Film)*, Moscow Symphony Orchestra & William T. Stromberg (Tribute Film Classics TFC-1006, 2009).

First Movement

Open Listening

The violin enters right at the beginning of the movement, accompanied by subtle orchestral textures that mainly consist of held chordal notes, though a flourish from the harp lends a feeling of fantasy or dream. The implied tonality is major, but the open perfect 5th is the dominant sonority. The violin soars over this texture in leaps from A3 bottom of its range to a long-held G#5 two octaves above, before falling away in more stepwise motion. After a second phrase that imitates this melodic contour, this time reaching the B above the prominent G#, the solo violin's melodic material becomes more introverted, playing with small stepwise ascents, punctuated with octave falls. The entrance of a noble-sounding French horn enhances the feeling of a distant time. Rhythmically there is a consistent pulse, yet no clear metre is suggested, with most of the feeling of forward momentum coming from the solo violin. A brief moment of E minor in bar 11 adds anguish, before orchestra and solo violin crescendo into a restating of the opening material, this time with greater rhythmic interest in the accompaniment. A celeste can also be heard joining the orchestra at this point.

The solo violin breaks into an ascending group of broken thirds, emphasising the harmonic instability of the passage. A surge in the orchestra supports a leap of over an octave in the solo violin, achieving heights of pitch hitherto unreached in bar 19. What follows is an unaccompanied passage from the solo violin that descends by octaves, before commencing another climb. The intervals here feel strange and harmonically unstable as rapid chromatic movement alternates with rising leaps. This twisting and impatient passage finally climbs up the E string, where it ascends in stepwise motion to a C#7, at which point the orchestra re-enters with a strong dominant A major chord, before the violin finally resolves to the very high D8. The orchestra then takes over with a full arrangement of the first theme, providing a sense of relief as we return to familiar territory.

The violin re-enters soon after. In bar 33, adding mere colour to the orchestra through short, soft interjections. This suddenly gives way to a completely new area, which bears little resemblance to what has preceded it. The tempo is faster, and the orchestral textures become shorter and more rhythmically charged. The solo violin becomes capricious and spritely in character, playing a series of virtuosic flourishes that encompass large intervallic leaps. The vibraphone and celeste can be heard interjecting here and there, while flutes imitate the violin. A feeling of optimism and joy pervades this section, if not slight instability in the chromatic material of the solo violin. This section seems to build upon itself, becoming more and more rhythmically and texturally complex, before the solo violin rises to a C#7, where it rests and eventually stops.

At bar 59 the orchestra returns to the first theme, the energy quickly and unexpectedly dissipating into a slower, more reflective mood. Finally the solo violin enters with another leap up and down, before settling on a new melody. This second theme is more tender and intimate than anything that has featured so far, while the orchestral accompaniment mainly consists of strings, horn and the occasional harp flourish. The melody eventually seems to rest on F# minor, often playing with the G# suspension. This melismatic stepwise motion invokes the feeling of sighing, as well as rumination or anguish. A brief moment of A major gleams through in bar 83, before unsettling tremolo in the lower strings and repeated calls in the French horns cause the solo violin to break into a passionate melody that builds to the most emotional climax so far, bolstered by solid brass and woodwinds chords.

This then subsides into the first theme again at bar 92, before quickly reprising the capricious transitional material. This only lasts for a brief moment before the solo violin is left on its own to strive ever higher, before finally collapsing down over bars 104–108. After a pause the violin starts a cadenza of dissonant intervals stacked on top of each other. No real sense of key area is present here, though a sequence sees the material transposed up a number of times. This reaches a frenzied climax punctuated unusually by two pizzicato stabs from the orchestra in bar 113, before a

held chord in bar 117 from brass and woodwinds signals a return to material from the end of the first theme. The solo violin finishes the phrase as expected before the orchestra takes over and provides a majestic restating of the first theme. The solo violin picks up this material but subverts our expectations by cutting it short in bar 151 before it can resolve. This transitions into the second theme from bar 155, this time in B minor. This theme is reinstated in full, with the passionate melody further enhanced with octave double stops in the violin this time. Again, however, the theme is not allowed to resolve to the tonic, but rather arrives in a new place we have not heard thus far in bar 176. Here the solo violin plays a soaring theme that combines the suspensions of the first theme with small glimpses of the more capricious transitional material. This suddenly transitions into the tonic key in bar 180, ushered in by a powerful chord across the orchestra. The violin takes off with the frenetic transition material, virtuosically flying through its range, punctuated by accented chords and various flourishes in the orchestra. Eventually this rises in intensity and the end of the movement, though feeling somewhat sudden, is signalled by trills, crescendos and harp glissandos that eventually resolve to a powerful D major staccato chord. The ending is big, triumphant and bombastic.

Syntax

Unlike movements two and three, this movement does not have a title, but is instead simply marked with the *Moderato nobile* tempo marking. The structure of the first movement can be seen as a modified sonata form with a first subject, transition, and second subject constituting the exposition of the movement (mm. 1–92). This is followed, somewhat unusually, by a shortened development section mm. (92–128), most of which consists of a written out cadenza. The recapitulation flows directly from the last bars of the cadenza, featuring a contracted version of the first and second subjects (mm. 128–180), leaving the transition material to be reworked into a coda, which sees the movement end with a last virtuosic display (mm. 180–187) (see figure 4.1). Giselher Schubert

Figure 4.1. Structural analysis of the first movement as sonata form.

	EXPOSITION			DEVELOPMENT		RECAPITULATION		CODA
Material:	**1st Subject**	**Transition**	**2nd Subject**	**Transition + Cadenza**	**Transition**	**1st Subject**	**2nd Subject**	**Transition**
Bars:	1–37	37–67	67–92	92–117	117–128	128–151	151–180	180–187
Tonal Area:	**I** DM	**VI, V, III** BM, AM, F♯M	**iii** F♯m	**VII, II** CM, Free, E♭M		**I** DM	**vi** Bm	**I** DM
Speed:	Slow	Fast	Slow	Fast		Fast	Slow	Fast

asserts that this structure bears significant similarities to the first movement of the Mendelssohn Violin Concerto.[26] It is worth noting that though Mendelssohn was the first to employ this form, the violin concertos of Tchaikovsky and Sibelius also feature a cadenza placed before the recapitulation, rather than afterwards. Whether or not Korngold deliberately drew on Mendelssohn's work, it is clear from his letter to Josef Reitler that he was flattered by the comparison (see Ch. 3).

Robbert van der Lek problematises this schema, suggesting that the form of all three movements of the concerto are more complex than might seem apparent with only a few listenings. He argues that repeated listenings uncover seven distinct groups, all of which are about 30 bars long except for the last one (see fig. 4.2).[27] In this structure the odd-numbered groups constitute the first and second subjects of the movement, and are therefore lyrical, while the even-numbered groups are mainly "passage work". Though he ultimately concedes that the movement is in sonata-rondo form, he notes the unusual nature of both subjects being "lyrical" or slow (groups 1 and 3). This is further heightened by the recapitulation, which entirely leaves out the transitional material that constitutes group 2, instead leaving this material for the final group 7.

Figure 4.2. Van der Lek's structural analysis of the first movement.

Group	**I**	**II**	**III**	**IV**	**V**	**VI**	**VII**
Bar Nos.	1–37	37–67	67–92	92–128	128–151	151–180	180–187
Character	Slow	Fast	Slow	Fast	Slow	Slow	Fast

Given the descriptions outlined in the previous step, it is no surprise that the structure may not be immediately discernible to the listener as being in sonata form. Though themes recur

[26] Giselher Schubert in Erich Wolfgang Korngold, *Concerto in D Major for Violin and Orchestra, Op. 35 (orchestral score)*, No. 1898. (London: Ernst Eulenberg Ltd, 2006) VI.

[27] Robbert van der Lek and Mick Swithinbank, "Concert Music as Reused Film Music: E.-W. Korngold's Self-Arrangements," *Acta Musicologica* 66, Fasc. 2 (Jul.–Dec., 1994), 86, http://www.jstor.org/stable/932765.

regularly (van der Lek notes the first subject is heard no less than seven times in part or in total), the frequent changes of mood and the elongated transition section at bars 37–67 obscure any real sense of a typical sonata form. This would seem to suggest that while Korngold had a penchant for traditional forms, he also had the desire to push the boundaries, modifying forms to fulfil other purposes. Using the chromatic transitional material in the coda, for example, allows the movement to finish with an impressive flourish, contrasting with the start of the second movement.

Entry of the violin directly at the start of the concerto further strengthens parallels to the Mendelssohn concerto, which has only one and a half bars of orchestral introduction. It is worth noting, however, that a few other concertos start immediately like the Korngold, including Samuel Barber's concerto from 1939. Indeed, a similarity of contrasting style between the movements can also be seen between the two concertos; both have very flashy, virtuosic third movements that completely contrast to both their respective first and second movements.

Rhythm

An immediately noticeable feature of the score is the frequent change of time signature throughout each movement. A particular device used in this piece is the frequent switching between 3/4, 4/4 and 2/4, though other combinations abound, especially in the third movement. On top of this are layered tuplets of various number, divisions of notes down to demi-semiquavers, and dense rhythmic textures where various sections of the orchestra directly counter each other. Frequent use of tremolo in the string section and entries staggered by small rhythmic intervals add to the complexity of the rhythmic material. Themes also undergo subtle alterations within phrases, often being contracted or expanded to suit the particular event.

Interestingly, however, Korngold's desire to control the music does not extend to his use of written tempo markings. While he uses such terms as *poco rit.*, *poco piu mosso* and *calando* fairly frequently, the term *rubato* is used less than one might expect, and is usually accompanied by

another direction, such as *a tempo accel. (rubato)*. All tempo changes are rather short-lived, as they are each corrected usually only a few bars later by the instruction *a tempo*. No metronome mark is given for this movement; instead the somewhat flexible term of *moderato nobile* is written at the beginning.[28] These inclusions (and exclusions) in the score would hint at the importance of achieving rhythmic clarity, while also allowing some freedom for the performer to assert their creative vision on the work. It is worth considering, however, that indulging too much in the distortion of tempo and rhythm could be a contributing factor to the perennial criticism of Korngold's work in general often degenerating into schmaltz. Rhythmic precision therefore, could be seen as a priority in the construction of an interpretation of this work.

Virtual Feeling

Susan McClary posited that absolute music is not devoid of narrative ties, rather, it is the distillation of "the story of a hero who ventures forth, encounters an Other, fights it out, and finally reestablishes secure identity."[29] McClary's further observation regarding the dependence of absolute music on tonality and sonata, the two overarching narrative structures, holds true when considering the sonata form of the first movement, and the following observations.

The opening of the concerto presents several striking features, the most immediate of these being the entry of the solo violin right at the beginning of the piece, which launches straight into the initial statement of the first subject theme. A harp flourish at the start, doubled by a broken pizzicato chord in the cellos, is accompanied by tremolo in the upper strings, and sparse long notes in the woodwinds and horns. A sense of D major is established, though in the first few bars the major 3rd of F# is only subtly heard. The violin seems to singlehandedly provide rhythmic impetus for the first 13 bars, the orchestra only interjecting with brief moments of clear pulse. The opening already illuminates possible topical constructions at play, the first appearing in the orchestral

[28] The third movement is the only one to have a metronome mark assigned to it

[29] Susan McClary, *Reading Music: Selected Essays* (Hampshire, England: Ashgate Publishing Ltd, 2017), 72.

accompaniment, which bears similarities to Dickensheets' description of 'fairy music' style, an assertion made more compelling by the eventual entry of a celeste.[30] Indeed modern listeners, even those with only basic knowledge of Western art music, would relate this sound with elements of fantasy worlds and dream states.

However, this association is not fulfilled by the solo violin line. Rather than adhering to strict principles of the style through the use of thirds or stepwise motion in the melody, it soars over the orchestra in rising fourth and fifth intervals, spanning over two octaves (bars 1–2 and 5–6, see ex. 4.8). This ascent arrives at the augmented 4th of G#, which in the tonic key of D major creates a marked dissonance, a feature that is developed throughout the movement. Bars 3–4 and 7–8 do not follow this pattern of rising perfect intervals, instead descending less than an octave from each top note in stepwise motion, so that it never returns to the melodic point of origin. This more lyrical closing gives each four-bar phrase the feeling of exhalation or even sighing.

Example 4.8. Korngold, solo violin, first movement of Violin Concerto, bars 1–19.

[30] Dickensheets, "The Topical Vocabulary of the Nineteenth Century," 122–3.

The overall mood that is conjured by this melody is one of constant striving against an obstacle of sorts. Even so, this part of the concerto does not evoke images of violent struggle or torment, rather it implies a generally hopeful mood with tinges of sadness. A closer look at topical constructions within this melody offer further clues to narrative plot points. It is plausible that the rising fourths and fifths, which are frequently present in the orchestral accompaniment in various configurations, are a subtle allusion to the horn-call topic, at least melodically if not rhythmically. Using Raymond Monelle's detailed discussion in *The Musical Topic: Hunt, Military and Pastoral*, it would appear that Korngold is appropriating a pastoral horn.[31] While this feature could easily slot into a heroic narrative, it is unlikely that Korngold had woodland scenery in mind. Rather, the understated mood implies a timeless call to fulfil one's destiny. Similarly, the more lyrical material present in bars 3–4 and 7–8 could be interpreted as a manipulation of the 'pianto' topic, as discussed by Monelle in *The Sense of Music,* further indicating the feeling of sighing, or perhaps eternal struggle, as in later semiotic connections to the topic.[32]

Taking into consideration these possible topics, we might conclude that the hero in this narrative is commencing an epic, perhaps other-worldly, journey that they know they must undertake, while still experiencing momentary feelings of sadness, nostalgia and even apprehension. The understated presentation of these topics could also describe a journey that is purely psychological and inwardly motivated, a theory strengthened by analysis of subsequent sections of the concerto.

Turning our attention to the second subject, it is evident that the note G# is galvanised as an important feature of the work through its repetition in this melody (see ex. 4.9). As the harmony mainly oscillates between A major and F# Minor (an unstable presentation of the dominant key area) over this passage, the function of the G# changes from that of a major 7th (when over A

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[31] Raymond Monelle, *The Musical Topic: Hunt, Military and Pastoral* (Bloomington: Indiana University Press, 2006), 100–108.

[32] Monelle, *The Sense of Music*, 66–73.

major), and a major 2nd (when over F# minor). In both cases this suspension eventually resolves to F#, which is again reminiscent of the 'pianto' topic, despite Monelle's supposition that the interval is traditionally minor in iterations of this topic.[33] Connections to the lyricism of the second part of the first subject are established through the melisma that plays around three notes, E, F# and G#. Occasionally the melody breaks free to extend past the G#, only to eventually descend into the ruminative three-note figure. It is worth mentioning that the interval of a perfect fourth still features heavily in this melodic passage, but as they are not placed consecutively they do not invoke any obvious heroic horn-call idioms. Instead, this section appears more introverted than the first subject, suggesting uncertainty and painful remembrance in the sadder minor mode.

Example 4.9. Korngold, solo violin, first movement of Violin Concerto, bars 67–86.

[33] Monelle, *The Sense of Music*, 72.

A particularly interesting clash of topics takes place at bar 83, which signals a momentary point of calm in the violin melody. While the violin holds a dynamically soft high E, the orchestral accompaniment brews with a sense of foreboding as the woodwinds, eventually joined by French horns and strings, antiphonally reintroduce the first notes of the first subject melody (the rising perfect intervals of E–A–E–A–E in this case). At the same time the upper strings, harp and celeste maintain the mixture of fourth and fifth together (A–B–E) in pedal point, the lower strings playing soft, accented tremolo over descending semitones. This descending line potentially indicates an extremely understated, brooding version of Dickensheets' 'tempest' topic, while also alluding to the 'demonic style', subverting the usually rising contour to suggest a descent into despair or even hell.[34]

The solo violin awakens from its contemplative and melancholy rumination, playing rising Aeolian-mode runs in a virtuosic style, before bursting forth with a passionate fragment of the second subject theme, followed by another virtuosic run, this time with raised 7th (G# significantly). It arrives at a soaring, stepwise melody that eventually rests on a high C, signalling the arrival of restored calm in the neutral ground of C major. This musical event offers fertile ground for narrative exploration, the most fundamental connotation of which is that our protagonist must break free of their psychological torment in order to rise above the obstacles in their path and restore balance.

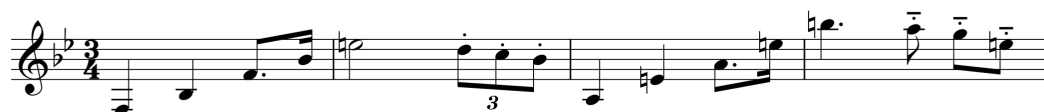
Musical Representation

Delving into the first subject's cinematic roots in *Another Dawn* (dir. William Dieterle, 1937), we find the material recurring as a leitmotif in various guises throughout. While the film itself tends to melodrama and improbable scenarios, Korngold's score is an extraordinary example of music filling in large narrative gaps, imbuing the plot with thematic depth and revealing characters' thoughts. The

[34] Dickensheets, "The Topical Vocabulary of the Nineteenth Century," 115.

leitmotif's primary function is to represent the character of a daring pilot, who died in a flying accident before the events in the film take place. To this end the melodic contour of the first 8 bars of the concerto excellently conjures images of flying. Interestingly, the first and last instances of this leitmotif, which appear briefly at the end of the opening title sequence and the transition to the closing credits respectively, are played by full brass section with crisp articulation and slightly modified rhythms to the concerto theme, with the closing credits also featuring added brass fanfares. This would seem to strengthen the association between the opening bars of the concerto and subtle invoking of the horn-call topic, cementing resonances of glory, duty and heroism. Example 4.10 shows the last four bars of the opening title sequence. The first two bars of this are played by brass fanfare, while the next two bars see the strings join in this triumphant motif.

Example 4.10. Korngold, Main theme of *Another Dawn.*



Most iterations of the leitmotif are performed by strings however, either through unison violins or full string section in octaves, with woodwind accompaniment. Solo violin also features frequently, perhaps revealing the violin as intrinsic to the material in Korngold's conception. The first substantial statement of the leitmotif follows this more subdued and emotive orchestration, becoming a sign of themes discussed in the dialogue during this scene, including personal freedom, courage, youth and transcendence. Later in the same scene the leitmotif is further endowed with memories of romantic love, given the lead female character's relationship with the deceased pilot, and the subsequent bittersweet nostalgia that results from having realised such a love and then lost it. Subsequent iterations of the leitmotif arise in love scenes between the female lead and a new male love interest, who reminds her of the deceased pilot, ultimately taking on the last few concepts of self-sacrifice and love transcending all. These dramatic themes are very much in keeping with

topical resonances as discussed within the concerto, and galvanise the hero narrative. Another interesting semiotic association is the inclusion of Korngold's self-titled 'Motto of the Cheerful Heart' (*Motiv des Fröhlichen Herzens*) in the first subject of the concerto. While the name "cheerful heart" seems somehow too extroverted for the mood of the concerto, one might surmise that the characters in *Another Dawn* are resigned to notions of tragedy and loss, but choose to be content with what they have regardless.

The second subject of the concerto appears as a leitmotif in the score for *Juarez* (dir. William Dieterle, 1939), which is a dramatisation of the historical events surrounding the installation of Maximilian von Habsburg as Emperor of Mexico (a puppet leader) in 1863. According to Carroll, this leitmotif is based on the Spanish song "La Paloma" written by Sebastian de Yradier in the 1850s, as it was reported to be a favourite song of Carlota, Maximilian's wife.[35] Indeed the song is heard in its vocal form several times throughout the film, often in the middle of cues that contain concerto material (see Appendix). This could partly account for the melismatic nature of the theme, which does not retain its Spanish feel in the concerto. Here the leitmotif symbolises Carlota, though interestingly the leitmotif is not used for the first scenes in which she appears. Instead, it presents itself when Carlota perceives Maximilian's intense distress, induced by finding out that he has been manipulated by the French government, and was not voted in democratically by the Mexican people, even though he was told otherwise. Carlota's presence calms her husband, but the leitmotif is only ever presented from that point onwards when Maximilian and Carlota are experiencing inner turmoil, and are struggling against external forces.

The most interesting cue in relation to the concerto occurs when Carlota is in Paris without Maximilian. Having travelled there to plead her husband's case to Napoleon, she develops paranoia, assuming that people are out to get her. The cue "Carlota's Madness Starts" underscores a scene where Prince Metternich tries to comfort Carlota. She is clearly gripped in a paranoid episode, and

[35] Carroll, *The Last Prodigy*, 281.

the musical underscore has the violin section play a stating of the second subject in the Concerto, notionally in E♭ minor (see ex. 4.11). This particular version of the theme is altered to whole-tone intervals in the first few bars. This feeling of uneasiness is heightened by a series of chromatically descending lines played by various members of the orchestra, each utterance continuing the sequence further than before.[36] It is seems to eventually reach a lower E, thus spanning an augmented 4th (it is difficult to verify this aurally given the quality of the recording). During these few bars the camera closes in on Carlota and the Prince, showing the intimate and psychological nature of what is taking place, almost willing the audience to step inside Carlota's mind. The theme finally settles at the notional bar 5 of example 4.11, where a tonal sonority of E♭ minor is finally established, lending the theme a more romantic, if anguished, mood. Interestingly the last note of the theme still resolves to a G♭ major chord despite Carlota's distress. Again, topical constructions present in the second subject of the concerto support such semantic connotations, through the sighing of the 'pianto' topic, and the melisma around the same three repeated notes indicating painful rumination. The last instance of the leitmotif occurs just before Maximilian's execution, consolidating the notion of the victim of fate, whose tenacious struggle has been unsuccessful.

Example 4.11. Korngold, **"**Carlota's Madness Starts" melody from *Juarez.*

[36] This is reminiscent of example 4.4 in the 'Compositional Style' section of the analysis, where the trombones play a similar figure in the Adagio of the Symphony.

Second Movement:

Open Listening

From the beginning of the movement we are plunged into a very different environment than that established and explored in the first movement. In the brief orchestral introduction, the texture immediately signals intimacy, with very soft dynamics, simple rhythms, and such effects as string harmonics, conjuring associations of innocence and calm. There is a harmonic ambivalence, however, that creates a slight sense of uncertainty and complexity within the otherwise tranquil setting. The violin enters with a lyrical melody, each phrase of which ends with an upward contour, almost as if they form a series of rhetorical questions that garner no clear answer. Though there is forward motion, a sense of time standing still proliferates.

From bar 21 the feeling of progress is invoked by less static rhythms, increasing dynamics in both orchestra and violin, and harmonic progressions that appear to be leading to points of arrival, though these are never fulfilled. The violin also begins to descend into its middle to lower registers before sweeping back to ever increasing heights. A point of arrival is finally suggested at bar 33, where the orchestral texture returns to its earlier simplicity, though the violin sweeps up to its highest pitches so far. Here it meanders in a delicate, improvisatory way around chromatic notes that eventually lead back down in register, but never settle on any pitch.

A sense of arrival occurs in bars 40–41, but it is short-lived, as the violin returns to its searching chromatic exploration. This interplay between landing and flight, delicacy and stronger presence of sound, continues until bar 54, where the violin finally rests on the current tonic in its low register, before the orchestra begins to set the scene for an impending new section.

A new key area and more ambiguous harmonies suggest a more opaque, potentially sinister mood at bar 56. After a few bars of orchestral setup in this new area, the now muted violin resumes its chromatic exploration in a new sense of anxiety, leaping between dissonant intervals. The effect

is as if stumbling through fog, or perhaps of psychological confusion. This intensifies, again pushing ever higher in register, until two octave sweeps in the violin bring forth the desperate, passionate orchestral stating of the initial violin melody.

The violin strongly states the first phrase of the initial melody, but retreats to a gentle embellishment of the second phrase, as if losing resolve. The subsequent passage starting at bar 77 sparks a slow remembrance of the first section, eventually restating much of the material from bars 33–54, this time in a higher pitch area that previous. The movement finishes with a coda that seems to briefly reference the murkier mood of the middle section, before returning to its more lyrical, present world, ending with a suspension that eventually lands on the tonic.

Overall, this movement plays with the concept of time, alternating sections of stasis with extreme tumult. Though we are clearly in a tonal world, there are only rare moments of harmonic clarity. The violin seems engaged in a cadenza in its earliest improvisatory meaning throughout, ever searching literally high and low, the orchestra directing us to different areas of this mysterious, uncharted environment.

Syntax

<u>Form and Harmony</u>

As van der Lek posits, this movement is in ternary form with a short introduction and coda (see fig. 4.3).[37] Section A has what van der Lek terms as three melodic groups within in, which equate to group 'a' as bars 9–20, group 'b' as bars 21–32, and group 'c' as 33–55. This is then repeated on its return in a slightly contracted form, with groups 'a'and 'b' only returning for a few bars each. While the movement can be said to be primarily in G major (IV to D), no clear triadic chords are stated throughout. The beginning of the movement starts with a G major 7th chord which, while a standard harmonic choice, is voiced as a third inversion, meaning that the F# and G occur as a minor 2nd

[37] Van der Lek and Swithinbank, "Concert Music as Reused Film Music," 87–88.

Figure 4.3. Structural analysis of the second movement as ternary form

	A				B	A'			
Material:	**Intro-duction**	**a**	**b**	**c**	**Transition**	**a**	**b**	**c**	**Coda**
Bars:	1–8	9–20	21–32	33–55	56–72	73–76	77–81	82–100	101–110
Tonal Area:	**I** GM	**I** GM	**VI** EM	**IV** CM	**EM–CM–B♭M–F♯M–EM**	**VII** FM	**VI** EM	**I** GM	**I** GM

which is a fairly closely voiced chord. This makes the dissonance between the F# and G somewhat more prominent. When joined by an E in octaves in the woodwinds in bar 5, the G major 7th becomes an E minor 9th chord, a distinction which is worth pointing out simply to highlight the dense chordal textures that continue throughout the movement.

The key relations between sections are somewhat unusual, owing to the harmonic instability displayed throughout. Group 'b' cycles through minor third relations from GM–EM–C#M–B♭M. This sequence is then repeated at bar 26, starting a semitone down from the first iteration, on F# (F#M–E♭M–CM–AM). Group 'c' remains largely in C major, the dominant of the movement's prevailing G major. The B section is best described as a transition owing to its lack of definite melodic content and harmonic grounding. Starting in EM with added minor 6th and major 7th, Korngold alternates harmonic relations between major 3rds and major 2nds. This results in the following key areas making up the section: EM–CM (down a major third)–B♭M (down major second)–F#M (down a major third)–EM (down a major second).

The return of section A at bar 73 is equally harmonically varied, with group 'a' consisting of F major and E major over the course of only four bars. Group 'b' acts purely as a transition to group 'c', which is notionally in G major with added 7th, and which continues into the coda. The ending retains this ambiguity, ending with the same G major 7th chord that began the movement. The title of 'Romance' is consistent with notions of tenderness and intimacy, as well as lyricism.

Virtual Feeling

As noted in the open listening step, the beginning of the movement creates a completely different atmosphere to anything that preceded it. The sonorities of the harp, vibraphone, violin harmonics and flute immediately conjure images of a dream-like state, enhanced by the slow-changing harmonies and lilting accompanying rhythm in the tutti violin and viola parts. This evocation can be seen in several of Korngold's works, most notably *Die tote Stadt*. As William Cheng points out, the

opera contains "four nested realms of diegesis", only one of which occurs in the 'real world' of the opera, while the rest belong to the world of dream.[38] While the effect does not relate well to Dickensheets' 'fairy music' topic, the aforementioned sonorities certainly hint at an other-worldliness, again perhaps internally rather than overtly. A similar sound will also be familiar to film and TV audiences, such as through frequent use of these in the *Harry Potter* films, as well as in the opening title music for the original *Star Trek* series. Though not implying dreams here, it does evoke other-worldliness consistent with the idea of outer space and suspended time.

When the violin enters against this backdrop, it seems to be posing a series of four questions, each three bars long, and stepwise in their melodic motion. The third of these questions, occurring in bars 15–17, is the most urgent of these, enhanced by its reaching the highest note so far (a high B), and augmented length. These questions are perhaps rhetorical, not answered by the protagonist, nor the orchestra. Bar 21 seems to start the emergence from this static, interior state, agitated by arpeggios in the harp and the subtle addition of the horn and other woodwinds. The horn seems to remind the protagonist of the real world, and his destiny, still to be fully realised. The solo violin line starts a continuous melody that takes it through a harmony of a cycle of thirds, adding wider intervals into its stepwise movement.

The use of descending chromatic lines pervades the movement in general, and can be read into many of the instrumental parts throughout, perhaps as motivic hints to Korngold's 'death motif'. However, at bar 25 we get the smallest instance of the motif proper occurring in the harp, going in direct opposition to the rising chromatic line of the solo violin as seen in example 4.12a. Though just a fleeting reference at this point, bars 30–32 see the motive in its more recognisable form in the viola and solo violoncello parts (see ex. 4.12b). Similarly to bar 25, the violin is rising

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[38] William Cheng, "Opera 'en abyme': The Prodigious Ritual of Korngold's 'Die tote Stadt'," *Cambridge Opera Journal* 22, no. 2 (July 2010), 115.

Example 4.12a) Korngold, solo violin and harp, second movement, bar 25.

Example 4.12b) Korngold, violas and cellos, second movement, bars 30–32.

in contrary motion over this descent. One could interpret this motif compellingly as any of the three options previously mentioned: vision, death or conscience.

Given that the world established thus far seems intimate and internal, the motif could hint at memories or deep fears that plague the hero, who in turn is trying to transcend this rumination. At bar 33, however, the violin leaps into its extreme high register, playing a beautifully tender yet highly chromatic melody in a soft dynamic. Korngold's direction of 'con espansione (meno)' and '(rubato)', added to the suspension of most of the accompaniment, leads to a feeling of timelessness, lost in thought.

From bar 54, the orchestra momentarily takes over, descending chromatic movement in the violin cello parts signalling that we are returning back into a darker, foggier place. The more prominent waltz-like accompanying figure seems to mark the protagonist's proper arrival in this new place. Now muted, the solo violin fumbles around with fast, chromatic leaps and neighbour notes, as if drifting through this mist, in discontinuous segments. While held chords in the horns, bassoons and lower strings strengthen this foggy texture, fragmentary flourishes in the flutes, clarinets, harp, celeste and tutti violin punctuate this fog, making this environment seem somehow

wilder and unknown. Trill and sul ponticello timbres in the strings add to the feeling of movement and strangeness respectively. The solo violin continues to meander through this texture, weaving trills, appoggiaturas and staccatos into its otherwise smoother articulations, reaching new heights with each new run.

The orchestral accompaniment continues to grow in texture as well as dynamic, heading towards a climax at bar 69. At this point the violin seems to break free, playing two descending major 7th leaps (B to C natural, and C# to D natural respectively), over accented chords in the strings, vibraphone and woodwinds. Here the solo violin waits as the orchestra drives the movement onwards (Korngold's direction here simply 'Avanti!'), echoing the first four notes of the solo violin's first entry. Here the significance of Korngold's meaningful use of the 4th interval becomes more obvious with the violins, doubled in octaves, blaring the four-note patterns F–G–A–B♭ and G#–A#–B#–C# respectively.

The solo violin finally re-enters with a triumphant restating of its first phrase from bars 9–11, this time in F major, a curious key in relation to G major. Yet again, Korngold subverts our expectations by completely changing tack after only two bars of what constitutes the biggest climax of the movement. The solo violin immediately reverts to a soft rendition of the material it had in bars 12–14, leaping up into the stratosphere again, piano and pianissimo dynamics marked in the suddenly minimal orchestral accompaniment. We have also landed in the temporary key area of E major, as if the protagonist is as surprised as we are to have found ourselves there.

Most curiously, at bar 85 an orchestral texture appears that has not be utilised in this movement thus far, namely a march-like rhythm in the first horn and several of the *divisi* cello parts (see ex. 4.13).[39] This march topic was commonly used, perhaps most obviously in Chopin's Marche

[39] This feature is of particular relevance when considering the movement's roots in the film *Anthony Adverse*. See Musical Representation section for further information.

Example 4.13. 'March' topic rhythm in orchestral accompaniment, second movement, bar 85.

Funèbre from his Piano Sonata No. 2, which also shares the similarity with this instance in the Concerto of being at a slow tempo. While the horn bolsters the military yet sombre tone of this rhythmic figure, the predominantly string-based use takes the edge off any strong allusions to death. In this case it would seem to serve as a subtle reminder of the protagonist's mortality.

Bar 101 sees a less emphatic return to the land of mist, the solo violin seeming to succumb to rumination. It plays a descending line that utilises many strange intervals with mute, gradually slowing in tempo. Seeming to lose its way through this it eventually settles on a A♭ over the lower strings' G major chord before pausing momentarily. The solo violin then plays an ascending line, also conjuring strange intervals that essentially rise by major 3rds. This basic pattern is also emphasised in the ***ppp*** string parts, where the first violins alone split into 6 parts. A similar technique was used by Richard Strauss for the opening of *Eine Alpensinfonie* in a descending pattern. This effect doubles the texture achieved by the vibraphone resonances, so that each note becomes held by one instrument or another (see ex. 4.14). Out of this suspended effect we emerge at what seems like the very start of the movement, a G major 7th chord. The solo violin holds an A over this, before finally resolving to a G. In this way, the sometimes terrifying and unknown journey into the psyche, or into a strange land, seems somewhat resolved, the protagonist finally making peace.

Musical Representation

Thematic material from this movement has a basis in Korngold's score for the film *Anthony Adverse* (dir. Mervyn Leroy, 1936). This adaptation of Hervey Allen's historical novel of the same

Example 4.14. Korngold, orchestral accompaniment, second movement, bars 107–108.

Vibraphon
Schlzg.
pp
Hfe.
pp (non arpegg.)
Cel.
ad lib.
Violine solo
p
Più mosso
rit.
div.
ppp
1. Pult
2. Pult
3. Pult
Vl. I
4. Pult
5. Pult
6. Pult

name follows the life of orphan Anthony from boy to father, his love of his childhood sweetheart Angela, and his many travels outside his native Italy. Given that the film portrays Anthony's life, much of which happens without Angela and in different countries, material pertaining to the concerto is limited. We can however, hear motivic similarities between "Angela's Song" and parts of the opening title sequence, and themes associated with Anthony's mother.

This melody recurs in different forms throughout the film, acting as a love theme between Anthony and Angela. It is once sung by Angela with lyrics,[40] but occurs instrumentally the rest of the time. Example 4.15 is a transcription of the melody as Angela sings it in C major. When played by the string section, as well as when sung, the theme retains its feel as simple and sweet. It is no accident, however, that Korngold has used the march topic, indicated in this case through rhythms. The dotted quaver-semiquaver-crotchet pattern is closely linked with many marches, including Hector Berlioz's 'March To The Scaffold' from *Symphonie Fantastique,* and the aforementioned Marche Funèbre by Chopin. Though neither of the two lead characters die, there is a doomed quality to their relationship. Even after marrying each other in the first half of the film, a series of events stops them from being able to stay together. Even when reunited towards the end of the film, this is only temporary, as Angela believes she cannot stay with Anthony and their child. When the theme is heard within these contexts, it is usually played by the brass section, and is reharmonised in minor keys. As such, the march becomes a sonic representation of destiny, and how both Anthony and Angela must surrender to their fates.

Example 4.15. Korngold, melody of "I'll Wait For You My Love (Angela's Song)", *Anthony Adverse*.

♩ = 75-85

But what relevance does this theme have to the concerto? As figure A.3 in the Appendix suggests, there are only three cues that include themes as we hear them in the concerto. While Robbert van der Lek has cited many other places, these are based more on “Angela’s Song”, and therefore are secondary in their connection to the concerto.The cue named “Angela” states the Concerto material as it appears in bars 9–33. The theme is first played in G major by solo flute with celeste, harp and string accompaniment, before the violins take up the melody at bar 15. This happens over dialogue, where Anthony and Angela are discussing their future plans together in a series of two shots.[41] We note, however, that Angela doubts that Anthony can marry her. This doubt is resolved as the scene goes on, but the theme of doubt returns in subsequent cues, bringing forth the relevance of the march topic again. As this is the first tender and intimate moment between them in the film, reflected in both the dialogue and the camera shot, the more melismatic and tender rendition of the theme as in the Concerto has its first appearance. This theme is a slightly simplified version of the violin part in the Concerto, with various runs and embellishments taken out.

As the cue “Angela” continues in the film, we can hear the march rhythm that is anticipating the first statement of “Angela’s Song”. This happens towards the end of the scene, and the score almost becomes diegetic as it accompanies Angela’s singing. What is noticeable here is that the violin part in the concerto is playing quite different material from bar 33. Van der Lek refers to it as a ‘paraphrase’, but in truth there is little relationship, other than harmony between these two sections. As such, it is unlikely that audiences would have connected the film material with the concerto. It is worth noting that “Angela’s Song” can be found in the passage from bar 40 in the violin part of the Concerto, buried in embellishment (see ex. 4.16).

The subsequent cues “Kisses” is almost identical to the previous cue, though Angela does not sing the theme at the end. This is played instead by the violins. Again, the two characters are

[41] A two shot is a type of camera technique, whereby the camera frames predominately features two actors

discussing their future, and Angela brings up the same doubt regarding Anthony's freedom to marry her. Again this appears to resolve itself by the end, and they agree to get married.

The last time we hear the concerto melody is for the cue "Angela Leaves". In this scene Angela is waiting to meet Anthony. He has been made late by a meeting in which he is told he needs to sail to Havana. Angela has also been told that she needs to travel with the opera company she has been singing with. Through miscommunication they end up going their seperate ways, not

Example 4.16. Underlying "Angela's Song" in solo violin, second movement, bars 38–55.

knowing what has happened to the other. Rather than a proper statement of the theme we hear fragments of it. Bars 21–29 are played first by solo violin, then by the whole violin section. This material is bookended by fragments of the march rhythm, that reflect Angela's growing anxiety. Many close ups of Angela's face are shown during this sequence. These march fragments appear in isolation here for the first time, indicating destiny's intervention and the splitting of the couple.

Third Movement:

Open Listening

The opening forte flourish of the orchestra suddenly breaks the dreamy mood of the previous movement. The violin enters soon after with a lively 6/8 theme in D major, which is punctuated by syncopated rhythms in the orchestral accompaniment. The theme is playful and optimistic. The violin then swaps roles with the orchestra at bar 11, playing syncopated pizzicato chords while the woodwinds take over the violin theme. This interchange happens a second time before syncopated *col legno* notes in the orchestral strings signal the first proper statement of the theme in the orchestra in bar 38. The rhythm here is altered slightly, evoking a hoedown feel. The violin then takes over, playing an increasingly virtuosic and at times dissonant version of the main theme, accompanied by various tone colours created by the orchestra. One last virtuosic run over an unexpected harmony leads into a much more lyrical, simple version of the main theme at bar 89.

The presence of descending chromatic lines in lower orchestral instruments, though heard before this point, now seem established as a feature of the accompaniment. There are new sweet, lyrical passages presented by the violin, that offer short-lived respite from the busy rhythms and virtuosic displays. Rather than resolve the last cadence of the main theme, the violin unexpectedly stops at bar 134, its last melodic fragment repeated antiphonally between different instruments in the orchestra, before the first note of this fragment is moved up a semitone in bar 141. The effect of this is a temporary suspension of a tonal centre, which culminates in the arrival in a new, foreign key area. At this point the violin re-enters at bar 142 with what initially sounds like the main theme at a lower pitch. Only the first couple of bars of the main theme are played, however, before the violin holds a pedal note over orchestral echoes of the main theme. The orchestra proceeds to explore this material between various instruments, moving to surprising but still tonal harmonies with the occasional flourish from the violin.

Eventually this unstable transition section arrives at the start of a new variation on the main theme in bar 172, with the violin playing a version in semiquavers, rather than the triplet feel from the beginning. The orchestral accompaniment in this new section is understated, and mainly consisting of soft pizzicato strings and soft, short woodwind fragments. The last part of this brief section sees an upward surge in the orchestra, again signalling a proper stating of the theme in the orchestra with hoedown rhythm starting in bar 192. The violin returns to its more virtuosic, dissonant take on the main theme in bars 200–216. It is interrupted by yet another orchestral statement which, rather than being played faithfully, is moved around various chords before the violin returns for a very brief reprise of this developmental section. We are soon plunged back into the more lyrical, simple take on the main theme in bar 250, this time with more flourishes in the woodwinds.

An interesting moment of dialogue happens in bar 265 between the violin soloist and the concertmaster, whereby the concertmaster plays a phrase while the soloist holds another pedal point. They then swap back to their original roles. As with the first utterance of this lyrical section, the violin stops before the resolution to the tonic that is expected, and the orchestra answers with the antiphonal interplay. We again arrive at the transition involving pedal point in the violin solo at bar 305. This time the violin joins the orchestra with the sequential use of this material.

Violin and orchestra continue to build in intensity until an enormous accented B♭ chord blasts at bar 328. The previous mood and tempo are immediately offset by an accented C chord played across woodwind, brass and string parts. The disruption makes way for a brass and woodwind fanfare, which states the lyrical version of the main theme at a much slower tempo. The strings play a combination of accented chordal notes and *sforzando* tremolo chords, while the woodwinds, celeste and harp play a series of flourishes. The violin eventually re-enters in bar 345, playing the second half of the lyrical theme in harmonics and high, sweet E string notes. Another transition is set up where the violin plays a series of arpeggios over slow, rubato chords in the

orchestra. Two chords are then played by the orchestra in bars 362–365, not in tempo. The second of these chords again feels unexpected in relation to what has come before.

After this brief suspension of time, the same flourish in the orchestra that started with movement is sounded again, breaking the dreamy mood at bar 366. We are immediately launched back into the fast, bombastic mood that took up the majority of the movement. The violin plays a highly embellished, virtuosic version of the main theme that continues to gain in pace and wild harmonic exploration. After many striving passages, the orchestra seems to set up the end of the concerto. Our expectations are once more undercut by a French horn statement of the main theme in bar 412 in the slower tempo of the fanfare section, that changes mid-phrase to another unexpected key area. After the interruption, the violin re-enters with an upward surging series of runs, gaining pace with each one. Several statements of the final chord mean we are not entirely sure which will be the last, but eventually the concerto ends with an enormous last flourish.

Syntax

Form

This movement is attributed the title of "finale". The form of the third movement defies easy categorisation, a point illustrated through various sources. In "Concert As Reused Film Music", Robbert van der Lek makes a case for the movement reflecting a modified rondo form that contains elements of theme and variations, with the thematic structure outlined in Figure 4.4:[42]

Figure 4.4. Van der Lek's structural analysis of the third movement

	A	**B**	**c**	**A'**	**B'**	**c'**	**B''**	**A''**
Bar Nos.	1–88	89–134	135–172	172–250	250–296	296–329	329–366	366–426

[42] Van der Lek and Swithinbank, "Concert Music as Reused Film Music," 91.

By contrast, program notes for a performance of the concerto by the London Symphony Orchestra describe the movement as a straight theme and variations.[43] Yet another analysis, this time in program notes for the Houston Symphony Orchestra, suggests that "Like the finales of Dvořák's Eighth Symphony and Bartók's Second Violin Concerto, this movement is a theme and variations disguised as a sonata form with a contrasting second theme, a brief development and a reprise. In fact all of these episodes are cleverly disguised variations of the main theme."[44] The common observation between all three accounts is the undeniable presence of thematic material that is then put through a series of transformations in which musical aspects, such as key, rhythm, time signature, and character, are varied. Figure 4.5 provides a schema for how sonata form can be used to map the form of the movement.

Looking at the themes themselves, we can see that theme B (see ex. 4.17a) is a simplified version of theme A (see ex. 4.17b), where each bar of theme B equates to a dotted crotchet in theme A. The only major point of departure besides the time signature is the flattening of the 7th in theme A, C#, to C natural in theme B. For the purposes of highlighting the melodic similarity, theme B has been transposed from the original B♭ major into D major, and double stops have been removed. As such, we can view theme B as a variant of theme A.[45] Both themes contain an antecedent and consequent, each of which resolves to the tonic. Theme B, however, introduces new melodic material in the form of two short lyrical passages. These additions act as subsequent antecedents that end in the dominant, each of which is answered by the existing consequent, finishing on the tonic.

Turning our attention to van der Lek's ascribed 'c' sections, which he himself identifies as transitional, it is evident that no new material is being presented, and that their purpose is indeed to

[43] "Korngold's Violin Concerto: From the Silver Screen to the Concert Hall," London Symphony Orchestra, 28 May 2015, https://lso.co.uk/more/blog/437-korngold-s-violin-concerto-from-the-silver-screen-to-the-concert-hall.html.

[44] "A 'Hollywood Concerto': Korngold's Violin Concerto," Houston Symphony Orchestra, 27 December 2018, https://www.houstonsymphony.org/korngold-violin-concerto/.

[45] As described in the 'Musical Representation' section , theme A is actually a variant of theme B.

Example 4.17a) Theme B, third movement, bars 89–103.

connect sections through modulatory passages.[46] Given then that 'c' is not a theme unto itself, and that no other new material is posed throughout, rondo form does not adequately reflect Korngold's structuring of material. Theme and variations also does not account for the recurrence of transitional sections, or for the often incomplete iterations of themes A and B after their initial statement. While themes A and B are indeed embellished throughout, the structure of "disguised sonata form" seems the most apt, despite its structural modifications. Indeed, the return of theme A in the recapitulation could be seen as the start of an extended coda, when considering the out-of-place transition before it commences.

In the end, as van der Lek astutely observes, "one has the impression that the multi-interpretable and hence uncertain form primarily performs a different function, namely that of providing the basis for a virtuoso finale."[47] It is undoubtedly a point of interpretative interest, which will be explored in the next section.

Pitch and Harmony

The augmented 4th of G#, heavily featured in the first movement, returns as a prominent characteristic of the main themes in this finale. The context in which it is used, however, is not that of augmented 4th over chord I, but as a note intrinsic to the chord II#, the lydian supertonic.

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[46] Van der Lek and Swithinbank, "Concert Music as Reused Film Music," 91.

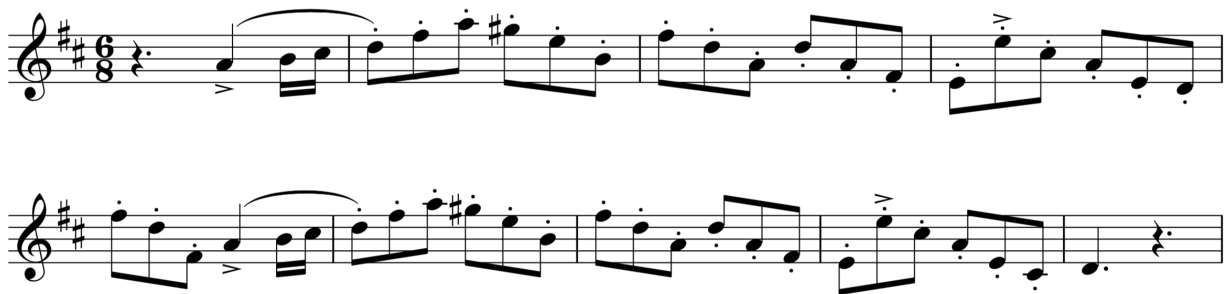
[47] Van der Lek and Swithinbank, "Concert Music as Reused Film Music," 93.

Figure 4.5. Structural analysis of the third movement as sonata form

	EXPOSITION				DEVELOPMENT				RECAPITULATION		CODA
Material:	**1st Subject**		**2nd Subject**	**Transition**	**1st Subject**		**2nd Subject**	**Transition**	**2nd Subject**	**1st Subject**	
Theme:	A		B	c	A'		B'	c'	B"	A"	
Bars:	1–37	37–88	89–134	135–172	172–216	216–250	250–296	296–329	329–366	366–412	412–426
Tonal Area:	**I** DM	**V, II♭, VI, III** AM–CM–E♭M–B♭M, (FM as V of B♭)	**VI** B♭M	**I** DM	**V** AM	**V, I** AM, DM	**I** DM	**III, V, VII** F♯M–AM–CM	**III** FM	**I** DM	**I** DM
Time Signature:	6/8	6/8	2/4	6/8	2/4	6/8	2/4	6/8	2/2	3/8, 2/4	3/4, 2/4

Korngold also introduces a new sonority, a variation of theme A that is a significant feature of theme B. As mentioned earlier, theme B contains a flattened 7th through the application of ♭VII, resulting in the frequent use of the mixolydian chord progression I–♭VII–I. Both the lydian supertonic, and the mixolydian I–♭VII–I progression have strong semiotic connections to many present day listeners. As Tom Schneller explores in his article "Modal Interchange and Semantic Resonance in Themes by John Williams," both harmonic features have been used extensively in the

Example 4.17b) Theme A of third movement, bars 2–10.



work of film composer John Williams, as prominently as in major themes for *Star Wars*, *Indiana Jones*, and *Jurassic Park* films.[48] The sonority will also be familiar to those who know Aaron Copland's *Fanfare for the Common Man*. As Schneller points out, ♭VII is used in this case as a dominant substitute with ♭VII going to I. Schneller also states that this sonority has strong ties to Americana, in particular a nationalistic sense of heroism and ceremony, often in a military or political sense. When combined with glittering percussion the feeling invoked is one of magic, adventure, heroism.

Korngold also frequently employs a harmonic device in this movement that works to transition to new sections and phrases. Having established a tonal area, he then uses chord ♭VII from that key as chord V in a new area. For example, at bars 56–58 the established key area of A major (itself possibly still functioning in sound as the dominant key area of D major), then gives

[48] Tom Schneller, "Modal Interchange and Semantic Resonance in Themes by John Williams," *Journal of Film Music* 6, no. 1 (2013): 49–74.

way to a G major chord that acts as chord V of C major. This only lasts momentarily before he employs the exact same method in bars 58–60 to modulate to Eb major in a cycle of minor 3rds (CM–BbM–EbM).

Rhythm

The majority of this movement is rhythmically stable, oscillating between the time signatures of 6/8 and 2/4 for the most part. Korngold makes a note of highlighting that while the tempo of the movement is d= 88–92, the conductor and/or performers should feel the beat as two dotted crotchets per bar. The pulse continues so that a crotchet in 2/4 equates to the same length as a dotted crotchet in 6/8. This metre swap reflects the kind of material that is being played at the time, between the playful and the official.

Virtual Feeling

Bars 1–88

This first section, which can be viewed as an exposition, can be seen as setting up a blueprint of sorts for the following sections. Many features outlined below return in their subsequent iterations.

A *sforzando* flourish from the orchestra breaks the reverie of the preceding movement. This A major chord, played with appoggiaturas in many of the orchestral parts, seems to imply that we have moved to A major, though it soon becomes apparent that we are actually in D major, the title key of the concerto. This striking beginning is in keeping with Korngold's penchant for tonal ambiguity. This device is used consistently throughout the movement to pivot between different tonal areas, creating a sense of surprise and the unexpected. The solo violin part comes in with an enthusiastic quaver-driven, arpeggio-based melody that establishes the first sense of metre, a gigue-like 6/8. The gigue has a long history of portraying exuberance, often with folk-like overtones that

pertain to peasants and the lower class.[49] Building on Ratner, Dickensheets asserts that the 'gigue' topic was widely used in the nineteenth century as well. In the context of the concerto, this topic feels boisterous and irreverent, particularly when considering the syncopated accents in bar 5. Held trills in the celeste and flute parts add to the feeling of excitement and movement. The use of hemiola effect of quadruple duplets in the 6/8 metre, though subtle, adds a jaunty, polka-like feeling, especially as they are often only played on off-beats. This seems to enhance the peasant-like association already established by the gigue rhythm. As previously mentioned, the 'Americana' feel of the Lydian chord II and the ♭VII are prominent, and evoke feelings of adventure and wonder.

The solo violin's melody is answered by the orchestra, while the violin joyously reverts to pizzicato triple and quadruple stops. The roles swap again, this time with the solo violin playing its opening melody down an octave. Several of the notes are also altered to chromatic counterparts, such as C and B♭, giving the melody a slightly quirky, unstable feel this time. The orchestra then takes over again, playing a robust version of the theme further intensified by mid-to-low register in many of the instruments. This section (bars 38–46) is often performed slower in concert so that it is more easily playable, with the solo violin's entry at bar 46 beginning to accelerate to the original tempo again. This sudden change gives the feeling that the orchestra is trying to settle the solo violin down, or perhaps is another character trying to talk sense into our protagonist. This is short-lived however, as the violin returns with material that is reminiscent of bars 33–51 of the first movement; the runs continue to search upwards in disjointed, awkward intervals. It is worth nothing that rather than stay in D major, the end of the orchestral interlude moves to A major, where the next section settles momentarily.

Bar 47 features the first instance of a descending chromatic line occurring in the orchestral accompaniment, this time in the French Horn, spanning a perfect 5th. Apart from the solo violin which is playing an ascending chromatic line, the only other accompaniment is a pedal point on A

[49] Dickensheets, "The Topical Vocabulary of the Nineteenth Century", 102.

provided by the violas. This combination of pedal point and descending chromatic line recurs numerous times throughout this movement in various instrument combinations, often while the violin is playing this disjointed ascending line. Further instances of this writing occur in other sections, however, which will be covered subsequently. The contrary motion between the violin and the orchestra, and already established concept of the 'death motif' seem to indicate that the struggle between success and failure (or life and death) continues to plague the protagonist. Indeed the violin material signals both instability and playfulness at the same the time, invoking an image of the protagonist deftly moving out of fate's grip by the skin of their teeth.

Bars 54–55 in particular seem to invoke the cadenza in the first movement. Though the intervals are not quite the same (they are minor 6ths and perfect 4ths here), the stacked double stops essentially build an E♭ major chord that is then alternated with A major chords in the rest of the orchestra. The celeste also emphasises this augmented 4th interval (presented as a diminished 5th here) that has pervaded the concerto so far (see ex. 4.18). The ensuing section continues in this frenzied vein, cycling through tonal areas that are a perfect 5th apart (E♭M–B♭M–FM).

Korngold uses the effect of quick modulations to create a feeling of spontaneity and arrival. As mentioned in the Syntax section, having established a tonal area, he then uses two cycles of ascending minor 3rds. Having settled on E♭M at bar 60, the violin resumes a quadruplet rendition of the Theme A, with added double stops and ricochet bowing, imitating the orchestra interlude at bar 38. This is interspersed with disjointed material reminiscent of bars 46–59, which eventually leads to a restating of this material proper in F. This is again accompanied by the descending chromatic line played by the bassoon and tremolo second violins, with viola pedal point on F. The exact same modulation device as bars 58–60 get us to E♭ (F–E♭), but this time surprisingly we go from A♭M to F as dominant of B♭.

Bars 89–172

Arriving back at B♭ major at bar 89, this time in 2/4, the theme relinquishes the gigue feel for a simplified, lyrical version of the main theme. This is also signalled by Korngold's use of phrase marks in the solo violin line. While this theme is more noble, hints of descending chromatic lines pervade the orchestral texture. Bar 89 sees the cellos play the line in pizzicato at a ***p*** dynamic, with the harp taking over in the same soft, quaver-held way. New thematic material is introduced in the solo violin part at bar 104, which has a slight mysterious quality to it, caused by the chromatic and high-pitched notes in 107–8. This is yet again accompanied by descending chromatic lines in the strings, as well as a pedal point in the clarinet, viola and cello. As the violin returns to an embellished version of theme B in bars 112–119, the strings play the descending chromatic line in pizzicato, ranging a perfect 4th and a perfect 5th respectively (see ex. 4.19). A second new extension of the theme occurs in bars 120–127 which seems to be a more conventional take on the first extension in bars 104–111, again played high in the violin's register.

Bar 135 sees the introduction of a new modulation device within the movement. The violin stops short of finishing the theme that should resolve to B♭, upon which the bassoon echoes the last four notes the violin played by itself. Rhythmic diminution then occurs when the viola echoes the four notes too. What then ensues is an antiphonal exchange between the bassoon and strings, where the four notes (G–E–C–A) are repeated. The last two notes are then taken in isolation and morphed to C#–A. While C and A constituted scale degrees 2 and 7, the C# and A lay down the groundwork for scale degrees 7 and 5 respectively. This eventually gets us back to D major momentarily at bar 143. This device is cleverly employed to allow the sense of a strong tonic to fade from the minds of the audience, using the remaining fragment to pivot back to the tonic. The section from bars 143–172 rounds out the exposition with a transitional section that implied numerous temporary tonics. The solo violin plays a variety of trills, pizzicato, and quadruplet chromatic intervals, while the orchestra mimics various fragments of the theme.

<u>Bars 172–249</u>

Example 4.18. Third Movement bars 54–58.

As demonstrated in figure 4.5, the material present in bars 1–89 essentially repeats in this section of the movement, with various modifications. Having settled on A major, the solo violin plays theme A in semiquaver variation. This version of the theme imitates the orchestral interlude at bars 38–46, where the theme ends in a different key area, in this case, moving to E major from bar 180. When the orchestra takes over at 193, it somewhat unusually ends a perfect 4th up (D major), rather than the perfect 5th that previous iterations achieved. The orchestra has a second, extended interlude in bars 220–236, which is curious in nature. Rather than present the theme as usual, the orchestra performs a series of self-interruptions that see the theme cut short and then initiated again in another key area. In bar 226 for example, instead of finishing the phrase the orchestra start the theme again on a C, which acts as the dominant to F, thus employing the first modulation device fleetingly. Finally settling on the tonic of A at bar 236, the solo violin enters with almost the exact same material as 46–60 with only small changes. Rather than end up at E♭ major however, this moves to D major at bar 250.

Bars 250–330

As expected, this section follows the pattern established at bars 89–172 with only minor changes. Starting in D major, the solo violin plays the noble theme B with added embellishments and double stops, including only the second theme extension this time. Bars 296 provide the transition using the same rhetorical device used in bars 135–143, using bassoon and strings again, and using the repeated notes of E and C#. The E is lifted to an E#, again constituting scale degrees 7 and 5 of the anticipated key of F# major. Bars 303–330 constitute another transition that uses the first modulation device whereby F# goes to E as the dominant of A, which then goes to G as the dominant of C. Bar 326 finally lands on the note B in the solo violin part, with a strong *sforzando* B and E resounding in the orchestra. However this is immediately superseded by a unison ***ff*** C sounding in almost every orchestral part. This wrong-footing is unexpected to the listener, and sets

Example 4.19. Korngold, third movement, Bars 103–117.

up the impending tonic of F, exactly as the opening of the movement did with A and D.

Bars 330–426

After this surprise, a fanfare ensues from the orchestra in a slower tempo than anything that has preceded it. Initially started by the horns, violas and cellos, stating theme B, it is accompanied by a flurry of runs in the woodwinds, celeste and harp, further lending a cinematic quality to this section. The violin finally enters with the first extension of the theme in artificial harmonics, a timbre that has hitherto featured little in the Concerto. This momentarily brings the loud and epic down to the intimate and soft, accompanied only by muted instruments and *sul ponticello* violas. An out-of-character tranquil section follows where the violin performs a series of soft arpeggios and scales runs. This section seems to lose steam by bar 361, with all sense of movement having dissipated. Bar 362 brings the most marked feature of the concerto so far with an E major chord played by only the French horns and clarinets. This chord is completely out of keeping with the F major section, and is a completely different texture to anything than has come before, particularly given it lasts 8 beats in this slower tempo and is played *piano*. This is even more surprisingly answered by a C# major chord in the flutes, oboe, vibraphone and strings, all playing ***ppp***. The sound is almost reminiscent of the kind of texture used by Edvard Grieg in "Morning Mood" from *Peer Gynt*, creating a similar effect in the concerto of the sun rising, or perhaps a way through dawning on our protagonist.

After this event where time seems to stand still, the mood is savagely broken in bar 366 by a A and E being played by the entire orchestra with a *sforzando*. This again acts as a dominant leading to the D major section, just as at the beginning. The violin enters once more for a last virtuosic display where the protagonist breaks free of his binds. The accompaniment to this section features many accented, loud chords, flourishes, ricochet bowing and dense rhythmic textures. The

descending chromatic line has disappeared completely from this section, as the violin weaves its way around various material from the movement.

One last unexpected event occurs in bars 412–413, where the French horn interrupts the violin with a slightly demented version of the theme; the theme starts as usual but the second bar transforms into E♭ major. The violin refuses to allow this to continue by entering with a series of runs that make it all the way to C#, before finally reaching a top D in bar 421. Bar 422 provides a brief glimmer of doubt again, with a set of contrary motion fragments in the orchestra and the chromatic disjointed material in the violin, before D major conclusively wins out. A series of repeated D major chords confirm this final victory at the close of the concerto.

Musical Representation

The main theme of the film *The Prince and the Pauper* (dir. William Keighley, 1937*)* makes up the entirety of the thematic material of the third movement excluding short linking sections, unlike the two movements that precede it. The most obvious reason for this is the nature of a virtuosic finale, where a repeatable and memorable melody can be used as the basis for a series of variations that show off numerous display-orientated techniques. The "Main Title" from the score which occurs in 2/4 metre, is almost literally used in bars 330–361, hence corresponding to theme B. In fact most of the film score uses this theme B rendition, which recurs in a further nine cues (see fig. A.4 in Appendix). Its use in the opening sequence, where a wide shot of London overlaid with credits constitute the visuals, immediately orient the viewer to a fantastic and epic tale of adventure and intrigue. Over the course of the other cues the theme becomes attached to Prince Edward first, right from the scene of his birth through to discussion of his future as the next King of England. The cue "Biscuit and Seal" shows Henry VIII explaining how the seal grants the king power, including to make laws and pass sentences of guilt. This starts with a close-up of Henry VIII taking it out of its box, then pulls out into camera shots that show Henry and Prince Edward in this intimate

conversation. The arrangement of the cue predominantly features low strings, which reflects the power of the seal, ultimately giving the scene an ominous mood, foreshadowing the importance of the seal to future events. Indeed it is through unwittingly playing with the seal (using it to crack nuts) that they bond, and it is the discovery of the seal which later exposes the case of mistaken identity, thus saving Edward's life and restoring balance.

The theme is also heard in the cue "Mirror", where Edward and Tom recognise, and have fun with, their remarkable likeness. Here the theme signals to the viewer that the adventure is beginning with its lighter orchestration and French horn melody . It also endows the theme with the idea of the boys' destinies becoming linked for life, and therefore adopts the added connection to their friendship. It is worth noting that this theme is only heard when action is taking place in the palace, never outside it.

Interestingly the gigue-like theme A only appears twice, the second occurrence an almost direct repetition of the first. These cues named "Seal #1" and "Seal #2" underscore a scene after Edward has finally made his way back to London, and interrupts Tom's coronation. In this scene both boys try to prove that their identities have been swapped by revealing the location of the Royal Seal of England. A nobleman is sent to retrieve the seal as quickly as possible, but comes back empty-handed. This leads to further information being recalled about where the seal was hidden, forcing the nobleman out a second time. Visuals of the nobleman running out of the coronation on both occasions are rendered more comical as a result of this fast, theme A material. The speed and difficulty of this material lends itself to a virtuosic display from the violin in the concerto, while the more noble feel of the "Main Title" material provides an interesting, less boisterous counterpart.

Performance Guide

Korngold's assertion that the concerto was written with Caruso rather than Paganini in mind is evident in the many soaring, lyrical melodies that pervade the work, and are likely responsible for criticisms that the work is 'schmaltz'. This, however, ignores the fact that there are numerous virtuosic passages that deliberately break the presentation of memorable melodies. As shown in the previous analysis, these passages often use awkward sets of chromatic intervals that do not fit neatly under the violinist's fingers, and also demand a completely different interpretative choice of mood. Indeed a major challenge of the work as a whole is being able to convey the spectrum of different moods that Korngold manages to create on a large scale, but also within movements; the first starts with the noble yet regretful first theme, replaced by a joyous if unhinged section that eventually leads to a more traditional love theme; the second plunges us into reverie and questioning before confusion sets in, rescued by the struggling to achieve clarity; the third presents a playful, boisterous theme that then alternates with a more heroic, valiant rendition. This is often done with fewer score markings than might be expected of a late-Romantic work. Carroll writes that by Opus 14 Korngold "…had become meticulous and almost over-cautious in his use of performance directions, almost as though he did not trust musicians to interpret his work. Out of some 200 bars that make up this cycle, only two do not contain some instruction or marking".[1] This observation does not seem to extend to the concerto as a general rule, nor does it support Korngold's earlier mentioned statement that "No performance of [his] works is good."[2] Many articulations and phrase marks are indicated, yet overall tempo and degree of variation on this is left to the performer.

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[1] Carroll, *The Last Prodigy*, 153

[2] Erich Wolfgang Korngold, "Composing for the Pictures: An Interview", interview by Verna Arvey, *The Etude* 55, no. 1 (January 1937), 16. https://digitalcommons.gardner-webb.edu/etude/851.

Editions

Until recently there was one published edition of the violin concerto with solo violin part available to the public. This 1950 edition, printed by Schott Musik International, was an amalgamation of Korngold's manuscript and numerous markings and additions by Jascha Heifetz which the composer approved of.[3] In 2019 Schott updated their edition to include a second copy of the solo violin part that contains edits by violinist Florin Iliescu.[4] These include bowing and fingering suggestions, as well as noting where finger extensions are necessary, while preserving Korngold's original phrase marks as dotted lines for the violinist's reference. This edition is the first attempt to aid the performer in navigating some of the trickier passages that require creative fingerings to execute, as well as providing guidelines by which to successfully realise Korngold's phrasing marks while keeping practicality in mind. In 2020 Schott released another edition in partnership with Keiser Southern Music which is labelled 'urtext', as it contains many additional markings made by Heifetz, and is also edited by violinist Endre Granat.[5] These markings are principally taken from two copies of the violin part from Heifetz's estate, and include fingerings and bowings, some of which differ from those printed in the 1950 Schott edition. This could be due to changes of preference with each performance and recording. It also contains some facsimiles of newspaper reviews and manuscript pages. Certain observations that follow will be taken from each of these editions, and will be indicated accordingly.

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[3] Erich Wolfgang Korngold, *Concerto in D Major for Violin and Orchestra, Op. 35* (piano reduction), ED 6713 (Mainz: Schott Music, 1950).

[4] Erich Wolfgang Korngold, *Concerto in D Major for Violin and Orchestra, Op. 35* (piano reduction), ed. Florin Iliescu, ED 6713 (Mainz: Schott Music, 1970).

[5] Erich Wolfgang Korngold, Concerto in D Major for Violin and Orchestra, Op. 35 (urtext edition solo part), ed. Endre Granat, (Kieser Southern Music with Schott Music, 2020).

Tempi, Rhythm and Rubato

It is common in performance for bar 38 onwards of the third movement to be played at a slower tempo though it is not marked this way. The obvious reason for this would be the technical difficulty of the section from bars 46–88 in the solo violin part, which is comprised of awkward interval leaps, tricky double stops , chromatic semiquaver runs and complication quadruplet rhythms.

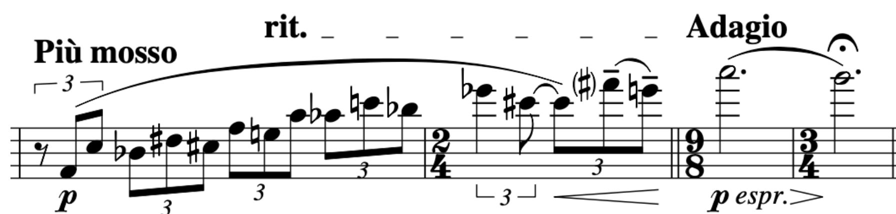
As previously established, Korngold's predilection for written out rubato features strongly throughout all three movements of the concerto. The rhythms that result from this are often exceedingly tricky given the kinds of subdivisions that Korngold writes, often paired with duplets and syncopations (see ex. 4.20). This is not only important for the soloist, but also for the orchestra (or pianist), whose parts are often equally complex, and often obscure a clear sense of pulse by which the violinist can orient themselves. A good sense of rhythmic precision is also paramount, not only for ensuring that Korngold's strict written-out rubato is followed, but also to protect the phrases from falling into a soup of textures and incoherent sounds, which could attract the description of 'schmaltz'.

Phrasing, Articulation and Bowing

The lyrical passages in the concerto pose the challenge of phrasing for the performer. Often these themes are long and sustained in intensity, if not increasing, and have to project over the large orchestral accompaniment. Korngold often includes phrasing marks in these sections, some of which easily correspond to appropriate bowings. There are several times, however, where the performer has to decide the best places to change bow to keep the continuous melodic line while balancing dynamic and projection concerns. This can be seen in the opening of the concerto, where most performers choose to start on a down-bow, though where they choose to take the next bow change is variable (see ex. 4.21). Heifetz, however, favoured starting on an up-bow, as reflected in

his markings.[6] The fact that the melody starts low in the violin's range and proceeds to rise from there also has ramifications for how to achieve a smooth line while also being heard over the orchestra. Similarly, the passage at bars 101–110 that closes the second movement requires experimentation from the performer to figure out a feasible bowing (see ex. 4.22). While the dynamic is ***p***, there is also a *ritardando* marked, as well as the consideration of accidentally emphasising the last two notes of 108 by having to use the entire bow if the phrase mark before it is observed. This also makes the execution of the last two bars problematic as they are even slower that what has preceded, and are already of long duration. Instead, these must be interpreted as indications from Korngold as to how the sound should continue at any given moment.

Example 4.22. Korngold, solo violin, second movement, Bars 107–110.



While the third movement offers little room for phrasing and bowing creativity, it is worth observing that the few lyrical passages that make up theme B are not spared phrasing marks by Korngold. He again indicates the continuity of the line that he envisages, from which the performer must decide where bow changes should be taken.

Fingering, Pitch and Vibrato

On top of this, clear pitch precision is needed to ensure that the augmented intervals and chromatic passages sound correct and intentionally written. Of most interest, however, is the way in which

[6] Korngold, *Concerto in D Major* ed. Endre Granat.

Example 4.20. Korngold, second movement, bars 66–68.

poco a poco animando

(rubato)

Fl. 1 2

Kl. (in B) 1 2

Bkl. (in B)

Fg. 1 2

Hr. (in F) 1 3 4

marc. (con sord.)

Hfe.

Cel.

Violine solo

poco a poco animando

(rubato)

3 Soli con sord.

arco

Vl. I div.

Vl. II div.

div.

senza sord.

Vla. div.

pizz.

senza sord.

Solo

1. Pult

Vc. 2. Pult

3. Pult

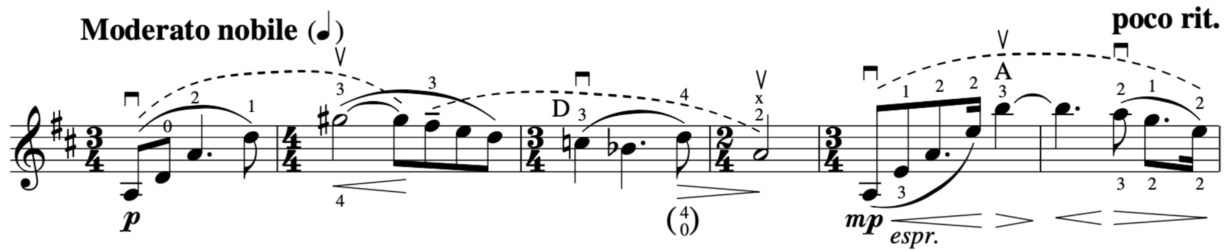
arco

div.

Kb.

(pizz.) div.

Example 4.21. Korngold, solo violin, first movement, bars 1–6, Schott Edition with editorial markings by Florin Iliescu.



each performer reconciles the vastly contrasting (and returning) sections. The lyrical material of the first and second subject themes of the first movement in particular provide much room for textural exploration. Figure 4.21 shows a conventional and popular fingering for the opening of the concerto, as offered by Florin Iliescu, that allows for ease of shifting, expressive vibrato and any portamenti that the performer may choose to do audibly. Stefan Jackiw offers another possibility in a video filmed for "The Violin Channel" on Youtube, where he demonstrates that open strings can be used instead.[7] While most players opt to play the majority of the notes with fingers, the possibility to play numerous open strings presents a completely different tonal quality. Indeed, in a 2019 performance Jackiw opts to play open D and A strings in bars 1 and 5, only beginning to vibrate on the G# and B respectively.[8] In direct contrast to this, a 2004 recording by Anne-Sophie Mutter shows how she avoids opens strings altogether, instead climbing up the G and D strings with numerous audible portamenti.[9] Other players also choose to avoid the D string in bar 3, instead opting for the brighter sound of the A string.

While fingered notes have the added benefits of being able to vibrate and therefore sustain sound, as well as explore more muted textures in higher positions, the incorporation of more open

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[7] Stephan Jackiw, "Sheet Music Sneak Peek | VC 'Artist' Stefan Jackiw - Korngold Violin Concerto," *The Violin Channel*, 14 October 2015. https://www.youtube.com/watch?v=5ZZnyV_psYw&feature=youtu.be.

[8] Stefan Jackiw, "Violin Concerto by Erich Wolfgang Korngold," Orquesta Sinfónica de RTVE, 2019. https://www.youtube.com/watch?v=KPoMZ003UW4.

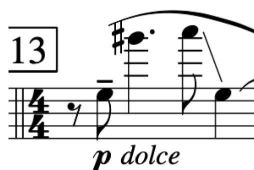
[9] Anne-Sophie Mutter, "Korngold: Violin Concerto In D Major, Op.35 - 1. Moderato nobile," Universal Music Group, 2018, https://www.youtube.com/watch?v=J8AP34Mg2vg.

strings could support a less 'Romantic' reading, enhancing possible mystical qualities. This would also enhance the G#, which cannot be played with an open string.

Performance Traditions

Korngold's written slides and glissandi are often interpreted differently by performers in the first movement. Some choose to play them as long slides, while others alternate slides with chromatic glissandi, where each semitone of the passage is briefly articulated. Korngold himself differentiates between these in the score, but this distinction is not always observed by performers, as expressive purpose is often given greater priority, particularly when considering the last chromatic glissando leading into the cadenza; at that point establishing how destabilised the passage should feel, as well as what works best for the fingers of each individual violinist, is an interpretive choice (see examples 4.23a and b).

Example 4.23a) First movement, bar 67.



Example 4.23b) First movement, bar 107.

The cadenza itself also seems to have a performance tradition, whereby the accented notes that occur on beat 4 are held for a longer duration than is written (see ex. 4.24). Again, this is not followed by all, but is an interesting expressive choice that has the potential to render the cadenza more disjointed. This is often dialled down as the cadenza proceeds, in favour of building rhythmic impetus.

Example 4.24. First movement, bars 108–9.

21 **Risoluto**

108 *staccato*

f

(𝄐)

Conclusion

What sorts of analysis can assist performers of Mozart's music? My answer...just about everything.
Joel Lester[10]

As I argued in Chapters One and Two, the special responsibility and privilege of the performer is to immerse oneself in a work as unreservedly and completely as possible. This process is not limited to one set of performances of a work but can unfold and evolve over an entire lifetime, with each investigation and subsequent performance leading to new discoveries. The notion that a written analysis can hope to encapsulate this level of deep knowledge is unrealistic, as is the notion that it can substitute for a live performance, where new meaning is created by both listener and performer in the temporal event. However, words have immense value in their ability to pose a myriad of questions and prompt new ways of thinking. They can also facilitate an understanding between the various disciplines of music, helping to continually invigorate and inform each other. To that end, I hope to have demonstrated how written analysis can not only generate insight, but reflect what kinds of insights might be of particular interest to a performer.

This project has been ambitious in its scope, attempting to initiate an acquaintance with a work that has a complex yet unexamined history. The sheer breadth of knowledge that has yet to be generated in relation to Korngold has become even more keenly apparent to me during this research process, proving overwhelming at times. This dissertation has therefore covered an enormous scope including reception history both then and now, compositional style, Concerto analysis and film studies. Potential criticisms of such a broad examination is that no area can be expounded upon in great detail, and that what is considered of interest is largely drawn from what I find noteworthy. I feel, however, that this approach reflects the steps a performer may take to get to know a work from scratch; one that they perhaps have never heard before, cannot find much discourse about, and

[10] Joel Lester, “Analysis and Performing Mozart,” *College Music Symposium* 51, (2011), https://www.jstor.org/stable/10.2307/26513065.

which therefore requires the performer to forge their own path of enquiry for. The phenomenological methodology at large, and Ferrara's 'eclectic method' specifically, could equally be criticised for their lack of clearcut boundaries and prescriptive tools. Indeed the responsibility lies with each analyst to determine what is relevant and the spirit in which they conduct and present their research. This being the case, the eclectic method prompts one to think about a work in numerous ways, opening many doors of enquiry. The phenomenological attitude itself urges one to keep an open mind and not perpetuate assumptions unnecessarily.

While topic theory is now a well-established methodology, its particular ties to performance have not yet been maximised. The stylistic interplay of topics, and the potential narrative events they elucidate, not only aid in making interpretative choices across a work, but can also illuminate how phrases can be played, and interactions that can occur across voices and indeed instruments. This more metaphorical approach can prove an effective way of tying technical and mechanical aspects of playing to a bigger vision of a work in the performer's mind. Applying topical analysis to Korngold's often semiotically charged works, further supported by his evident talent for musical storytelling, could also shed light on his own compositional philosophy and approach. There seems to be evidence that Korngold had an interest in symbolism and narrative, as shown by his self-referential processes and his keen talent for film composing. Exploring the extent to which Korngold's style was based on a visual or narrative predisposition would be of great interest. To this end I hope to have effectively demonstrated that a combination of phenomenological, conventional and hermeneutical tools can aid the analyst in creating meaning with a work, while also reflecting some of the possible processes that take place during interpretative exploration.

Turning attention to Korngold and his Violin Concerto, the research pathways that can be explored in depth from this initial discussion are vast. Detailed analyses of the four film scores would shed further light on Korngold's film composition practices, building on Winters' and Kalinak's analyses of *The Adventures of Robin Hood* and *Captain Blood* respectively. This would be valuable to both film music and Western art music scholars for revealing not only the

compositional practices that are directly relevant to each sphere, but also how processes from each medium are adapted back and forth for different musical purposes. This is also of particular relevance to composers today whose outputs are often mixed, reflecting our increasingly cinematic society. This could also lead to a detailed examination into exactly how material in the scores and the concerto have been adapted to and/or from each other, as well as in Korngold's other works that employ this process.

Analyses of the concerto itself could deepen understanding of Korngold's harmonic language, as well as his orchestrating practices, and further the stimulus by which performers could experiment in their interpretations. An investigation of Korngold's use and modification of classical forms, such as sonata, is also overdue. Many parallels have also been drawn between Korngold and Richard Strauss, yet this potential intertextuality has largely remained a point of remark rather than a rigorously established compositional phenomenon. This would also help substantiate claims that Korngold's earlier work pushed the boundaries of pre-World War II modernism.

While the tide has turned on Korngold reception in recent decades, there is still much to be explored and discussed about this extraordinary and versatile composer.

Appendix A: The Films

Introduction to Film Analysis

As space does not allow for a detailed and thorough analysis of the four films and Korngold's scores (indeed, this could take up several books), this section serves to provide background knowledge to complement the 'Musical Representation' portions of the Concerto analysis in Chapter Four. This includes a synopsis of each film, as well as tables I have generated that identify where material for the concerto appears in each film score. I have included information pertaining to timecode, underlying plot points, instrumentation, key areas for each cue, the camera angles used and the corresponding bars from the concerto. As scores are only available in their original manuscript form at the Warner Brothers Archives at the University of Southern California, all musical examples and table information has been transcribed by ear, from a combination of the films themselves and soundtrack albums. I have drawn on Robbert van der Lek's article "Concert Music as Reused Film Music", as well as album releases of the scores where they exist, to establish cue names.

Another Dawn (1937):

Release Date: 26 June 1937
Director: William Dieterle
Cast: Errol Flynn, Kay Francis, Ian Hunter
Production Company: Warner Bros. Pictures, Inc.
Country: United States

Plot:

Another Dawn, loosely based on the play *Caesar's Wife* by Somerset Maughan, was directed by William Dieterle and released in 1937 by Warner Bros.[1] Classified as a romance or melodrama, the plot centres on Julia Ashton who meets British Colonel John Wister while he is on leave from his posting in the British colony of Dikut in the Sahara.[2] John falls in love with Julia, but it is revealed that Julia had previously lost her aviator fiancé in a tragic plane crash, and believes she can never love again. Nevertheless, Julia accepts John's marriage proposal and they return to Dikut. Soon after she encounters John's best friend, Captain Denny Roark (Errol Flynn), who reminds Julia of her dead fiancé. They soon fall in love, but decide that they should not pursue the relationship, resulting in Denny's decision to transfer to a different army unit. John, however, has discovered that his best friend and wife have fallen in love, but also knows that his wife is too honourable to leave him. An uprising by the locals in Dikut results in the ordering of a bombing mission that will most likely prove fatal. John and Denny toss a coin to decide who shall undertake this dangerous mission. Though Denny is chosen for the mission, John sneaks away at dawn on the day to undertake the mission himself. In doing so, he knowingly sacrifices himself so that Denny and Julia can be together.

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[1] *Another Dawn*, Turner Classic Movies, accessed 23 October 2020, https://www.tcm.com/tcmdb/title/20/another-dawn#overview.

[2] Multiple spellings of this place abound. I have chosen the spelling 'Dikut' which is used by Turner Classic Movies

The film has ultimately been forgotten due to its improbable plot and cliché dialogue, despite the presence of Errol Flynn, who would gain lasting fame in *The Adventures of Robin Hood* the following year.

Figure A.1 indicates which cues in the score for *Another Dawn* contain audible material adapted for the concerto. Material from this film features exclusively in the first subject of the first movement.

Juarez (1939):

Release Date: 10 June 1939
Director: William Dieterle
Cast: Bette Davis, Paul Muni, Brian Aherne, Claude Rains
Production Company: Warner Bros. Pictures, Inc.
Country: United States

Plot:

Juarez, a historical drama film, is based on the play *Juarez and Maximilian* by Franz Werfel, and *The Phantom Crown* by Bertita Harding, a biography of Maximilian von Hapsburg and his wife Carlota. It centres on historical events that began in 1863, when Napoleon III of France, fearful that he would lose control over Mexico, circumvents the Monroe Doctrine by rigging an election and installing his own ruler, Austrian Maximilian von Hapsburg. This fear has stemmed from the popularity of the Mexican president, Benito Juarez, who vied for independence for his country. Upon arrival in Mexico, it becomes clear to Maximilian and Carlota that they have not been chosen by the people, and that they are pawns in Napoleon's plan to establish French supremacy there. Maximilian subsequently refuses to sanction any acts that would further France's cause, and chooses to abdicate. Carlota urges Maximilian to keep the position so that he might help Mexico achieve its aims and cement Juarez against his enemies. As Juarez is committed to the concept of democracy, he refuses the post of Prime Minister to Maximilian, while the American Civil War comes to an end. As the Americans threaten Napoleon with military action should he continue to contravene the Monroe Doctrine, Juarez's vice-president, Alejandro Urani, decides to stage a coup against Juarez by seizing the American munitions, essentially guaranteeing victory for Maximilian. Napoleon decides to evacuate his troops from Mexico, however, leaving Maximilian caught without an army. Carlota goes to Paris to confront Napoleon, worried for her husband, and suffers a mental breakdown. Meanwhile Juarez captures Maximilian and secures his freedom, though Maximilian

Figure A.1. Cues from *Another Dawn* (1937)

Cues	Timecode Start	Dramatic Narrative in Film	Instrumentation	Key Area	Camera Angles	Bars from Concerto
Main Title	00:00:40	At the end of the opening title sequence, over landscape shot of sand dunes (most of the opening title is devoted to other exoticist thematic material)	Brass fanfare with upper strings holding high trills	2 bars in B♭M, 2 bars in AM (set up as dominant of DM)	Wide shot over a desert scene with opening credits	1–2, 5-6
Evening Scene	00:14:30	Colonel John Wister gets to know Julia Ashton, and finds out about her dead fiancé	Strings, celeste, some woodwind accompaniment, solo violin at one point	AM, F♯M	Wide shot of them walking to the house, wide shot of plane in the sky, 2 shots and close ups of their dialogue, transition to the entering of other characters	1–18
The Arrival	00:21:44	Captain Denny Roark meets Julia for the first time and is struck by her	Low brass playing the theme with tremolo strings underneath, finally joined by strings playing the melody with brass	CM	Wide shot, then 2 shot of Denny and Julia at the train station	5–8
Garden Love Scene	00:35:18	Denny and Julia's passion for each other is finally realised by both characters, and they resolve not to pursue it	Strings, celeste, harp	CM	A series of close ups, 2 shots and wide shots of Denny and Julia walking through the garden	1–18
The Kiss	00:54:30	Denny and Julia acknowledge that they love each other, after Julia thought she could not fall in love again	Strings, celeste, some woodwind accompaniment, solo violin at one point, possibly French horn	F♯M	A series of close ups and 2 shots of Denny and Julia	1–18
Goodbye	01:05:44, 01:0629	Julia resolves to leave both John and Denny so that a love triangle does not ensue. John overhears Julia telling Denny her plan (this cue is interrupted by a scene with John, then resumes)	Strings, celeste, some woodwind accompaniment, solo violin at one point, possibly French horn	F♯M, DM	A series of close ups and 2 shots of Denny and Julia	1–18
The Order	01:10:43	Denny says goodbye to Julia after deciding to sacrifice himself in a military operation	Strings, harp, solo violin, French horn	EM	A series of close ups and 2 shots of Denny and Julia	1–4
Another Dawn	01:11:46	Denny and Julia now realise they can be together because John chose to sacrifice himself instead of Denny	Strings, harp, solo violin, French horn, then brass over credits	DM, GM	Wide shot of Denny and Julia with the approaching dawn as backdrop, as well as 2 shots, then closing credits over picture of a dawn	1–18

insists on remaining with his supporters. They are tried and found guilty, and are ultimately executed.

The presence of stars Bette Davis, Paul Muni, Brian Aherne and Claude Rains ensured the success of the film, as did the two Academy Award nominations it received, one for Best Cinematography (1940), and one for Best Supporting Actor for Brian Aherne (1939). No expense was spared for the film, and historical accuracy was of paramount importance, as evidenced by the alleged 372 books that were consulted on the subject.[3]

Figure A.2 indicates which cues in the score for *Juarez* contain audible material adapted for the concerto. Material from this film features exclusively in the second subject of the first movement.

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[3] *Juarez*, Turner Classic Movies, accessed 24 October 2020, https://www.tcm.com/tcmdb/title/245/juarez#overview.

Anthony Adverse (1936)

Release Date: 29 August 1936
Director: Mervyn Leroy
Cast: Fredric March, Olivia de Havilland, Claude Rains, Gale Sondergaard
Production Company: Warner Bros. Pictures, Inc.
Country: United States

Plot

Anthony Adverse is a dramatisation of the novel of the same name by Hervey Allen.[4] Starting in Italy in 1775, the novel is a historical epic that spans three volumes, each of which contains three books, tracing the adventures of an orphan, from Europe to Africa and the Americas, before his return home. Don Luis, a cruel Italian nobleman, has married the young Scottish beauty Maria Bonnyfeather, though ill health prevents his consummating the marriage. While he is away for treatment, Maria has an affair with Denis Moore, the man she loves and was forced to leave for Don Luis. The affair results in a male child, though he is left parentless; Denis is killed by Don Luis in a duel, while Maria dies in childbirth. Don Luis abandons the child at a convent on St Anthony's feast day, resulting in the sisters naming the child Anthony. Don Luis hushes up the truth of Anthony's existence to Maria's father John, telling him that he died along with Maria. However, when Anthony is ten years old he is take to apprentice at Casa de Bonnyfeather under the guidance of John, his grandfather. The family resemblance is not lost on John, who realises who Anthony is, and that the only possible reason for Don Luis's lie is that Anthony must be illegitimate. As a result, John does not tell anyone, including Anthony, of the relation. John gives Anthony the last name of 'Adverse' to honour the difficult life he has had thus far.

During his time at Casa de Bonnyfeather, Anthony falls in love with the cook's daughter, Angela Guisseppi. Their relationship is stymied through a series of fateful events, but some years

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[4] Allen, Hervey. *Anthony Adverse (*New York: Farrar and Rinehart, Inc. 1933), http://catalog.hathitrust.org/api/volumes/oclc/280131.html.

Figure A.2. Cues from *Juarez* (1939)

Cues	Timecode Start	Dramatic Narrative in Film	Instrumentation	Key	Camera Angles	Bars from Concerto	Notes
Carlota Enters	00:47:17	Underscoring the frantic distress of Max learning that the plebiscite was rigged, and the comfort of Carlota's soothing presence	Strings play melody with swirling antiphonal woodwinds	Tonally unstable, heading to GM	2 shots and close ups of Carlota and Max	79–83	Theme starts partway through cue
Love Scene	00:54:40, 00:56:56	Max and Carlota discuss the future with optimism while outdoors, resolving to join with Juarez. This scene also shows the love they have for each other. The concerto material is momentarily stopped when adoption is mentioned, but returns when Carlota finally accepts and declares her love for Max	Violin solo alternating with tutti strings, brass, harp and woodwind accompaniment, soprano for the song	DM, GM	2 shots and close ups of Carlota and Max	71–83, then 67–83, then 71–83	This cue features "La Paloma" sung in the middle of it.
Farewell	01:21:52	Carlota goes to Paris to seek help for Max	Strings, harp, soprano for the song	GM	2 shots and close ups of Carlota and Max	79–83	This cue features "La Paloma" for most of it
Carlota's Madness Starts	01:37:24	Carlota begins to become paranoid, begging Prince Metternich for help getting back to Max The cue ends with Carlota screaming Max's name	Strings with brass, harp and woodwind accompaniment	DM/Dm	2 shots and close ups of Carlota and Prince Metternich	67–83	Downward chromatic lines, possibly allusion to 'death motif' in woodwinds
Madness Scene & Departure of French Troops	01:39:24	Max sees Carlota's portrait on the wall, anticipating a letter from her. After finding out Carlota is unwell the cue starts again with a brief fragment of the theme	Strings with brass, harp and woodwind accompaniment	DM	Wide shot showing Carlota's portrait	76–83	
The Victims, The Letter, The Abdication	01:47:33	Max looks at Carlota's portrait and places his will on top of it before fighting	Strings	Tonally unstable, timpani	Close up of Carlota's portrait and Max's will	71–2	This cue only briefly features concerto material

later Anthony crosses paths with Angela again, seeing her singing in an opera chorus. They wed, but Anthony is tasked with doing urgent business for John in Havana to save him from financial ruin. The opera company Angela sings for has also changed its plans, meaning she has to urgently leave for Rome, so she leaves a note for Anthony, explaining her travel. Eventually arriving late, Anthony misses Angela, while a gust of wind blows her note away, leaving Anthony unsure of Angela's whereabouts, and unable to tell her about his trip to Havana. Both leave for their respective trips confused and upset.

Anthony's retrieval of John's fortune from the merchant trading firm Gallego & Sons in Havana is complicated by Gallego's disappearance from Havana. In an attempt to recover the fortune, he takes control of their slave trading post in Africa, which eventually leads to his dealings in buying and selling slaves. Corrupted by this, he seeks redemption through a friendship with Brother François, a Catholic monk, who is eventually seized and crucified by natives. Anthony returns to Italy to find John has died, and that his fortune will be inherited by John's housekeeper, Faith Paleologus, if Anthony does not get to Paris in time to claim it himself. The scheming Faith has married Don Luis in the meantime, and is acting as his co-conspirator, well aware of who Anthony really is. As such, Faith and Don Luis both attempt to murder Anthony on a treacherous mountain pass on the way to Paris, but fail. Anthony makes it to Paris and claims his inheritance. No longer interested in money, he gives the entirety of his fortune to his banker friend Vincent Nolte, to save him from ruin. While in Paris Anthony crosses paths yet again with Angela, who is now a famous opera singer under the name Mademoiselle Georges, and mistress to Napoleon Bonaparte. Anthony is unaware of her name change and mistress status, but finds out that Angela gave birth to their son. She invites him to the opera to hear her sing, revealing in the process that she is in fact Mademoiselle George. Stunned, he leaves the opera and returns home to find that she has sent him their son, and a letter apologising for her inability to see Anthony again. Anthony bestows the child with the name Anthony Adverse, and they depart for America to start a new life.

The film received four Academy Awards, including the inaugural Best Supporting Actress award for Gale Sondergaard, Best Cinematography, Best Editing, and Best Score.[5] This last Academy Award was officially given to Leo F. Forbstein, the head of the Warner Bros. Studio Music Department. This practice continued until 1938, when awards were subsequently given to the composers of the score, rather than department heads. Korngold won the first of these newly credited awards for *The Adventures of Robin Hood*.

Figure A.3 indicates which cues in the score for *Anthony Adverse* contain audible material adapted for the concerto. Material from this film features exclusively in section A of the second movement.

[5] *Anthony Adverse*, Turner Classic Movies, accessed 23 October 2020, https://www.tcm.com/tcmdb/title/87129/the-prince-and-the-pauper#overview.

The Prince and the Pauper (1937)

Release Date: 8 May 1937
Director: William Keighley
Cast: Errol Flynn, Claude Rains
Production Company: Warner Bros. Pictures, Inc.
Country: United States

Plot

The Prince and the Pauper is an adaptation of Mark Twain's 1881 novel of the same name, following the parallel lives of Edward Tudor, son of King Henry VIII, and pauper Tom Canty. Taught to read and write by the local priest, Tom dreams of a better life away from the slums of London, while Edward longs to know about life outside the palace walls. While hiding in the palace grounds one night, Tom encounters Edward, and they are immediately struck by their strong resemblance to one another. Having exchanged clothes as a game, the Captain of the Guard mistakes Edward for Tom, and has him thrown out of the palace. Wishing to correct the mistake, Tom tries to inform various members of the palace of his true identity, but is mistaken as being a mentally ill Edward. Only Henry VIII's advisor, the Earl of Hertford, realises the truth, and decides to capitalise on the switch for his own gain when the king dies. Aiming to seize control over the throne, he threatens to expose Tom if he does not follow the Earl's every command, ensuring the Earl has the power to order Edward's murder. Meanwhile Edward has made friends with Miles Hendon, a soldier, who does not fully believe Edward's stories of who he really is, but protects him nonetheless. What eventually convinces Miles of Edward's royal identity is a failed assassination attempt on Edward, orchestrated by the Earl. Hendon helps Edward return to the palace, arriving during the coronation, where Edward manages to prove his identity by revealing the location of the Great Seal of England. Edward is then crowned King Edward VI, banishes the Earl for life, rewards

Figure A.3. Cues from *Anthony Adverse* (1936)

Cues	Timecode Start	Dramatic Narrative in Film	Instrumentation	Key	Camera Angles	Bars from Concerto
Angela	00:45:10	Angela and Anthony plan their future together, though she has doubts that he will want to marry her	Solo flute accompanied by upper strings and celeste. Violins take over the melodies with harp and lower strings accompanying. Trumpet plays the start of "Angela's Song" theme. Soprano vocal at the end sung by Angela	GM, CM	Wide shot showing the Anthony and Angela riding together through a forest in a cart. This becomes a series of two shots of the characters conversing	9–33
Kisses	01:01:23	Angela and Anthony talk about their future together again, though Angela still worries that Anthony will not be allowed to marry her	Same as above without voice. concerto material starts midway through the cue as their conversation turns to their relationship	CM	A series of 2 shots of Anthony and Angela	9–34
Angela Leaves	01:08:45	Angela waits for Anthony at a pre-arranged time and place. She grows anxious when he does not show up. She writes a letter for him, explaining that she has to travel with the opera company she sings with, and that he should meet her in Rome	Solo violin accompanied by harp and brass. Tutti violins take over the melody for the second half. Concerto material is eventually heard after the march motif is stated in isolation, followed by other transitional material. This combination of march and transition material returns after the concerto material.	GM, CM	Camera angles change frequently between close ups and wide shots to show the action. When the concerto material plays, close ups of Angela's anxious face dominate	21–29

Hendon for his services, and makes Tom a ward of the court.[6]

Figure A.4 indicates which cues in the score for *The Prince and the Pauper* contain audible material adapted for the concerto. Material from this film features exclusively in the third movement.

[6] *The Prince and the Pauper*, Turner Classic Movies, accessed 24 October 2020, https://www.tcm.com/tcmdb/title/87129/the-prince-and-the-pauper#overview.

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Figure A.4. Cues from *The Prince and the Pauper* (1937)

Cue Titles	Timecode	Dramatic Narrative in Film	Instrumentation	Key	Camera Angles	Concerto Theme	Bars From Concerto	Notes
Main Title	00:00:00	Opening title sequence with credits, going into opening scene with wide shot over London	Strings and brass, then change to more mysterious version with string tremolo and harp	EM	Opening wide shot over scene of London	B	89–128, then 89–103	Original statement of the whole main theme
Tavern and Palace	00:04:42	Henry VIII talks about the birth of his son Edward, continues with prophetic quote "Poor little thing. Brought into this world to wear a crown whether it fits him or not, which will weigh him down until he'll wish he'd been born to the meanest pauper in London"	Same orchestration as mysterious section above: string tremolo, celeste, harp, upper woodwinds	DM	Wider shot zooming in to close ups	B	89–103	Concerto material starts mid cue when Henry VIII talks about his son Edward. Similar to second half of 'Main Title'
The Prince	00:15:18	Edward eats his supper while the court jester makes fun of him. Then he plays games with his other attendants before being taken to see his father	Initially lyrical woodwind and strings, then playful woodwinds and strings with pizzicato	GM	Close up of Prince moves out to various shots of his attendants, including the court jester	B	89–111	Theme eventually turns playful and fast, returns a few times over the scene
Biscuit and Seal	00:20:53	Henry VIII shows Edward the royal seal, telling him of its power	Low strings, brass and woodwinds	EM, F♯M	Close ups of the seal, Henry VIII and Edward	B	89–96	Ominous arrangement of the theme
The Prince Goes Back	00:22:53	Edward returns to his quarters then attempts to find his attendants to play games	Lyrical strings, then playful woodwinds and strings	F♯M	Wide shots and close ups of Edward	B	89–96	
Mirror	00:29:25	Edward and Tom swap clothes, then look in the mirror	Prominent French horns, violin solo, flutes, harp	EM	2 shots of Edward and Tom	B	89–102	
The Next Morning	00:33:35	The Earl of Hartford discovers Tom (thinking he is Edward) asleep at his chair	Low woodwinds and strings followed interspersed with upper strings	F♯M, EM	Close ups of the food Tom ate and the royal seal, then wide shot of the room and the Earl etc.	B	89–96	
Nuts Knocker/The Nutcracker	01:11:22	Tom cracks nuts with the seal of England, not knowing what it is	Choppy, low strings and woodwinds, then high woodwinds	CM	Close ups of the seal cracking nuts, and Tom	B	89–119	
The Prayer	01:32:34	Edward prays believing he is about to be assassinated	Strings, harp/vibraphone, added woodwinds	CM	Wide shot of Edward with his assassin, close up of Edward	B	89–96	Chords from the main title, no melody
Seal #1	01:47:14	A nobleman is ordered to leave the coronation to find the seal of England in the palace	Playful piano, strings including pizzicato, woodwinds	GM, B♭M, DM, GM	Wide shots of nobleman running out of coronation and horse riding to palace	A	1–18	6/8 theme
Seal #2	01:49:53	The nobleman is ordered to leave the coronation a second time to find the seal of England in the palace	Playful piano, strings including pizzicato, woodwinds	B♭M, DM, GM, DM	Wide shots of nobleman running out of coronation and horse riding to palace	A	1–19	6/8 theme
Epilogue	01:55:50	King Edward calls for Tom and makes Tom his ward. Scene finishes with both boys cracking nuts	Strings, upper woodwinds, harp, then brass at end	DM, GM	Various shots to show the action between Edward and Tom	B	120–128, then 89–134	Finishes in a playful manor

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