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UNIVERSITY OF OKLAHOMA

GRADUATE COLLEGE

MOZART'S PIANO CONCERTO IN D MINOR, K. 466: THE PLAY WITH TOPICS IN THE HIGH, MIDDLE AND LOW STYLES

A Document

SUBMITTED TO THE GRADUATE FACULTY

in partial fulfillment of the requirements for the

degree of

DOCTOR OF MUSICAL ARTS

By

Onnie K. Grissom
Norman, Oklahoma
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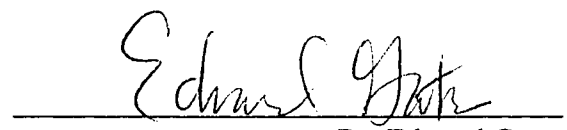

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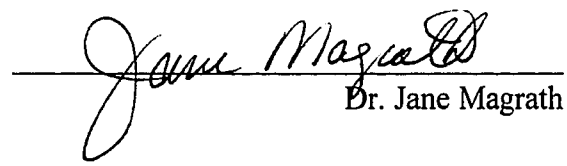

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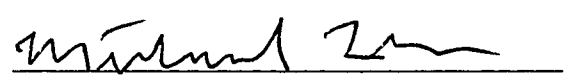

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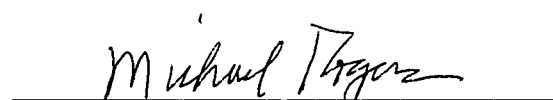

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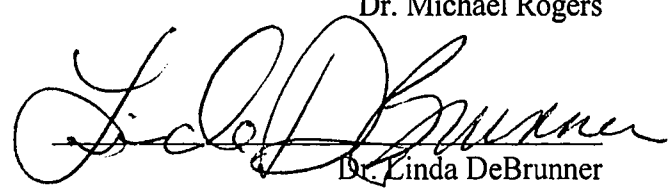

Dr. Linda DeBrunner

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ABSTRACT

This study presents the case that Wolfgang Amadeus Mozart's Piano Concerto in D Minor, K. 466 may be interpreted as a drama. Mozart creates the drama through his use of what Leonard Ratner calls musical *topics*. The *topics* are categorized under the high, middle, and low styles, which refer to both social and musical divisions of the eighteenth century. The concerto's broad dramatic arch moves through the high-style beginning to the low-style ending. The first movement juxtaposes the high-style *ombra* topic with its references to supernatural vengeance, and the middle-style gavotte topic with its references to pastoral pleasures. The struggle between these two styles is left unresolved at the end of the movement. The second movement reinterprets the struggle through the middle-style musette topic, representing a nostalgia for Arcadia, and the C section "storm," representing the disruptive desire of the artist. In the third movement, Mozart momentarily sidesteps the juxtaposition of the three styles through the contradanse topic: the struggle between the high and low styles is on a more relaxed scale. The movement's rondo form and low-style ending point to its ancestry in the *opera buffa*. Thus the dramatic spectrum ends in a comedy.

This paper offers a different interpretation from Wye J. Allanbrook's notion of the fitting comedic close. The comedic close may also be ironic. In this concerto, Mozart acknowledges both the necessity for the happy ending and the presence of chaotic forces. The *ombra* topic ultimately struggles with the *stylus rusticanus* close. They balance in a hovering equilibrium. The concerto thus resembles Mozart's *dramma giocoso, Don Giovanni*. Although we are left with the "happy" destruction

of Don Giovanni, his absence sustains a negative presence. In the same way, the negative presence of the *ombra* topic in the concerto holds a powerful sway.

MOZART'S PIANO CONCERTO IN D MINOR, K. 466: THE PLAY WITH TOPICS IN THE HIGH, MIDDLE AND LOW STYLES

CHAPTER ONE

Introduction

In *Classic Music: Expression, Form, and Style*, Leonard Ratner provides an analytical tool with which the listener and analyst could translate classical composers' musical ideas directly into some aspect of eighteenth-century life. The listener/analyst could then deduce certain expressive affects or gestures the composer wished to convey. This analytical tool is Ratner's *topic*.

> From its contacts with worship, poetry, drama, entertainment, dance, ceremony, the military, the hunt, and the life of the lower classes, music in the early 18th century developed a thesaurus of *characteristic figures*, which formed a rich legacy for classic composers. Some of these figures were associated with various feeling and affections; others had a picturesque flavor. They are designated here as *topics*—subjects for musical discourse.[1]

Topics serve as a common eighteenth-century musical language with which the classical composer could conjure up a situation known to all members of eighteenth-century society.

Wye Jamison Allanbrook and Kofi Agawu, both students of Ratner, provide an etymology and further definitions of the *topic*.

> From the Greek *topos*, "place," or in its technical use in rhetoric, "commonplace." Aristotle's *Topica* is a collection of general arguments which a rhetorician might consult for help in treating a particular theme. In music the term has been borrowed to designate "commonplace" musical styles or figures whose expressive connotations, derived from the circumstances in which they are habitually employed, are familiar to all.[2]

---

[1]Leonard Ratner, *Classic Music: Expression, Form, and Style* (New York: Schirmer, 1980), 9.

[2]Wye Jamison Allanbrook, *Rhythmic Gesture in Mozart: 'Le Nozze Di Figaro' and 'Don Giovanni'* (Chicago: University of Chicago Press, 1983), 329.

As Allanbrook states, the word *topic* stems from Aristotelian rhetoric. Kofi Agawu, defines *topic* in terms of semiotics, likening it to a sign.

> Topics are musical signs. They consist of a signifier (a certain disposition of musical dimensions) and a signified (a conventional stylistic unit, often but not always referential in quality). Signifiers are identified as a relational unit within the dimensions of melody, harmony, meter, rhythm, and so on, while the signified is designated by conventional labels drawn mostly from eighteenth-century historiography (Sturm und Drang, fanfare, learned style, sensibility, and so on).[3]

Thus certain combinations of musical units could signify an aspect of eighteenth-century life. The number of musical *topics* is limited only by how many aspects of life, in this case from the eighteenth century, can be signified by the musical units.

Ratner states that one of the deepest divisions in classical music was between the high and low styles.

> All the stylistic distinctions thus far discussed—local, free versus strict, national, and personal—were geared to what was probably the most profound stylistic opposition—the high versus the low. Dignity of music style reflected the consciousness of status in 18th-century life, the fundamental principle in a social order organized according to clergy, nobility, bourgeois, and peasant and their internal rankings.[4]

The high and low styles each contain certain *topics* which musically reflect the fundamental social ranking of eighteenth-century life. The middle style, another style, "was flexible and could be oriented to either style."[5]

The high style represents the celebration of aristocratic power. The principle mediums of this celebration were the church, theater, and concert and chamber music. Church music, oratorio and the *opera seria* were the highest and noblest mediums.

---

[3]Kofi Agawu, *Playing With Signs: A Semiotic Interpretation of Classical Music* (Princeton: Princeton University Press, 1991), 49.

[4]Ratner, *Classic Music*, 364.

[5]Ibid.

High style *topics* included the "...*alla breve*, fugue, and motet."[6] The high style was geared towards expressing the epic passions of the nobility.

> The great passions of drama—fear, pride, hate, patriotism, anger, noble love, conflicts of love and duty, ambition—were expressed by means of musical topics and procedures associated with the upper classes—military figures, high-style dances, recitative *obligé*, and *arioso*.[7]

The middle and low styles came to prominence in the eighteenth-century, "reflecting political, economic, and social changes."[8] The low style glorified the lower classes most prominently in comic opera. Comic opera emphasized the lower classes' ability to win the day through their own cunning as well as through the thickheadedness of their masters.

> Instead of gods and antique heroes, it [comic theater] portrayed contemporary types—pompous, often hypocritical nobles, sly servants, clever maids, fools, betrayed husbands, dry scholars. In its situations, the underdog won out over authority figures, the servant over the master, the young over the old, the poor over the rich.[9]

The low style's musical *topics* included the patter style, short phrases, clichés, and a "transparent, lively, and colorful scoring, often doubling the voice but at other times busy with its own figures."[10]

The middle style, unlike the high and low styles, did not exclusively represent any social strata. In both *buffa* and *seria* opera, a nobleman, or servant could sing in such a style.

> Indeed, in the operatic context the middle style was shared between seria and buffa, at home in both; hence (and this is the crucial point) it did not function as a sign of either genre. An aria *di mezzo carattere*, all other things being equal, could fit equally well in an opera seria and an opera buffa, particularly during the first half

---

[6]Ibid., 366.
[7]Ibid., 364-365.
[8]Ibid., 386.
[9]Ibid., 393.
[10]Ibid., 394.

of the century, when arias in both genres were short and in da capo form.[11] Some of the musical *topics* of the middle style were "marches, the pastoral, the soubrette aria, the 'middle' style love aria and duet, and non-parodistic numbers for serious characters in *opere buffe*."[12]

Leonard Ratner writes that "Mozart was the greatest master at mixing and coordinating topics, often in the shortest space and with startling contrasts."[13] He then proceeds to list several contrasting topics in the first 120 measures of Mozart's "Prague" Symphony, K. 504. "Such quicksilver changes take place throughout the movement, creating a large-scale rhythm of varied moods, exhilarating and effervescent."[14] However, the style of such music as Mozart's caused mixed reactions among some of his contemporaries. They did not understand what the contrasts within a composition were supposed to convey.

The question of unity, in such a work as the first movement of the "Prague" Symphony, as analyzed by Ratner, is a pointed one. Because of its inability to express a unified message, Mozart's contemporaries viewed instrumental music as inferior to vocal music. Bellamy Hosler speaks of the enlightened German critics' assessment of instrumental music: "The central issue of this debate was that of the meaningfulness and function of a sensual, non-representative musical medium, with the discussion focusing especially on the issue of the intelligibility of the contrasts so essential to the character of the new Italian instrumental style, as well as to the later

---

[11]Marita P. McClymonds, "Opera Seria? Opera Buffa? Genre and Style as Sign," in *Opera Buffa in Mozart's Vienna*, eds. Mary Hunter and James Webster (Cambridge: Cambridge University Press, 1997), 199.

[12]Ibid., 203.

[13]Ratner, *Classic Music*, 27.

[14]Ibid.

classical style."[15] One of the problems of this style was that it contained extreme contrasts and thus did not properly mirror the Cartesian idea that only "what was clear and distinct could be known with certainty."[16] The contrasting styles within the new Italian music, as well as the later classical style, merely confused. Hosler quotes Lessing.

> Now we are melting with woefulness, and all of a sudden we are supposed to rage. How so? Why? Against whom? Against the very one for whom our soul was just full of sympathy? Or against another? All these things music cannot specify; it leaves us in uncertainty and confusion; we have feelings, but without perceiving in them a correct sequence; we feel as in a dream; and all these disorderly feelings are more exhausting than delightful. [17]

Mary Sue Morrow also notes the problem in terms of the famous question asked by Bernard le Bovier de Fontenelle.

> *"Sonate, que me veux tu?"* "Sonata, what do you want of me?" This plaintive query, attributed to Bernard le Bovier de Fontenelle in the early eighteenth century, rapidly took on a life of its own, appearing again and again as the eighteenth century grappled with the problem of defining the aesthetic significance and exact meaning of instrumental music.[18]

In comparison to the clearly articulated (because worded) affects of vocal music, instrumental music could not aesthetically measure up. Its contrasts and changes of style were too many. Thus certain German critics relegated instrumental music to the position of arousing wonder (*Verwunderung*) and "tickling the ears."[19]

---

[15]Bellamy Hosler, *Changing Aesthetic Views of Instrumental Music in 18th Century Germany* (Ann Arbor: UMI Research Press, 1981), xii.

[16]Ibid., 4.

[17]Gotthold Ephraim Lessing, *Hamburgische Dramturgie*, in *Gessamelte Werke*, ed. Wolfgang Stammler (Munich: Carl Hanser Verlag, 1959), vol. 2, Stück 27, p. 444, quoted in Ibid, 5.

[18]Mary Sue Morrow, *German Music Criticism in the Late Eighteenth Century: Aesthetic Issues in Instrumental Music* (Cambridge: Cambridge University Press, 1997), 4.

[19]Hosler, *Changing Aesthetic Views*, 1. Hosler often quotes "*Ohrkizelndes Klingklang*" (ear-tickling jingle jangle) as descriptive of the new style of Italian instrumental music. Her book is about the transformation of instrumental music's status from confusing misch-masch to its "virtual glorification" by the early Romantics.

Heinrich Koch defended an instrumental medium, the concerto, against accusations of merely arousing wonder through empty virtuosity. He defined the concerto, including Mozart's,[20] as dramatic. In his work, *Versuch einer Anleitung zur Composition* (three volumes, published between 1782-1793), he first compared the piano solo and the orchestra to the exchange between the tragic hero/ine and the chorus in a Greek tragedy.

> I imagine the concerto to be somewhat like the tragedy of the ancients, where the actor expressed his feelings not to the audience but to the chorus, which was involved most sparingly in the action, and at the same time entitled to participate in the expression of feelings. [21]

Simon Keefe compares Koch's position to some of the negative contemporary comments concerning the piano concerto.

> By invoking spoken drama (the Greek tragedy) and dialogue, Koch lent the concerto new-found *gravitas*. Greek tragedies were universally venerated by eighteenth-century dramatists and opera composers, and used as yardsticks against which to measure artistic success.[22]

Through invoking Greek tragedy when speaking of the principle contrast between the solo and tutti, Koch gave increased importance to the instrumental medium heretofore rejected for its frivolousness. Through this metaphor, he also opened up the

---

[20]Heinrich Christoph Koch, *Musikalisches Lexikon* (Frankfurt am Main, 1802), col. 354; quoted in Jane R. Stevens, "Theme, Harmony and Texture in Classic-Romantic Descriptions of Concerto First-Movement Form," *Journal of the American Musicological Society* 27 (1974): 41. Concerning the Mozart piano concertos, Koch states that "[i]f one completes for himself this sketched picture and compares with it Mozart's masterpieces in this category of art works, one has an exact description of the characteristics of a good concerto."

[21]Heinrich Christoph Koch, *Versuch einer Anleitung zur Composition*, (Leipzig:Böhme, 1793) vol. 3; quoted in Janet M. Levy, "Contexts and Experience: Problems and Issues," in *Mozart's Piano Concertos: Text, Context, Interpretation*, ed. Neal Zaslaw (Ann Arbor: University of Michigan Press, 1996), 142.

[22]Simon P. Keefe, *Mozart's Piano Concertos: Dramatic Dialogue in the Age of Enlightenment* (Rochester, NY: Boydell Press, 2001), 11.

possibility of contrast (that between the solo and the tutti) as a dramatic, rather than an "ear-tickling" tool.[23]

Indeed since Koch, many have invoked the "dramatic" as stemming from the principle contrasting elements of the piano concerto: that between the solo and the tutti. For Donald Tovey, the dramatic only applied to the "great" concertos, of which "2/3rds" were written by Mozart.[24] The dramatic element, for Tovey, sprang from the elemental human condition of the individual versus the crowd.

> That the conditions of concerto form are in themselves unnatural or inartistic can certainly not be maintained in face of the facts. Nothing in human life and history is much more thrilling or of more ancient and universal experience than the antithesis of the individual and the crowd; an antithesis which is familiar in every degree, from flat opposition to harmonious reconciliation, and with every contrast and blending of emotion, and which has been of no less universal prominence in works of art than in life. Now the concerto forms express this antithesis with all possible force and delicacy....this dramatic or human element is *not* outside the music, but most obviously inherent in the instruments that play the concerto...[25]

In her essay, "Contexts and Experience: Problems and Issues," Janet M. Levy distills the question of "The Interconnections between Mozart's Piano Concertos and Eighteenth-Century Opera," the subject of the three essays under discussion,[26] into whether or not the Mozart concertos are dramatic. She favors the metaphor of drama

---

[23]In other cases, Koch did not like the idea of contrast in music. See Ratner, *Classic Music*, 26. "Koch, in his *Journal der Tonkunst*, 1795, complains of the recent tendency to mix the styles of the serious and comic operas; in the same article, he censures the mixture of the learned and the galant styles." See also Hosler, *Changing Aesthetic Views*, xxii. "Thus there was not a single simple historical progression [of changing views of instrumental music], but a complex progression, made up of various changing positions on various issues. By studying in some depth the views of relatively few individuals we can better understand the complex reality of this change; for it was the norm that within one individual's thought progressive ideas should be qualified by conservative ones and vice versa."

[24]Donald Francis Tovey, *Essays in Musical Analysis: Concertos and Choral Works*, 1981 ed., (London: Oxford University Press, 1981), 3. Tovey also acknowledged that there were piano concertos written expressly for virtuosic display. "On the other hand, every virtuoso whose imagination is fired with the splendid spectacular effect of a full orchestra as a background for a display of instrumental technique has written concertos that express little else than that effect."

[25]Ibid., 6-7.

because it stems from the "primordial aspects of human experience,"[27] that of the individual set against the crowd.

> For our recognition of a concerto as a drama seems, above all, to have to do with the fact of a relationship between a tutti and a solo—a relationship that is both formal and processive—and has as much to do with genre as with form. In a sense, what Tovey and all the others who favor this metaphor are talking about is *supra*generic. Above, beyond, and humanly preceding even matters of musical genre is "the antithesis of the individual and the crowd" in Tovey's words.[28]

The dramatic situation of the soloist versus the orchestra has often invited comparison to *opera seria* and *buffa*. The reflective nature of the *opera seria* aria has been compared to the solitary position of the soloist in the piano concerto. Martha Feldman compares the two genres in these terms in "Staging the Virtuoso: Ritornello Procedure in Mozart from Aria to Concerto."

> Their [*opera seria*] main business was the exploration of an inner drama, one often revealed with excited virtuosic display by an agitated protagonist who unfolded his or her emotional state against the larger and generally more orderly social frame of the orchestra.
>
> I draw this admittedly overgeneralized portrait of the *seria* aria not to squint away the variety and individuality it manifested, but to highlight its essential affinity with the concerto—namely, the power to project an abstract drama without immediate dependence on outside events.[29]

Ratner, in *Classic Music*, compares the piano concerto to opera, specifically utilizing the gestures of *opera buffa*. He explains that there were three types of classic concertos written by classic composers: entertainment music, bravura pieces, and the counterpart of a dramatic scena.[30] Later, Ratner gives five factors for

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[26]Janet M. Levy, "Contexts and Experience: Problems and Issues," in *Mozart's Piano Concertos: Text, Context, Interpretation*, ed. Neal Zaslaw (Ann Arbor: University of Michigan Press, 1996), 139.

[27]Ibid, 143.

[28]Ibid,142.

[29]Martha Feldman,. "Staging the Virtuoso: Ritornello Procedure in Mozart, from Aria to Concerto," in *Mozart's Piano Concertos: Text, Context, Interpretation*, ed. by Neal Zaslaw (Ann Arbor: University of Michigan Press, 1996), 150.

[30] Ratner, *Classic Music*, 294.

Mozart's transformation of the piano concerto from an entertainment piece to the counterpart of a dramatic scena. Factors 1 and 5 are most helpful in identifying the source of drama for the Piano Concerto in D Minor, K. 466.

> Mozart achieved two magnificent syntheses during the last decade of his life, in opera and in the piano concerto. These stem from a common source—his sense for theater. Here we touch upon some factors in Mozart's transformation of the piano concerto from an entertainment piece to the counterpart of a dramatic scena. The factors in this transformation include the following:
>
> 1. Mozart's orientation to opera, which pervades all his work—sharply defined topics, aria, conflict among textural components, and the lift given by powerful reiterated cadential thrusts....
> 5. The new orchestral style—greater prominence of winds, changing roles of the strings, promoting the rapid shifts of texture and topic characteristic of buffa rhetoric, although not necessarily comic in flavor[31]

Ratner's description of the Mozart piano concertos as the counterpart to a dramatic scena points to the great resemblance between the concertos themselves and eighteenth-century opera. Just as Mozart's operas are famous for the interplay and conflicts of the high, middle, and low styles, so should his piano concertos be known for their brilliant combinations of these three styles shown through their appropriate topics.

Guided by Ratner's, Agawu's, and Allanbrook's groundbreaking analyses of topics and structural coherence in classical music, this paper will bring Mozart's blending of the high, middle, and low styles to light within his Piano Concerto in D minor, K. 466. The interaction of the three styles will be in light of Ratner's factors 1 and 5 which illuminate the transformation of the piano concerto to the counterpart of a dramatic scena. Topics are categorized in terms of the high, middle, and low styles. The topics are also defined through "conflict among textural components"—namely between the winds, strings, and piano solo—and key areas. By finding a source of

drama in the piano concertos through analyzing the topics of the high, medium, and low styles, the author hopes to emphasize and humanize the importance of the problems and disjunctions within the piano concerto.

Rationale

The dramatic has often been mentioned in relationship to the Mozart piano concertos. Cuthbert Girdlestone and Charles Rosen have referred to the tragic nature of the first movement and the middle section of the second movement as well as the *buffa* style of the coda in the third movement of the Piano Concerto in D minor, K. 466.[32] However, no one has looked at the piano concerto as an instrumental arena in which the high, medium, and low styles contribute to the concerto's aura of conflict and controversial resolution.

The dialogue between William Kinderman and Janet M. Levy in *Mozart's Piano Concertos: Text, Context, Interpretation*[33] reveals a drive to find extramusical significance even in Mozart's instrumental works. Kinderman replies to Levy's[34] skepticism in comparing Mozart's Piano Concerto in C minor, K. 491 to *Don Giovanni*: "Discernment of a basic narrative design in the C-minor concerto requires no such analogy with Mozart's later opera [*Don Giovanni*], however, the general affinity between these works arises largely from the archetypal human themes of

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[31]Ibid., 297.

[32]Cuthbert Girdlestone, *Mozart and his Piano Concertos*, (London: Cassell & Company,Ltd, 1948; reprint, New York: Dover Publications, Inc., 1964), 312; 321; Charles Rosen, *The Classical Style: Haydn, Mozart, Beethoven*, Expanded ed.., (New York: W. W. Norton & Company, 1997), 235.

[33]Neal Zaslaw, ed., *Mozart's Piano Concertos: Text, Context, Interpretation* (Ann Arbor: University of Michigan Press, 1996).

[34]Levy, "Contexts and Experience: Problems and Issues," 146-147.

confrontation and defeat or submission implicit in them."[35] Kinderman's "however" is crucial. Although the concerto itself is "inevitable" and "inexorable" in terms of its own musical language, the comparison to *Don Giovanni* points to the archetypal human themes inherent in both the opera and the concerto. This in turn points to the fact that both opera and instrumental music can move the listener in the same way, providing comfort and discomfort through their happy/tragic incidents. The opera has the added clarity of text; however, the lack of text does not diminish the power of the concerto to express the same problems of the opera through Mozart's profound combination of the high, medium, and low styles. Kinderman later quotes Maynard Solomon concerning the strong presence of meaning in an instrumental work.

> The concept of an "encoded network of imagery" such as Maynard Solomon has recently discerned in Beethoven's Ninth Symphony can be applied as well to Mozart's concerto. Solomon writes that the many interrelated moments making up the entire design "do not spell out a literal narrative, but they vibrate with an implied significance that overflows the musical scenario, lending a sense of extramusical narrativity to otherwise untranslatable events."[36]

The aim of this paper is to decode a "network of imagery" in the piano concerto utilizing the tools provided by Leonard Ratner and his students, Wye Jamison Allanbrook and Kofi Agawu.

A thorough search for dissertations has revealed tangentially relevant material, but no similarity of subject matter. There are several parameters to the subject of this dissertation, and several dissertations have touched on these different parameters. Three dissertations deal specifically with Ratner's topics in Mozart's piano works.

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[35]Kinderman, "Dramatic Development and Narrative Design in the First Movement of M's Concerto in C Minor, K. 491," in *Mozart's Piano Concertos: Text, Context, Interpretation*, ed. Neal Zaslaw (Ann Arbor: University of Michigan Press, 1996), 300.

[36]Maynard Solomon, "The Ninth Symphony: A Search for Order," in *Beethoven Essays*, ed. Maynard Solomon (Cambridge: Harvard University Press, 1988), 10, quoted in Ibid., 300.

Stephen Perry Edwards thoroughly examines the analytical consequences of contrast within Mozart's piano sonatas and other instrumental works.[37] He is primarily interested in topics as a way into the surface variety of a piece, rather than the topic as a cultural reference[38] (the high, middle, and low styles). In addition, he does not include any Mozart piano concertos in his analysis, but chooses instead to focus mainly on the piano sonatas. Linda S. Smith's dissertation compares the Mozart Piano Concerto Number 25, K. 503 with the Mozart/Da Ponte opera, *Le Nozze di Figaro.*[39] She also utilizes Leonard Ratner and Wye Jamison Allanbrook's ideas of topics, but applies them to the concept of masculine and feminine musical gestures in both the opera and the piano concerto. Yoon-Sook Choi delves into the distinction between the high, middle, and low styles as pointed out by Leonard Ratner in *The Classical Style.*[40] However, as her dissertation states, she is mainly concerned with the subtleties of the low, or comic, style in the Mozart piano sonatas, rather than the contrast of the three different styles.

Studies pertaining specifically to the Mozart D minor Piano Concerto, K. 466 include Mei-Na Hsu'a analysis and discussion of performance.[41] Her analysis is traditional in that it discusses unifying factors in terms of tonality and theme. She also includes a detailed discussion and listing of editions and recordings. Simon Patrick Keefe's dissertation analyzes the role of dialogue within K. 466 and other

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[37]Stephen Perry Edwards, "Extremes of Contrast in Mozart's Sonata-Form Movements" (Ph.D. diss., University of Texas at Austin, 1997).

[38] Ibid., 63.

[39] Linda S. Smith, "Mozart's Dialectic with Gender: 'Le Nozze di Figaro' and Piano Concerto No. 25, K. 503" (D.M.A. diss., University of Washington, 1999).

[40]Yoon-Sook Choi, "Humor in the Piano Sonatas of Wolfgang Amadeus Mozart" (D.M.A. diss., University of Washington, 2000), 36-41.

[41]Mei-Na Hsu, "Mozart's Piano Concerto in D minor, K. 466: Analysis and Discussion of Performance" (D.M.A. diss., The Ohio State University, 1994).

Mozart piano concertos.[42] He focuses on the evolving relationship between the solo and the tutti within the context of the Enlightenment's emphasis on dialogic process. He includes the similarities of the Mozart's concertos to Mozart's operas in the later published version of the dissertation.[43] His dissertation and publication focus on the extramusical meaning of the piano concerto as an enlightened dialogue, but do not concentrate on Ratner's topics. Kathryn L. Shanks Libin gives a detailed account of how the entire span of the Mozart concertos took full advantage of the contemporary pianos.[44] She investigates the structural and idiomatic developments of the piano part in relationship to Mozart's use of the Friederici harpsichord, and the Stein and Walter pianos.

A study on the high, medium, and low styles within the Mozart piano concerto in D minor, K. 466 has not been found. This points to a need for an analysis that utilizes Ratner's, Allanbrook's, and Agawu's ideas of musical expression as applicable to an entire instrumental work. In addition, the lack of "expressive" analysis also points to a need to define instrumental music as being able to contain a "network of imagery" without demeaning it to the banality of the (simply) programmatic.

Purpose of the Study

The purpose of this study is to analyze Mozart's Piano Concerto in D minor, K. 466 from the assumption that it contains profound meaning. The objective of the

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[42]Simon Patrick Keefe, "Dialogue in the First Movements of Mozart's Viennese Piano Concertos" (Ph.D. diss., Columbia University, 1997).

[43]Idem, *Mozart's Piano Concertos: Dramatic Dialogue in the Age of Enlightenment*, 101-146.

paper is to gauge a meaning of Mozart's particular blending of the high, middle, and low styles in the piano concerto. The meaning of the instrumental work will be analyzed through Ratner's, Allanbrook's, and Agawu's codification of topics common to 18th century listeners and still available to the listener today.[45] The paper will also translate meaning from the piano concerto through the interaction and combination of the three instrumental forces of the strings, woodwinds, and piano as well as Mozart's choice of key areas within each movement and within the concerto as a whole.

The premise is that this piano concerto can be seen to contain the same archetypal problems, disjunctions, and conflicts that occur in Mozart's operas. Instead of text, Mozart used topics, as well as orchestral forces and key, in order to communicate these archetypal struggles "with the skill of a master craftsman."[46] Allanbrook addresses Mozart's use of topic in his operas: "This vocabulary, when captured and categorized, provides a tool for analysis which can mediate between the operas and our individual responses to them, supplying independent information about the expressive content of the arias and ensembles."[47] This paper will assume that the topics serve as an analytical tool and thereby can mediate between the piano concerto itself and the listener's subjective response.

It is the hope of the author that she may further substantiate the broad expressive scope and drama that so many have noted reside in the Mozart piano

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[44]Kathryn L. Shanks Libin, "The Emergence of an Idiomatic Fortepiano Style in the Keyboard Concertos of Mozart" (Ph.D. diss., New York University, 1998).

[45]Allanbrook, *Rhythmic Gesture in Mozart*, 2-3. "Because of their connections with certain universal habits of human behavior, these *topoi* are also largely in the possession of the opera-going audience today, although modern listeners may not be aware of the source of their particular perceptions."

[46]Ibid.

concertos. The Mozart piano concertos have been compared in profundity and influence to "the plays of Shakespeare, the etchings of Dürer, the architecture of Palladio, the novels of Dickens, the paintings of Monet, and the symphonies of Beethoven...."[48] This study aims to offer additional insight into this statement through an analysis of Mozart's ingenious play with the high, middle, and low styles in the piano concerto. As a result, the study hopes to increase the reader's musical understanding of the pieces, which will in turn, have performance implications.[49]

Design, Limitations, and Procedures of the Study

Design

This study consists of four chapters. Chapter One includes an introduction to the subject, the rationale and purpose of the study, and the limitations of the study. Chapter Two, "A Way to a Topical Analysis of the Piano Concerto in D minor, K. 466," discusses the literature concerning topic definitions and analysis, the high, middle and low styles, the origins of the piano concerto form and the problems of analyzing the piano concerto. Chapter Three contains the analysis of the three movements of the Piano Concerto in D minor, K. 466. The problems and issues of the concerto are defined and then demonstrated through analysis of the topics,

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[47]Ibid.

[48]Neal Zaslaw, "Contexts for Mozart's Piano Concertos," *in Mozart's Piano Concertos: Text, Context, Interpretation*, ed. Neal Zaslaw (Ann Arbor: University of Michigan Press, 1996), 7.

[49]Ratner states that "[f]or the performer, the recognition and projection of topical content is of the greatest importance. An awareness of referential implications can have a profound influence upon decisions for performance. Figures and motives would be sharply profiled and subtly nuanced. They would be set against each other in relief by the performer's control of dynamics, tempo, articulation and emphasis to mark critical notes and figures for special attention. The result is an articulate performance." Leonard G. Ratner, "Topical Content in Mozart's Keyboard Sonatas," *Early Music* 19 (November 1991): 616.

instrumental combinations and clashes, and key areas. Finally, Chapter Four will present the conclusions of the study and recommendations for further research.

Limitations

Each of Mozart's piano concertos has its own particular character and expression. Cuthbert Girdlestone enthusiastically describes the works.

> Nowhere in all the composer's work is there a form wherein he has expressed himself so completely. His twenty-three piano concertos, extending from his eighteenth to his thirtysixth year, reveal him at all ages; they are the most varied and most extensive witness to his artistic life.[50]

It is beyond the scope of this essay to analyze all of the Mozart piano concertos in terms of the high, middle, and low styles. The study is limited to the Viennese Mozart piano concerto in D minor, K. 466. This piece is among the many that represent the culmination of both the piano concerto form and Mozart's expansive scope of expression. Charles Rosen notes the broadness of expressive range which commences with K. 466 and K. 467.

> These two concertos, K. 466 and K. 467, written in 1785, cannot, in any sense, be called 'better' than many others Mozart had written and was to write. Nevertheless, they represent a liberation of the genre, a demonstration that the concerto could stand with equal dignity beside any other musical form, capable of expressing the same depth of feeling and of working out the most complex musical idea. What could follow these works might seem to be only further refinement, yet some great works were still to come, and they contain surprises.[51]

The Piano Concerto in D minor, K. 466 was chosen specifically for its broad expressive spectrum, ranging from tragic depths to the happiest moods.

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[50]Girdlestone, *Mozart and his Piano Concertos*, 16.
[51]Rosen, *The Classical Style*, 240.

It is also beyond the scope of this essay to delve into the issues of performance practice in the Mozart piano concertos. This is not to say that performance practice issues do not apply to the subject of the essay. Especially applicable is the use of the Walter fortepiano in order to better articulate the surface variety in the Mozart piano concertos. Stephen Perry Edwards summarizes Malcolm Bilson's skepticism regarding the use of the modern grand piano in Mozart performances.

> While Bilson finds no fundamental conflicts over matters of *expression*, he questions how a performer can communicate a depth of feeling if proper attention is not given to matters of *execution*. Bilson is concerned that many expressive possibilities to be derived from a careful execution of articulation and shaping of lines are neutralized by a style of playing, especially here on the modern piano, that promotes an unbroken legato.[52]

According to Bilson, the details of execution and therefore surface variety can best be conveyed through the use of a fortepiano, rather than the modern grand. Other performance practice issues include the addition of embellishments, especially in the slow movements; whether the piano soloist should also perform as basso continuo, and whether s/he should perform on the pedal piano as well as the orchestra size and seating.[53] However, this essay is primarily concerned with *meaning* resulting from the topical variety of the high, middle, and low styles, rather than proper execution of Mozart's piano style. The reader could then easily apply the findings of the essay to the proper performance practices.

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[52]Malcolm Bilson, "Execution and Expression in the Sonata in E flat, K. 282," *Early Music* 20, no.2 (May 1992); summarized in Edwards, "Extremes of Contrast in Mozart's Sonata-Form Movements", 11.

[53]David Grayson, *Mozart: Piano Concertos no. 20 in D minor, K. 466, and No. 21 in C major, K. 467* (Cambridge: Cambridge University Press, 1998), 93-117. David Grayson summarizes the prevalent performance practice issues concerning the Mozart piano concertos.

The essay includes music examples taken from the *Wolfgang Amadeus Mozart: Neue Ausgabe sämtlicher Werke*.[54] This edition is recommended by Cliff Eisen and Stanley Sadie: "a more reliable guide to the authenticity, chronology, history and sources for Mozart's works is found in the prefaces and critical reports to the Neue Mozart-Ausgabe (1955-1991)."[55] Christoph Wolff also recommends the NMA edition.

> For the piano concertos the NMA provides far and away the best edition available today. However, there remain a number of problems, both general and local, that need to be recognized.[56]

Although studies, such as Wolff's, look to the Mozart autographs, contemporaneous copies, Mozart's sketches, and the first editions of his works for notation issues,[57] it is beyond the scope of this essay to compare these sources and the different versions of the Piano Concerto, K. 466.

Procedures of the Study

The procedures of the study have developed mainly from the seminal works of Leonard Ratner, *Classic Music: Expression, Form, and Style* and his students, Wye Jamison Allanbrook, *Rhythmic Gesture in Mozart: Le Nozze Di Figaro and Don Giovanni* and Kofi Agawu's *Playing With Signs: A Semiotic Interpretation of Classic Music*. As a starting point, the document utilizes as analytical tools numbers 1 and 5

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[54]Internationale Stiftung Mozarteum Salzburg, ed., *Wolfgang Amadeus Mozart: Neue Ausgabe sämtlicher Werke* (Kassel: Bärenreiter, 1955-1991).

[55]Stanley Sadie, ed. *The New Grove Dictionary of Music and Musicians* (New York: Macmillan Press, Inc., 2001), s.v. "Wolfgang Amadeus Mozart," by Cliff Eisen and Stanley Sadie.

[56]Christoph Wolff, "The Many Faces of Authenticity: Problems of a Critical Edition of Mozart's Piano Concertos," in *Mozart's Piano Concertos: Text, Context, Interpretation*, ed. by Neal Zaslaw (Ann Arbor: University of Michigan Press, 1996), 19.

[57]Stanley Sadie, ed. *The New Grove Dictionary of Music and Musicians* (New York: Macmillan Press, Inc., 2001), s.v. "Wolfgang Amadeus Mozart," by Cliff Eisen and Stanley Sadie.

of Leonard Ratner's five reasons for the transformation of the piano concerto to the counterpart of a dramatic scena. These are

1. *Mozart's orientation to opera*, which pervades all his work—sharply defined topics, aria, conflict among textural components, and the lift given by powerful reiterated cadential thrusts...
5. *The new orchestral style*—greater prominence of winds, changing roles of the strings, promoting the rapid shifts of texture and topic characteristic of *buffa* rhetoric, although not necessarily comic in flavor[.][58]

The overall thesis statement for the concerto is put forward, followed by an analysis derived from Ratner's above listed elements. The specific elements to be considered are the sharply defined topics, orchestral and piano interaction and/or conflict (encompassing Ratner's "conflict among textural components" and "new orchestral style") and key areas of the concerto.

A written analysis and discussion of the concerto is presented from the vantage point of the high, middle, and low styles, defined by appropriate topical content. A topic, as Ratner states, can be a type and/or a style. Since Mozart constantly changes styles within one movement of a concerto, a topic will mainly be defined as a style rather than a type. Meter, dance style (a particular rhythmic situation), compositional style, key area, and orchestral texture define the topical content of a passage. Therefore, a certain topic can encompass almost every dimension of music itself.

[58]Ratner, *Classic Music*, 297.

CHAPTER TWO

REVIEW OF THE RELATED LITERATURE: A WAY TO A TOPICAL ANALYSIS OF THE PIANO CONCERTO IN D MINOR, K. 466

Three areas of related literature are reviewed: (1) Origin and definition of the term *topic* and examples of *topical* analysis, (2) secondary sources concerning the definition of the high, middle and low styles in the middle-late eighteenth century, and (3) studies focusing on formal plans in Mozart's piano concertos, and comments on the Piano Concerto in D Minor, K. 466. The research material is drawn from dissertations, periodicals, journals, and books.

Topics

Origin of and Definition of the term "Topic"

Leonard Ratner's *Classic Music: Expression, Form, and Style* identifies and clearly defines the term *topic*. His book begins in a quietly revolutionary manner: he speaks of the preoccupation that eighteenth-century writers and composers had for expressiveness in music, and the *topic* being a natural result of that need to express. Allanbrook describes the revolutionary aspect of Ratner's beginning.

> Among Leonard Ratner's many contributions to our understanding of Classic music, one of his most important was simply to remind us of something students of this repertoire had long ignored—the subject of expression. It may well have puzzled some readers of his book on Classic music to find the opening section entitled "Expression." The predominant mode of analysis has since the mid-nineteenth century been formalist and architectonic, animated by the working premise that great music should aspire to the condition of absoluteness, purity of

> gesture, self- referentiality—no matter how short of this ideal it may often seem to fall.[59]

Allanbrook's statement points to the recent shift of emphasis from the view of classical music as an organic entity to the interest in the music's surface expression. Ratner justifies this shift of emphasis through the contemporary evidence for the classical composer giving utmost importance to communicating certain sentiments and feelings to the audience. The composer was expected to communicate expression through both vocal and instrumental music.

> The evidence that a piece of music was expected to move the passions of the soul by expressing a ruling sentiment is impressive. It is found in treatises, journals, and letters, and in the close correspondence between a given text and its musical setting. In vocal music, the connection between feeling and figure was explicit. In instrumental music—which imitated opera, church music, and ballet—this connection could only be implied, but it was unquestionably present.[60]

The way in which a composer could communicate with his audience was through the use of topics, a musical language common to the eighteenth-century listener and composer.

The essence of a topic is that both the listener and the composer understand it as a musical sign.

> Topics are musical signs. They consist of a signifier (a certain disposition of musical dimensions) and a signified (a conventional stylistic unit, often but not always referential in quality). Signifiers are identified as a relational unit within the dimensions of melody, harmony, meter, rhythm, and so on, while the signified is designated by conventional labels drawn mostly from eighteenth-century historiography (Sturm und Drang, fanfare, learned style, sensibility, and so on).[61]

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[59]Wye Jamison Allanbrook, "Two Threads Through the Labyrinth: Topic and Process in the First Movements of K. 332 and K. 333," in *Convention in Eighteenth- and Nineteenth-Century Music: Essays in Honor of Leonard Ratner*, edited by Wye Jamison Allanbrook, Janet M. Levy, and William P. Mahrt (Stuyvesant, NY: Pendragon Press, 1992), 128-129.

[60]Ratner, *Classic Music*, 8.

[61]Kofi Agawu, *Playing With Signs: A Semiotic Interpretation of Classical Music* (Princeton: Princeton University Press, 1991), 49.

Agawu defines the topic in terms of semiotics, thereby giving the topic the status of a language. The signifier, or the musical topic, can be defined in terms of any combination of instrumentation, rhythm, melody, harmony, meter, dynamics and even key. Since Ratner defines the topic in terms of eighteenth-century musical rhetoric, the signified comes from the broad societal conventions of that time. Ratner describes a wide range of topics that refers to every level of eighteenth-century life.

> A wide range of referential materials was available to Classic composers. These materials formed part of a musical language understood by composers, performers, and listeners, and constituted a vast thesaurus of 'words' and 'phrases' from which anyone could draw. In this thesaurus we find every level of dignity, from the highest to the lowest styles; every locale, from the church to the countryside; every degree of specificity, from descriptive pictorialisms (such as Turkish music, battle music and pastoral musettes), to characteristic dances, general affective stances, and even small figures that had gestural profile.[62]

For example, the topic "minuet" signifies the courtly eighteenth-century dance, usually elevated and noble in tone. The meter, lack of upbeat, and accentuation of the first beat of each measure primarily define the musical signifier "minuet." Because harmony is not a primary factor in the minuet, composers as harmonically disparate (though not necessarily aesthetically disparate) as Mozart and Schoenberg could compose a minuet. However in both Mozart's and Schoenberg's cases, the minuet topic applies to the eighteenth-century dance. A topic such as *Sturm und Drang* is primarily defined by sudden changes of harmony, dynamic, and even texture and signifies the literary style popular in eighteenth-century Germany. Thus topics have no set musical definition except that they signify certain aspects of eighteenth-century life. The number of topics is limited only by the number of aspects of eighteenth-century life expressible in musical terms. Agawu states that "[t]he world of topic,

like its parent world of sign, is potentially open, so that one cannot—and need not—specify the total number of topics current in the eighteenth century."[63]

Because a topic is a musical sign which signifies some aspect of eighteenth-century life, a composition which contains different topics can narrate just as a succession of signs can signify a plot.

> Last, by identifying an interplay of topics, one sets up the possibility of a fluid topical discourse in this movement. The fact of succession alone, enhanced perceptually by varying degrees of foregrounding, suggests a discourse, possibly a narration. To say that there are clear pointers to a possible narrative is, however, not to underplay the difficulty of determining precisely what is being discussed, or, for that matter, why it is being discussed.[64]

As Agawu states, it is difficult to put words in the mouth of such a speechless medium as instrumental music. One does not want to reduce instrumental music to the level of a soundtrack to a movie. When defining a "plot," Agawu speaks to the possible fantasy soundtrack denigration of classical music.

> To legislate speculation [on the presence of a plot in classic music], however may seem unnecessarily binding, if not simply embarrassing, to the structuralist....But to the humanist for whom music is the product of human volition, such a step represents, at worst, an indulgence of his or her fantasy, and, at best, an opportunity to dip into other semiotic systems, societal structures, and specific historical events for traces of musical patterning.[65]

The author hopes to analyze the Piano Concerto from a humanist perspective in order to demonstrate its inherent drama.

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[62]Leonard G. Ratner, "Topical Content in Mozart's Keyboard Sonatas," *Early Music* 19 (November 1991): 615.

[63]Agawu, *Playing with Signs*, 49. Agawu, when speaking of Beethoven's Piano Sonata in C Minor, Op. 13, Movement 1, speaks to the gradual movement in the nineteenth-century from the "objectified topical structuring toward a personal, idiosyncratic retreat into private zones." See Ibid., 42.

[64]Ibid., 36.

An Introduction to Topic Analysis and its Applicability to Mozart's Music

Mozart's music is particularly suited to topical analysis because it contains a plethora of contrasting ideas and styles within and across movements. Ratner and Allanbrook note and admire the contrast of musical styles in Mozart's opera, *Don Giovanni*.

> *Don Giovanni*, like many other works of Mozart, gathers as many diverse elements as possible into a coordinated structure. In drama, Shakespeare is the epitome of this approach; for classic music, Mozart's *Don Giovanni* achieves this goal.[66]

Allanbrook compares the blending of different musical styles in the Mozart/Da Ponte operas with the expansive scope of the Shakespeare plays: "And as with Shakespeare, also Mozart—each opera is a facet, a momentary proportioning of musical styles, a particular way of taking the world, which is true and sufficient unto the day, but because of pressure from the other works in the corpus never pretends to inclusivity."[67] Thus topical analysis can lead to a better understanding of how Mozart's music contains a plethora of surface variety as well as meaning.

Mozart's instrumental music also holds stunning variety. Using Mozart's "Prague" Symphony, K. 504 as an example, Ratner states in *Classic Music*, "Mozart was the greatest master at mixing and coordinating topics, often in the shortest space and with startling contrast."[68] Elaine Sisman speaks extensively to the variety in the "Jupiter" Symphony, K. 551. Speaking of the first movement: "Moreover, the topics

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[65]Ibid.
[66]Ratner, *Classic Music*, 411.
[67]Allanbrook, *Rhythmic Gesture in Mozart*, 328.
[68]Ratner, Classic Music, 27.

chosen intersect with the high, middle, and low styles."[69] The solo piano works and the "Haydn" string quartets are especially suited to contrasting topics, given their particular medium. The eighteenth-century fortepiano was often used in homes as an imitator of full ensembles. Thus it had to make up in topical variety and liveliness what it lacked in sonority and resonance.

> Thus, it [fortepiano] had to compensate with lively action for what it lacked in full body or sound. When the fortepiano takes up stances that are modeled on theatrical attitudes, it tends to touch upon them briefly and succinctly, creating (particularly in the music of Mozart) a kaleidoscopic continuity. The effect is analogous to cartoon sketching as contrasted with full-colour, filled-in art.[70]

Allanbrook speaks of the medium of the keyboard and string quartet in the same way, with the specification that the "Haydn" Quartets are the examination of the combination of topics at their "purest."[71]

Problems of Topic Analysis

One of the main problems with topic analysis is how to reconcile the surface variety of topical interplay with the notion of structural unity. Stephen Perry Edwards' dissertation explores this problem through the use of different analytical techniques on some of the texturally diverse Mozart piano sonatas.[72] He analyzes, among other parameters, relationships between adjacent and non-adjacent musical entities as well as Schenkerian aspects. In the end, Edwards acknowledges both the

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[69]Elaine Sisman, *Mozart: The 'Jupiter' Symphony* (Cambridge: Cambridge University Press, 1993), 46.

[70]Ratner, "Topical Content in Mozart's Keyboard Sonatas," 616.

[71] Wye J. Allanbrook, " 'To Serve the Private Pleasure': Expression and Form in the String Quartets," in *Wolfgang Amadè Mozart: Essays on his Life and his Music,* ed. Stanley Sadie (Oxford Oxford Universtiy Press, 1996), 135. See also Elaine Sisman, *Mozart: The 'Jupiter' Symphony*, 71-75 for a discussion of the mixed styles in the 'Haydn' Quartet in G Major, Opus 387.

[72]Stephen Perry Edwards, "Extremes of Contrast in Mozart's Sonata-Form Movements" (Ph.D. diss., University of Texas, 1997).

power of the Schenkarian analysis as well as the questionable nature of Schenker's insistence on organicism. "I readily admit to such a lust [for inventing structures], but I must also confess an equally unholy delight in what Edmund Gurney calls 'the successive notes and smallest fragments, as they turn up moment after moment, throughout any piece of music which is keenly and characteristically enjoyed.'"[73]

Allanbrook approaches the "*filo*," a *filo* of the "non-organic sort,"[74] or a connecting thread in the first movement of the Mozart piano sonatas, K. 332 and K. 333. How can the topical variety in each of the piano sonatas be rectified with Leopold Mozart's admonition for a connecting thread, or *filo*?[75] She achieves a fascinating compromise between the insistence on structural unity and the recognition of topical variety. The first movements of the two sonatas concern different topical relationships: K. 332 is about disjunctive topics, or asks the question "where are the seams of things?"[76] K. 333 is "a speculative, reflective exploration of the relation between two particular musical styles...an evocative variant of the singing allegro, and the concerto or soloistic style."[77] She notes a successive unity, the connecting seams, in the diverse topics of the first movement of K. 332 through finding commonalities between each of the topics of singing style, counterpoint, minuet, and *Sturm und Drang*. She also notes the harmonic propriety in the use of each of these different styles at appropriate structural points.

> Just as the other gestures are chosen for their appropriateness to the particular moment in the key-area process that they further—the singing and learned styles

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[73]Edmond Gurney, *The Power of Sound* (New York: Basic Books, 1966), reprint of London, 1880, edition, 214; quoted in Ibid., 274.

[74]Allanbrook, "Two Threads Through the Labyrinth," 171.

[75]Emily Anderson trans and ed., *The Letters of Mozart and His Family*, 2nd ed. (New York: St. Martin's Press, 1966), II, 599, quoted in Ibid., 126.

[76]Allanbrook, "Two Threads Through the Labyrinth," 169.

[77]Ibid., 145.

> bound together to create an extended opening period, the horn calls suitable for the codetta—the *Sturm und Drang* is tailored for modulation: without syntactic implications—non-cadential—it consists of arpeggios and scale passages, typical 'traveling music.'[78]

On the other hand, the subject of the first movement of K. 333 is the interaction between two topics: the singing allegro and the soloistic style. She summarizes the first period, or first subject, of the sonata.

> Already the two topics are cross-fertilizing one another. Or perhaps the discovery—not so remarkable after all—is that the brilliant style and the intimate music-box style have the mechanical in common; thus the first four measures of the movement contain the seeds of both the reigning affects, seemingly so opposed in principle. Altogether this is a brilliant first period.[79]

The topical variety (or lack thereof) in an individual work determines the processes of structural unity: "...that the choice of gesture can have a strong influence on the working-out of a movement seems to me both indubitable and widely ignored; it has rarely been a working premise of musicological analysis."[80] Harold Powers summarizes the importance of Allanbrook's analytical insight. He compares Allanbrook's analysis to Roman Jakobson's idea of the poem in which the axes of selection of words and combination of these words allows for an infinite variety of poems.

> ...Allanbrook illustrates two very different kinds of topical arrangement [in the first movements of K. 332 and K. 333], which suggests that there might be not one but many different kinds of syntactic and rhetorical structure for Classic music. She concludes the essay saying that "the interaction of topic and process allows for an infinite variety of compositional surfaces" (p. 171)—just as the interaction of Jakobson's axes of selection and combination allows for an infinite variety of poetic surfaces.[81]

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[78]Ibid., 136.
[79]Ibid., 150.
[80]Ibid., 170.
[81]Harold Powers, "Reading Mozart's Music: Text and Topic, Syntax and Sense," *Current Musicology* 57 (1995): 42.

Kofi Agawu provides a detailed account of the interplay between topical variety and structural coherence in his book, *Playing With Signs: A Semiotic Interpretation of Classic Music.* According to Agawu, the complexity of the musical interactions of a classical work necessitates that an analysis utilize different analytical methods. Thus the analyst and listener can fully appreciate the drama of Mozart's musical complexity, or Mozart's "play with signs."[82] For example, an analysis of measures 21-33 of the first movement of Mozart's String Quintet in D Major, K. 593 simultaneously shows the Schenkarian middle ground, the succession of topics, Charles Rosen's "descending thirds," Ratner's structural line, and Agawu's beginning-middle-end paradigm.[83] Each analysis emphasizes a different element of Mozart's "game-pieces" of voice-leading, topical succession, structural pillars, etc. In addition, the analyses do not necessarily coincide.

> Where the improvisatory nature of Mozart's rhetoric allows only a nominal disjunction between the "hammer strokes" and the singing style, the [Schenkerian] voice-leading graph articulates a clear separation of structural process. It is difficult to transfer the principles of a hierarchy of topic to a hierarchy of structure, but it is precisely in the attempt to effect such a transfer that we encounter what is most fundamental about the piece—the uneasy interaction between individual hierarchies.[84]

The "uneasy interaction" between such analyses is exactly what emphasizes the complexity of Mozart's particular musical game, or "play with signs," in which the game pieces interact in complex ways.

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[82]Agawu, *Playing With Signs*, 78.
[83]Ibid., 76-77.
[84]Ibid., 78.

Topic Analysis applied to Mozart's Piano Concertos

Kofi Agawu makes the salient point that the piano concertos, because of the dichotomy of the piano and orchestra and the suppleness of the form, are also an appropriate medium for the interplay of different topics.

> The genre is also flexible enough to accommodate various departures, such as the appearance of a new thematic idea later in the movement, or the 'premature' entry of the soloist during the initial ritornello. This confers on the opening ritornello a dual synoptic, as well as expository, function. These functions, together with the necessary gestural obligations of the genre, explain why the concerto relies a great deal on topical interplay. Some of the richest examples in Classic music of referential structuring are to be found in the opening movements of concertos.[85]

The contrast of topics within the first movement of a piano concerto is essential to the expository function of the opening ritornello. The opening ritornello tells the story of the concerto, or at least the backdrop of the drama to come. Thus it serves the function of drawing the listener in with its variety of topical interplay while also delineating the structure of the movement itself.

Karol Berger explains the first movement of piano concerto form as a narrative plot, in the same sense as Agawu uses the word "plot," or story.

> Once we agree to view the Classic concerto not just as a discourse, but as a narrative kind of discourse, once we recognize the narrative character of the composition of the concerto's first [opening ritornello, or first exposition], second [first solo, or second exposition], and fourth main periods [third ritornello and solo, or recapitulation]—that is, once we agree to see these periods as stories—we are ready to make the next step and to describe the specific narrative genre of the concerto as a genre in which the same story is told three times—in three different version—by means of two narrative voices....Each time it is recognizably the same story in the sense that the plot (the punctuation form) is very similar and at least some of the events (the contents of the phrases), especially the first one, recur from one telling to the next. But insofar as at least some of the events at corresponding points in the plot differ, the story is told in three different versions.[86]

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[85]Ibid.

Agawu's notion that the interplay of a succession of topics creating a narration and Berger's large-scale narrative version of the first movement of a piano concerto complement each other. On a small scale, each of Berger's periods has events within itself which render it complete; these events would be the topical interplay subsumed under the harmonic movement. On a larger scale, each of the three periods that Berger references is a different version of the same story. The different versions are effected through Mozart's manipulation of the supple form; or as Agawu states, through the comparison of the second and fourth periods to the synoptic opening ritornello.

The present analysis of Mozart's Piano Concerto K. 466 utilizes the idea that each individual classical work is similar to the idea of a "poem" in which the combination and selection of topics determine the individual rhetorical and plot content. In addition, the musical parameters of an individual classical work, as Agawu notes, do not always coincide, but "play" with each other, sometimes creating an uneasy friction. The present analysis, similar in spirit to Agawu's analysis of measures 21-33 of the first movement of Mozart's String Quintet in D Major, K. 593, acknowledges this uneasy play through charting the shifts between different musical parameters such as form, melody, topic, and instrumentation, among others. Finally, Berger's idea that the first movement form of the classical concerto is a plot told three times provides a convenient backdrop from which to highlight Mozart's topical interplay and progression within a particular movement.

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[86]Karol Berger, "Toward a History of Hearing: The Classic Concerto, A Sample Case," in *Convention in Eighteenth- and Nineteenth- Century Music: Essays in Honor of Leonard G. Ratner,*

The High, Middle, and Low Styles in the late 18th-century

Definitions

Elaine Sisman states that the distinctions between the high, middle and low styles originated in the rhetorical texts of the ancient Greeks and Romans.

> The rhetorical treatises of classical antiquity, such as those by Aristotle, Cicero, and Quintilian, distinguished among three stylistic 'levels': the plain or low, the middle, and the elevated or grand. A stylistic level would be chosen for a speech (or part of one) depending on context and purpose, because the plain style was held to instruct, the middle style to charm or conciliate, and the elevated style to move the passions of the audience.[87]

Eighteenth-century society was a stratified world in which levels of society remained distinct and had their separate conventions. Music directly reflected the separation of eighteenth-century society through the high and the low styles.

The high style of music was a celebration of aristocratic power and was played in the appropriate locations of aristocratic life: the church, theater and homes of the aristocracy. Ratner states the following concerning the church: "The principle habitat of the high style was the church, where the gravity and importance of the religious sentiment could be expressed by *alla breve*, fugue, and motet."[88] Such topics as the *alla breve*, fugue, and motet represented the conservative language of the Baroque. Ratner's description of high-style expression calls to mind the unity of affection maintained within a Baroque musical work.

> In general, high-style expression called for maintenance of the ruling sentiment, with limited contrast throughout a principal section. The pace is deliberate, even in allegro tempos, the vocal style alternating between portamento and brilliant styles. For classic music, the high style was a heritage from the earlier 18th century, when

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eds. Wye J. Allanbrook, Janet M. Levy, and William P. Mahrt (Stuyvesant, NY: Pendragon Press, 1992), 420-421.

[87]Sisman, *Mozart: The 'Jupiter' Symphony*, 10.

[88]Ratner, *Classic Music*, 364.

one of the main objects of this style was to celebrate authority.[89]

The principal domain of the high style within theater was the *opera seria*. Giorgio Pestelli notes the continuation of Baroque aesthetic and musical ideals expressed through *opera seria*. He compares the *opera seria* to the *opera buffa*.

> If *opera seria*, with its fundamental division of material into recitatives (simple or accompanied) and arias (mainly da capo), and with its heroic, noble subject-matter, expressed the element of continuity with the baroque age, *opera buffa* (comic opera) or semi-serious opera was destined to represent the element of breaking away....There was also, of course, the difference in theatrical subject-matter that in *opera seria* accentuated links with the old world, with the age of absolute or enlightened power.[90]

The same elements that Ratner noted of the high style in the church, namely, the evocation of the Baroque era, Pestelli also notes in the *opera seria*. Both mediums of the church and *opera seria* utilized vocal virtuosity through portamento and brilliant styles. The castrato, through his voice, symbolized the grand celebration of absolute power: "The mysterious quality of the castrato voice accentuated the mythical and unreal component [of *opera seria*]."[91]

Ratner notes that in the last quarter of the eighteenth century, concert and chamber works were accorded a status equal to the works of the church and *opera seria*.

> Until the last quarter of the 18th century, very few chamber and orchestral works would have qualified in the high style. Neither their expressive stances nor the degree to which they incorporated elements of the learned style matched the dignity of the noblest church and theater works. But as concert activity grew, taking over much of the function of theater and church, orchestral and chamber music works achieved greater scope and dignity and drew the attention of critics as major works of art. Mozart's *Jupiter* Symphony, 1788, his *Symphonie*

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[89]Ibid.

[90]Giorgio Pestelli, *The Age of Mozart and Beethoven*, trans. Eric Cross (Cambridge: Cambridge University Press, 1985), 42.

[91]Ibid.

> *Concertante*, K. 364...--these represent the highest level of orchestral music, comparable in this genre to the great works for church and theater.[92]

This change of status for concert and chamber works was perhaps due to the high value placed on such works, and the composer's expectation for an attentive audience. The symphony was the most prestigious instrumental genre.

> ...in whatever concert venue, symphonies were expected to provide a certain kind of grand musical experience, to be stirring and exciting....Not only were symphonies discussed in terms of "grand" or elevated style, then, but this style was also differentiated from other less public genres.[93]

Even chamber music could be considered in the high style because of its emphasis on details and its aristocratic audience. Koch likens chamber music to a finely nuanced painting.

> Since in chamber music the art was never especially directed towards expressing religious emotions as in the church, or moral emotions as in opera, but was intended only to serve the private pleasures of the reigning princes or of the courts, and since, besides, it is only performed in a room and with few instruments, the result of all these circumstances was that the older composers took greater pains with the art products for the chamber, nuanced them more finely, and assumed on the part of the performer greater technical finish than they considered needful in compositions for the church, or for the theater, partly on account of the size of the building, partly also on account of the larger numbers for each part, etc. Thus they imitated the painter who shades more finely and colors in greater detail a painting intended to be viewed from close by than, for example, a ceiling painting which is far from the eye and in which not only are these nuances lost, but the effect of the whole is weaker. The composers treated the works intended for the chamber in a similar manner, and thus this type of composition achieved its own character, which is still indicated by the expression chamber style.[94]

The mediums of the aristocracy—the church, theater in the vestige of *opera seria*, and the concert and chamber styles—were seats of celebration of authority and as a result, the music continued the ideals and topics of the Baroque era when

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[92]Ratner, *Classic Music*, 366.
[93]Sisman, *Mozart: The 'Jupiter' Symphony*, 8.

absolute authority was scarcely questioned. The highest nobility not only represented a class, but also an affective state of the grand passions.

> Alongside the affective hierarchy there runs another means of ordering, which has been suggested in earlier pages but not fully articulated—a class or social hierarchy. The words 'noble' and 'base' do not carry double meanings by accident: 'noble' can be used to characterize both good birth and good actions, and 'base' connotes both 'low' and 'lower-class.'[95]

Music written for the nobility was expected to be "noble" itself, containing only the loftiest ideals from reverence of God to the grandest passions of love and duty. Ratner lists some of the grand passions as "grand conflicts of love and duty, the individual against fate, good against evil."[96] Birgitte Moyer makes the argument that the *ombra* style, or music representing the supernatural is also included in the high style.[97]

Ruth Halle Rowen emphasizes the importance not only of locale, but of musical propriety of expression.

> From our concentration thus far on the nature of the building in which chamber music is performed, and from the title 'chamber music' itself, it might be erroneously inferred that the function of music is determined solely by the location at which it is given hearing. The character of the music has to agree with the site on which the music is played in order to be consistent functionally.[98]

Thus music in the high style is more of an expression of certain grand states or passions rather than strictly bound by its respective mediums. Rowen later quotes Johann Mattheson.

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[94]Heinrich Christoph Koch, *Musikalisches Lexikon*, (Franfurt am Main, 1802), 820; quoted in Ruth Halle Rowen, "Some 18th-Century Classifications of Musical Style," *Musical Quarterly* 33 (1947): 91.

[95]Allanbrook, *Rhythmic Gesture in Mozart*, 68.

[96]Ratner, *Classic Music*, 367.

[97]Birgitte Moyer, "Ombra and Fantasia in Late 18th-Century Practice," in *Convention in Eighteenth- and Nineteenth- Century Music: Essays in Honor of Leonard G. Ratner*, eds. Wye J. Allanbrook, Janet M. Levy, and William P. Mahrt (Stuyvesant, NY: Pendragon Press, 1992), 291.

> It must not be supposed that the word church is used here only with respect to the mere place and the time, in classifying the type of writing; the true meaning lies elsewhere entirely, namely in the purpose of the divine service itself, in the spiritual function and in the real devotion or edification, not in the buildings or the walls of the temples: for, where God's word is taught and heard, be it sung or spoken, there is indisputably God's house. When Paul preached in Athens, the stage was his church.
>
> Similarly with the theater and the chamber: neither place nor time comes especially into consideration here. A sacred piece as well as a table-concert can be performed in a room.[99]

The middle style is not so much indicative of a particular social class;[100] rather it alludes to the charming emotions such as "joy, delight, love, devotion, modesty, and patience."[101] As Marita P. McClymonds argues, the middle style was a common element in both *opera seria* and *opera buffa*.[102] McClymonds gives a detailed account of musical affects, instrumentation, characteristics and topics inherent in the middle style.

> For the 'softer, milder feelings' and the 'sophistication and charm' of the middle style, composers cultivated a 'light' affect, in order 'to please rather than to excite.' The affect of charm is often expressed by triple or compound meter (minuet and pastorale); phrases are short, articulated with brief interjections by the violins or winds and lightly decorated with graces, Lombard rhythms, slides, and appoggiaturas. The lively, more robust march often employs dotted rhythms; the winds, often prominent in the middle style, connote love, ease, and happiness.[103]

Wye J. Allanbrook quotes Sulzer's four classes of dances, of which the third is the middle style.

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[98]Ruth Halle Rowen, "Some 18th-Century Classifications of Musical Style," *Musical Quarterly* 33 (1947): 94.

[99]Johann Mattheson, *Der Vollkommene Kapellmeister*, Hamburg, 1739, 69; quoted in Ibid.

[100]Allanbrook, *Rhythmic Gesture in Mozart*, 69: "The middle class as we think of it today, the bourgeoisie, does not have its own expression until the advent of the contredanse, and then ultimately at the expense of the entire social hierarchy, since the careless freedom of the dance swallows up all social and affective distinctions."

[101]Ratner, *Classic Music*, 8.

[102]Marita P. McClymonds, "Opera Seria? Opera Buffa? Genre and Style as Sign," in *Opera Buffa in Mozart's Vienna*, eds. Mary Hunter and James Webster (Cambridge: Cambridge University Press, 1997), 204.

[103]Ibid., 205.

> The third class includes the dances called in technical language 'halbe Charaktere' (demicaractères). Their content is an everyday action in the character of the comic stage—a love affair, or any intrigue in which people from a not completely ordinary kind of life are involved. The dances require elegance, pleasant manners, and fine taste.[104]

The middle style represents the charming, elegant affections of gentle love and happiness; in dance form, the middle style is often represented by the minuet and pastorals; the instrumentation often includes winds and graceful violin figures.

The middle style's association with the pastoral is especially interesting. The pastoral hearkens to an innocent time when a benevolent nature facilitated the gentle affections that in turn eased rigorous social distinctions. [105] Pastoral dances include the gigue, the pastorale, the siciliano, the gavotte, and the musette.[106] Allanbrook speaks warmly of the associations involved in the pastorale duet sung between the Countess and Susanna, "Che soave zefiretto" in *The Marriage of Figaro.*

> ...the pastoral text and music figure the classless, timeless meadow where two women ordinarily separated by circumstance can meet and stroll quietly together. The duet's Arcadian music is very different from the rhythms of the sophisticatedly naïve gavotte: its 6/8 meter evokes the bucolic spirit directly, deliberately eliminating any courtly frame.[107]

The pastorale particularly references a garden, in which the Countess, dressed as Susanna, plans to meet the Count. Mary Hunter has a slightly different take on the idea of classlessness in a garden. The garden is both part of nature but artificially tamed. It represents desire, but pruned by social norms.

> The garden in this sense of trained nature is the perfect place for the love characteristically celebrated by opera buffa, which, like the garden, is built on

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[104]Johann George Sulzer, *Allgemeine Theorie der schönen Künste*, 2nd ed., 4 vols. (Lepizig, 1786-87), s.v. „Tanz"; quoted in Allanbrook, *Rhythmic Gesture in Mozart*, 69.

[105]See Daniel Heartz, "Mozart's Sense for Nature," *19th Century Music* 15 (1991-1992): 107-115 for a compelling emphasis on Mozart's love of urban and natural scenery.

[106]See Allanbrook, *Rhythmic Gesture in Mozart*, 41, 43, 44, 49, 52 for definitions of each dance, or topic.

[107]Ibid., 147.

> impulses grounded in nature but shaped and trained by social norms and expectations, particularly regarding class....True and 'natural' love always turns out to be socially appropriate.[108]

Thus the middle style's affections as portrayed in the pastoral contain a rich blending of nostalgia, love, innocence, and a magical space in which social classes can interact in unprecedented ways. However, as Hunter emphasizes, the wedding always takes place between socially compatible partners.

Ratner states that the low style originated from the intermezzo, popular theater and parodies.

> Low style was set apart. It appeared in the intermezzi separating the acts of serious opera, in its own realm of popular theater, or as occasional parodies and grotesqueries.[109]

The musical low style represented the lower social classes. But as there were ranks among the lower class, so there were degrees of the low style. The following quotation distinguishes between two types of low style dances, the grotesque and the comic dances. Allanbrook quotes Sulzer's four classifications of the dance, of which the first two are in the low style.

> The first or lowest class is called *grotesque*; its character is riotousness or the fantastic. The dances essentially portray nothing but unusual leaps and strange, crazy gestures, amusements and adventures of the lowest class of men. Good taste gets little consideration, and there is little care to make the cadences of the dancer agree precisely with those of the music. Above all, these dances require strength.
>
> The second class consists of the *comic dances*. Their content is a little less unrestrained; they portray customs, amusements, and love intrigues of the common people. Movements and leaps are a little less abandoned, but still lively, rather mischievous, and very striking. They must always be amusing and merry. The main thing in them is agility, a quick, artful movement, and a mischievous affect.[110]

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[108]Mary Hunter, "Landscapes, Gardens, and Gothic Settings in the *Opere Buffe* of Mozart and His Italian Contemporaries," *Current Musicology* 51 (1993): 98.

[109]Ratner, *Classic Music*, 386.

[110]Sulzer, *Allgemeine Theorie der schönen Künste*, s.v. „Tanz"; quoted in Allanbrook, *Rhythmic Gesture in Mozart*, 68.

The *Deutscher Tanz* is a grotesque dance while the allemande, gigue, and passepied are comic dances.[111] The grotesque dances represent the lowest classes while the comic dances required more refinement. Other qualities of the comic style include the use of 6/8, "staccato rather than legato," and quick harmonic rhythms.[112]

With the popularity of the comic opera towards the second half of the eighteenth century, the comic or low style became more complicated and refined.

> Reflecting political, economic, and social changes in the 18th century, the wheel of musical fashion turned. The middle and low styles were increasingly cultivated, signifying a marked shift toward comedy.[113]

The comic style, or low style, had levels within itself: the low comic, middle comedy, and high comic.[114] Moreover, the comic style, by 1800 had different categories including mimicry, wit, parody and artful imitations of musical bungling.[115] The refinement of the low style was a result of sophisticated composers turning their attention to *opera buffa.*

> Absorption of *seria* techniques into comic opera indicates that a greater number of fine composers occupied themselves with this genre. The invention, sophistication, high style, and skillful working out required in serious music was being carried over into the comic. The reverse was also true. Comic rhetoric—quick juxtapositions of contrasting ideas, short and lively figures, active interplay of dialogue, light textures, marked articulation, unexpected turns—is found throughout the great instrumental and vocal works of the classic style.[116]

Charles Rosen also notes that the Classic composers Haydn, Mozart, and Beethoven refined the comic style through frequent interpolations of "buffoonery" and the humorous.

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[111]Allanbrook, *Rhythmic Gesture in Mozart*, 69.

[112]Gretchen A. Wheelock, *Haydn's Ingenious Jesting with Art* (New York: Schirmer Books, 1992), 38.

[113]Ratner, *Classic Music*, 386.

[114]Ibid.

> The buffoonery of Haydn, Beethoven, and Mozart is only an exaggeration of an essential quality of the classical style. This style was, in its origins, basically a comic one....This relation between the classical and comic styles was remarked by Carl Philipp Emanuel Bach, who at the end of his life deplored the loss of the contrapuntal Baroque style, and added: 'I believe, with many intelligent men, that the present love for the comic accounts for this more than does anything else.'[117]

However, when C. P. E. Bach was criticized for writing a rondo, one of the popular lighter forms descended from Italian *opera buffa*,[118] "he self-consciously had to explain to his friend, C. F. Cramer, 'When one becomes an old man, then one devotes oneself to having fun!'"[119]

The Combination of the High, Middle, and Low Styles

The combination of the high, middle, and low styles in instrumental music stemmed from the "new" Italian instrumental style. The Italian instrumental style was derived from *opera buffa*. The new instrumental style had quick changes of affect, and homophonic textures. As stated above, under the hands of Haydn, Beethoven, and Mozart, the instrumental style achieved a masterful synthesis of learned techniques, the middle style, and comic interspersions.

> ...the style of a baroque concerto movement...was to be supplanted (as Quantz, the contemporary composer and critic, recognized had already occurred by 1752) by a 'new' Italian instrumental style derived from the opera buffa. This style eschewed the heavy pathos and the elaborate long-winded vocal lines of the contemporary opera seria in favor of a series of short, catchy, and tuneful ideas of a light-hearted, comic, even frivolous, character. In addition, the new music was typified by strong thematic and affective contrasts (a trait viewed, alternatively, as highly

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[115]Ibid., 387-393.

[116]Ibid., 395.

[117]Rosen, *The Classical Style*, 96.

[118]Malcolm S. Cole, "The Vogue of the Instrumental Rondo in the Late Eighteenth Century," *Journal of the American Musicological Society* 22 (1969): 445. "Perhaps this upsurge of rondo composition in the instrumental field and the increasing popularity of the rondo in general stemmed from the Italian-dominated field of *opera buffa*."

[119]Ernst Fritz Schmit, *Carl Philipp Emanuel Bach und seine Kammermusik* (Kassel: Bärenreiter Verlag, 1939), 82; quoted in Hosler, *Changing Aesthetic Views of Instrumental Music*, 17.

> entertaining, or highly confusing)....Subsequently, this contrast-dominated 'new' Italian style came to constitute the fundamental language of the more serious, complex, and more masterly-crafted compositions in the 'classical style' of Haydn, Mozart, and Beethoven—works exploiting and displaying the many compositional techniques of thematic development (or 'thematische Arbeit') and using a richer harmonic palette than that of the Italians, and yet retaining the instrumental élan and quick pace of the Italian style, as well as much of its tuneful symmetry and simplicity.[120]

The Italian *opera buffa* itself began to incorporate elements of *opera seria*, or the high style, as well as music and parts that were of *mezzo carrattere*. The incorporation was effected around 1750 by Carlo Goldoni.

> In several librettos written around 1750 Goldoni combined character types from serious opera ('parti serie'), usually a pair of noble lovers, with the rag-tag of servants, peasants and others ('parti buffi') who populated his purely comic works. Sometimes he also added roles that were half way between the two in character ('di mezzo carrattere'). His name for such an amalgam, applied fairly consistently from 1748 on, was *dramma giocoso*.[121]

Mary Hunter examines the complexities of the new style of *opera buffa* as created by Goldoni. The mixture of the high, medium, and low styles present the opportunity for the composer to produce meaning through situating "extra-musical 'echoes'," or topics, in certain ways.

> It is becoming increasingly usual to think of music of the Classical period as conveying its meanings at least in part through a rhetoric of topoi. According to this model, such elements as rhythm, texture and melody evoke both musical and extra-musical 'echoes'. Woven into the structure of the music, these echoes form a collage of connotations from which meaning can be inferred. As a genre of its time, *opera buffa* is in no way exempt from the 'combinatorial' process or its corollary system of associative meaning.[122]

The topics within *opera buffa* allude to *commedia dell'arte*, folk tales, fashionable novels, and "gestures and scenes from *opera seria* and *tragédie lyrique* as well as

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[120]Hosler, *Changing Aesthetic Views of Instrumental Music*, xi-xii.

[121]Daniel Heartz, "Goldoni, Don Giovanni and the dramma giocoso," *Musical Times* 120 (1979): 993.

quotations from and allusions to other *opere buffe*."[123] Although he does not specifically reference topics, Nicholas Till also notes the levels of meaning possible through the incorporation of different styles of dance.

> ...the multifarious languages of dance—of the minuet, sarabande, passepied, gigue, and siciliano; of the bourrée, gavotte, march, musette or contredanse—survive in Mozart's music, hinting at hidden patterns of social relationship and communication, and arousing physical recollections of characteristic mood and emotion for the eighteenth-century audience.[124]

The combination of the high, middle, and low styles within *opera buffa* can produce meanings which are parodistic, political, or sexual, among others. Hunter's book, *Opera Buffa in Mozart's Vienna: A Poetics of Entertainment*,[125] speaks in fascinating detail to the many levels and complexities of possible meaning within the *opera buffa*.

Speaking of the mixture of the serious and comic styles in Mozart's *Don Giovanni*, Charles Rosen notes that the "mixed genre in the eighteenth century is a sign of indecorum."[126] This speaks to the fact that Mozart's contemporaries considered the mixing of style problematic[127] and it remains problematic today. Recent essays have focused on what Allanbrook calls the "Gloomy Mozart" as a result of dark or "subversive" passages in his work.

> I do not offer this analysis in final refutation of the Gloomy Mozart; it would take far more than this chapter to root out the ingrained assumption that profundity and melancholia always go hand in hand. And because I do not believe that a fleeting

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[122]Mary Hunter, "Some Representations of *Opera Seria* in *Opera Buffa*," *Cambridge Opera Journal* 3 (1991): 89.

[123]Ibid.

[124]Nicholas Till, *Mozart and the Enlightenment: Truth, Virtue and Beauty in Mozart's Operas*, first American ed., (New York: W. W. Norton & Company, 1993), 181.

[125]Mary Hunter, *The Culture of Opera Buffa in Mozart's Vienna: A Poetics of Entertainment*, (Princeton: Princeton University Press, 1999).

[126]Rosen, *The Classical Style*, 322.

[127]See Hosler, *Changing Aesthetic Views of Instrumental Music*, Chapter One for contemporary complaints and confusions regarding the mixing of comic and serious styles.

> moment of counterpoint or a quirky modulation can be translated into a 'life-style' or a 'worldview,' I am uncomfortable with reading musical structures symbolically as political or philosophical positions.[128]

The premises of the recent essays are that certain passages in Mozart's music point to his subversive ideas on "stylistic, psychological, even social disintegration."[129] Allanbrook wishes to balance the dark view of Mozart with the emphasis on his comic endings both in his instrumental works and operas. Among other examples, she discusses the happy ending of the otherwise serious D Minor Piano Concerto, K. 466.

> The finale opens with a turbulent D minor theme, but its close has always disappointed: It ends in D major, a gay penultimate tune and a sassy trumpet call.[130]

Allanbrook emphasizes the rightness of the happy ending in Mozart's music.

> I submit that Mozart's instrumental music maintains the same confidence in the social equilibrium; in almost every work, it mirrors in the chiaroscuro of its surface the diverse modes of human existence, adopting as its dynamic model that motion out of adversity toward the happy ending that graces the universal comic narrative.[131]

However, she does not deny that although the happy ending is historically fitting, it does not always resolve the problems of the work.

> Comedy ends with the assertion of the proper orders, but this assertion may not necessarily be the crown of a serene and sane society; it may indeed be a lid clapped on disorder and despair. Only our greatest playwrights and composers--the names of Shakespeare, Molière, and Mozart might nearly complete the list--can live with comedy on those terms.[132]

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[128]Wye J. Allanbrook, "Mozart's Tunes and the Comedy of Closure," in *On Mozart*, edited by James M. Morris (Cambridge: Cambridge University Press, 1994), 169. Allanbrook cites the "Gloomy Mozart" essays on page 170.

[129]Ibid., 170.

[130]Ibid., 185.

[131]Ibid., 186.

[132]Wye J. Allanbrook, "Mozart's Happy Endings: A New Look at the 'Convention' of the 'lieto fine'," in *Mozart-Jahrbuch, 1984/85*, (Internationalen Stiftung Mozarteum. Salzburg: Internationalen Stiftung Mozarteum, 1986), 5.

Her definition of "comedy" is such that it can encompass tragedy, but ultimately the happy ending prevails. "The celebration in these two great opera buffa [*Don Giovanni* and *Le Nozze di Figaro*] of the necessity of human accommodation to what is moves one to suspect that comedy at its greatest has a range and power which are capable of encompassing even the tragic mode."[133] Thus her solution for the mixing of the high and low styles, or the tragic and comic styles, is to expand the idea of comedy to include both styles. This paper will focus on such an inclusion of the high, middle, and low styles within the Piano Concerto in D Minor, K. 466 without ignoring the "lid clapped on disorder and despair." In fact, the happy ending of the concerto is both a celebration of inclusiveness as well as an ironic comment on the ever-present state of disorder and despair.

Issues of the Mozart Piano Concertos

Form

As Cliff Eisen states, "[t]he form of Mozart's mature concertos has been a subject of continuing debate."[134] It is beyond the scope of this paper to quell the debate; only a brief description of its terms is provided. First, the debate revolves around which composers and musical genres were the principal predecessors of Mozart's concerto form. Carl Philipp Emanuel Bach, Johann Christian Bach, Michael Haydn, Georg Christoph Wagenseil, J. S. Bach and Joseph Haydn are the

[133]Ibid.

[134]Stanley Sadie, ed. *The New Grove Dictionary of Music and Musicians* (New York: Macmillan Press, Inc., 2001), s.v. "Concerto 3: The Classical Period: Mozart," by Cliff Eisen.

noted primary influences on Mozart's concerto form.[135] The musical genres, which are considered to be influential to the first movement piano concerto form, are the *opera seria* aria, sonata or symphonic form, and the baroque concerto grosso, or some combination of these.[136] For its discussion of first movement form, this essay will use the Leeson-Levin model in which the principles of the sonata and concerto grosso are both structural components.[137]

Leeson and Levin define Mozart's typical first movement concerto form in order to ascertain the extent to which K. Anh. C 14.01 (297b), a Symphonia Concertante for Four Winds and Orchestra, is actually Mozart's work. They complete a survey of all Mozart's concertos in order to define the concertos' proportions and then compare the above-mentioned work to the traits of the other concertos. They sketch the typical Mozart concerto as follows. (The concerto form

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[135]See Denis Forman, *Mozart's Concerto Form* (New York: Praeger Publishers, 1971), 28-46 for the importance of J. C. and C. P. E. Bach; Jane R. Stevens, "The Importance of C. P. E. Bach for Mozart's Piano Concertos," in *Mozart's Piano Concertos: Text, Context, Interpretation*, ed. Neal Zaslaw (Ann Arbor: University of Michigan Press, 1996) for the importance of C. P. E. Bach; Alfred Einstein, *Mozart: His Character, His Work*, trans. Arthur Mendel and Nathan Broder (London: Oxford University Press, 1945; Hesperides Book, 1962), 290 for the importance of J. C. Bach and Wagenseil; H. C. Robbins Landon, "The Concertos: (2) Their Musical Origin and Development," in *The Mozart Companion*, eds. H. C. Robbins Landon and Donald Mitchell (New York: W. W. Norton & Company Inc., 1956), 243, 258 for the influence of J. C. Bach, Michael Haydn, and J. S. Bach and Joseph Haydn, respectively.

[136]Arguments for the *opera seria* aria include Martha Feldman, "Staging the Virtuoso: Ritornello Procedure in Mozart, from Aria to Concerto," in *Mozart's Piano Concertos: Text, Context, Interpretation*, edited by Neal Zaslaw, (Ann Arbor: University of Michigan Press, 1996), 149-186; Einstein, Mozart, 289; and Ratner, *Classic Music*, 284. For sonata form, see Landon, "The Concertos: (2) Their Musical Origin and Development," 257 ("...his mature concertos are the miraculous fusion...of the symphonic and concerto forms..."); Girdlestone, *Mozart and his Piano Concertos*, Chapter 2; Rosen, *The Classical Style*, 210 ("His [Mozart's] concertos are not ingenious combinations of traditional concerto-form with the more modern sonata allegro, but independent creations based on traditional expectations of the contrast between solo and orchestra reshaped with an eye to the dramatic possibilities of the genre, and governed by the proportions and tensions—not the patterns—of sonata style."). For a combination of the aria, sonata form and the baroque concerto grosso, Donald Francis Tovey, *Essays in Musical Analysis: Concertos and Choral Works*, 1981 ed., (London: Oxford University Press, 1981), 15. For the baroque concerto grosso, see Forman, *Mozart's Concerto Form*, 28-46.

moves vertically downward in time. As is pertinent to the essay, I only include features of the late Mozart concertos.)

Opening Ritornello

(1) first theme, *piano* or *forte* followed by *piano* extended to perfect cadence in tonic
(2) tutti's active *forte* passage move to the dominant chord (half-cadence)
(3) half cadence on the dominant
(1)-(3) are the "primary group of the opening orchestral ritornello."
(4) *piano* lyric theme extended to perfect cadence on tonic
(5) *forte* concluding motive, with the energy of (2) leading to conclusion of ritornello
(6) second concluding motive, not as "assertive" as (5)
(7) "brief flourish" on the tonic and immediately precedes the entry of the soloist.
(4)-(7) are the secondary group of the opening orchestral ritornello.

Solo Exposition

(1) played by soloist
(7) by orchestra serving to confirm tonality
(A) soloist plays new theme effecting a modulation and arrives on a half-cadence in new key
(3) orchestra underscores (A), or (B) orchestra introduces new cadential material.
(1)-(3) or (1)-(B) are the primary group of the solo exposition
(C) played by soloist in the dominant/relative major key; this episode has "the character of introducing a new tonality rather than asserting it"
(B), or (3) if not used in the previous half-cadence, as a second half-cadence articulated by orchestra
(4), or after 1778 (D), soloist presents main theme. Extension to a perfect cadence in the dominant (or relative minor) key
(E) or (5) or (6) achieves final perfect cadence of solo exposition: "the trill that brings on the middle ritornello"
(4), or (D) –(E) or (5/6) are the secondary group of the solo exposition

Middle Ritornello

(2) or (5) or (1') leads to perfect cadence in dominant key
(6)
(7)

Development

No single scheme exists.

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[137]Daniel N. Leeson and Robert D. Levin, "On the Authenticity of K. Anh. C14.01 (297b), a Symphonica Concertante for Four Winds and Orchestra," *Mozart-Jahrbuch 1976/77*, (Internationalen Stiftung Mozarteum. Salzburg: Internationalen Stiftung Mozarteum 1978), 90-91.

Recapitulation
(1) returns by orchestra
(1') modifies or replaces (A)
(3) or (B) orchestral half-cadence in tonic
(C) followed by (B)
(4 or D, and E)

Ritornello to cadenza
(2 or 5) proceeds to tonic six-four.

Final Ritornello
(5) or (2), if not used in the previous ritornello, concludes piece
(6) and (7) usually follow.[138]

Figure 2.1. Leeson/Levin Structural Paradigm for the Mozart Concerto

David Grayson notes that the Leeson-Levin model incorporates the ritornello/solo alternation of the baroque concerto grosso with sonata form.

> Notably, sections **4** and **5**, which bear consecutive sonata form labels (development and recapitulation), are not texturally identified, although both are implicitly solo dominated. Characteristically, however, there is some tutti articulation at this juncture, but it is often very short, and it can occur at different points within the sonata structure.[139]

Grayson also draws attention to the inherent symmetries within the form itself, namely that between the opening ritornello and the final ritornello as well as in some cases, the middle ritornello.[140] In the concertos of 1784-1786, Mozart begins the ritornello to the cadenza and the middle ritornello with the same theme "thus creating a thematic symmetry between the tutti passages that 'close' the exposition and the recapitulation."[141]

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[138]Ibid. See also David Grayson, *Mozart Piano Concertos No. 20 in D Minor, K. 466, and No. 21. in C Major, K. 467* (Cambridge: Cambridge University Press, 1998), 19-30 for a summary of the Leeson-Levin model.

[139]Grayson, *Mozart Piano Concertos*, 22.

[140]Ibid., 29.

[141]Ibid. For Grayson's articulation of the form of the first movement of K. 466, see pgs. 34-35.

As for the forms of the other two movements, the middle movements of the piano concertos vary and most of the concluding movements in the piano concertos are in sonata-rondo form (including K. 466).

> The slow movements, unlike the first, are not bound to any particular form, and we find A-B-A's (with the usual alternations for concerto structure), two- and three-part 'reprise' forms, variations...and various kinds of rondos (e.g., K. 466...) and da capos (e.g., K. 488...). The 'romance', usually a kind of rondo (K. 466), is the vehicle for tender, reflective lyricism.[142]

The three possibilities for rondo form are ABABA, ABACBA, or ABACABA. "Indeed, each of Mozart's piano-concerto finales can be construed as belonging to one of these three categories, though doing so misrepresents the great variety of thematic constructions that the movements actually display and the degree to which sonata style and ritornello structures impact the form."[143] A challenge of Mozart piano concerto analysis is discerning the anomalies of form, and the extent to which the anomalies open up dramatic possibilities. In the following chapter on the Piano Concerto in D minor, K. 466, the forms for each movement are presented in a chart so that formal anomalies are more easily distinguished.

The Solo/Tutti Relationship

Not only are placements of the solo and tutti ritornellos an indication of form; their relationship to each other gives the concerto its particular character. One can interpret the solo/tutti relationship of a Mozart piano concerto as antagonistic, cooperative, independent, processive, or some combination of these. In addition, each individual movement of a piano concerto could have a different solo/tutti

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[142]Landon, "The Concertos: (2) Their Musical Origin and Development," 269-270.
[143]Grayson, *Mozart Piano Concertos*, 73.

relationship. One of the important sources of drama in a piano concerto is the relationship between the solo and the orchestra. The character of an individual analysis of a concerto depends greatly upon how one views the solo/tutti interaction.[144]

Heinrich Koch viewed the solo/tutti relationship in the piano concerto as a dramatic relationship, much like that of an individual commiserating with an ancient Greek chorus. Jane R. Stevens summarizes Koch's view of the relationship.

> There is 'an emotional relationship of the solo player with the orchestra accompanying him; to it he displays his feelings, while it now beckons approval to him with short interspersed phrases, now affirms, as it were, his expression; now it tries in the Allegro to stir up his exalted feelings still more; now it pities him in the Adagio, now it consoles him.' Instead of antagonists, then, or simply cooperating partners, the solo and tutti are semi-independent, interacting elements in a sort of dramatic intercourse.[145]

According to Koch, the interaction between the soloist and the tutti is that of two equal characters. Like the Greek tragic chorus' interaction with the hero/ine, the soloist is entrenched in the drama, and the tutti are safe from the events of the drama. In other words, the tutti are sympathetic *observers* of the individual drama of the soloist.

However, Donald Tovey interprets the solo/tutti relationship as antithetical: "Nothing in human life and history is much more thrilling or of more ancient and universal experience than the antithesis of the individual and the crowd; an antithesis which is familiar in every degree, from flat opposition to harmonious reconciliation, and with every contrast and blending of emotion, and which has been of no less

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[144]Joseph Kerman delves into the solo/tutti relationship in *Concerto Conversations*. Joseph Kerman, *Concerto Conversations* (Cambridge: Harvard University Press, 1999).

[145]Jane R. Stevens, "An 18th-Century Description of Concerto Form," *Journal of the American Musicological Society* 24 (1971): 94.

universal prominence in works of art than in life."[146] The soloist and the tutti, representing the individual versus the crowd, are equal dramatic characters, vying for supremacy. Many commentators on the concerto develop Tovey's interpretation.

One of the recent interpretations of the solo/tutti relationship is that of an individual's relationship to society. Susan McClary and Joseph Kerman, in two separate essays, see the relationship as metaphorical to Mozart and his society, or in Kerman's case, "Mozart's situation vis-à-vis his patrons as he worked to establish himself in the musical life of Vienna from 1781-1786."[147]

According to Tovey, the solo/tutti relationship within one complete concerto can also be processive. Joseph Kerman complies with this view.

> The three movements of a concerto trace a sequence from interaction to some sort of respite to complicity, from collaborative and creative exchange to accommodation. I associate this sequence with the underlying theme of comedy, the 'myth of spring,' as Northrop Frye expounded it many years ago. In this myth, the individual is incorporated into society and society is transformed. In one Mozartean comedic fiction, Tamino sues and wins entrance to the social order by playing on a magic flute. In seventeen others, Amadeus plays the fortepiano.[148]

The individual, or the solo, and society, or the tutti, interact throughout the three movements of the concerto so that by the end, the individual has integrated into society and society is thereby "transformed." The first movement is the arena of conflict or the "collaborative test situation," the slow movement is cooperative, or even an "interlude," and the third movement is collusive.[149] Stephen Keefe also

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[146]Tovey, *Essays in Musical Analysis*, 6-7.

[147]Susan McClary, "A Musical Dialogue from the Enlightenment: Mozart's Piano Concerto in G Major, K. 453, Movement 2," *Cultural Critique* 4 (1986): 129-168; Joseph Kerman, "Mozart's Piano Concertos and Their Audience," in *On Mozart*, ed. by James M. Morris (Cambridge: Cambridge University Press, 1994), 161.

[148]Kerman, "Mozart's Piano Concertos and Their Audience," 161-162.

[149]Ibid., 161.

views the solo/tutti interaction as a processive relationship in terms of an enlightened dialogue.[150]

H. C. Robbins Landon represents the Mozart Viennese piano concertos not in terms of solo/tutti dramatic relationship, but rather, as "pure music."[151] "It is the slow movement [Andante, K. 467], above all others, that shows the symphonic—or, if one will, the purely musical—character of Mozart's late concertos: the soloist, while still a soloist, is not allowed one bar of virtuosity, nor a single note which does not contribute to the general form. Mozart's concertos are no longer mere concertos, but pure music, in which the soloist is but one of the many executants."[152] For Landon, the drama of the late Mozart piano concertos is not so much in the relationship between the solo and the tutti, but rather in how all elements combine to create a musical statement. Thus the soloist's part is never written for the sake of pure virtuosity, or individualism. All parts work towards the whole effect. Charles Rosen and Leonard Ratner seem to have a similar opinion, though stated differently. Both are more interested in the dramatic effect of the piano concerto as a whole, rather than the solo/tutti relationship. Ratner describes the Mozart piano concerto as a counterpart to a "dramatic scena"[153] and Rosen views the relationship in terms of a dramatic form. "It should be noted here that this detachment of the soloist from the ripieno was not an invention of Mozart's but a gradual development during the century, a part of the general evolution of the articulated form and a consequence of

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[150]Stephen Keefe, *Mozart's Piano Concertos: Dramatic Dialogue in the Age of Enlightenment* (Rochester, NY: Boydell Press, 2001).

[151]The paper will interpret this statement as not indicative of "absolute" music, or music with no program, but rather, as music in which the soloist is not explicitly combating with the orchestra.

[152]Landon, "The Concertos: (2) Their Musical Origin and Development," 270.

[153]Ratner, *Classic Music*, 297.

the taste for clarity and dramatization; but only Mozart, of all the composers before Beethoven, understood the implications of this dynamic contrast between soloist and orchestra, and its formal and coloristic possibilities."[154] This essay will view the solo/tutti relationship in Landon, Rosen, and Ratner's terms. That is, the essay will look at the solo and tutti (in terms of strings and winds) as contributing to an overall form and effect, rather than solely in terms of the individual versus the crowd.

Issues of the Mozart Piano Concerto in D Minor, K. 466

The most prominent issue of the Mozart Piano Concerto in D Minor, K. 466 is its dramatic character. All reviewed literature see the entire concerto as tragic, some comparing the concerto to the Mozart/Da Ponte opera in the same key, *Don Giovanni*.[155] The D Minor Piano Concerto's key, associated with supernatural vengeance,[156] the *ombra* style[157] (including syncopations and strong cadential drive,) and the unity of the work[158] are elements of the concerto's tragic character. Other important issues of the concerto include the meaning of a solo entrance which differs

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[154]Rosen, *The Classical Style*, 197.

[155]For comparisons to *Don Giovanni*, see among others Rosen, *The Classical Style*, 228 and Kinderman, "Dramatic Development and Narrative Design in the First Movement of M's Concerto in C Minor, K. 491," 295. For the tragic style of the concerto, see among others Einstein, *Mozart, His Character, His Work*, 307, Rosen, *The Classical Style*, 235, Girdlestone, *Mozart and his Piano Concertos*, 312, John A.Rice, "Vienna under Joseph II and Leopold II," in *The Classical Era: From the_1740s to the end of the 18th century*, ed. by Neal Zaslaw (Houndmills, Basingstoke, Hampshire, and London: Macmillan Press Ltd, 1989), 145.

[156]Martin Chusid, "The Significance of D minor in Mozart's Dramatic Music," in *Mozart-Jahrbuch, 1965/66*, by the Internationalen Stiftung Mozarteum (Salzburg: Internationalen Stiftung Mozarteum, 1967), 87-93.

[157]Birgitte Moyer, "Ombra and Fantasia in Late 18th-Century Practice," in *Convention in Eighteenth- and Nineteenth-Century Music: Essays in Honor of Leonard G. Ratner* edited by Wye J. Allanbrook, Janet M. Levy, and William P. Mahrt (Stuyvesant, NY: Pendragon Press, 1992), 297, 300.

[158]Rosen, *The Classical Style*, 235; Landon, "The Concertos: (2) Their Musical Origin and Development," 259.

from the opening tutti theme[159] and the nature of the "happy ending" of the third movement in D major. Both Girdlestone and Allanbrook look to the happy ending as a triumph over hardship.

> With the significant emergence of the 'happy' theme, cutting the refrain short after the cadenza, it is impossible to think of mere 'escape'; there is a conflict and triumph here, and though the progress of the battle is traced less continuously and less consistently than in Beethoven, this feature, unique in a Mozart finale, should nevertheless be added to the list of Beethovenian traits already noticed in this concerto."[160]

This paper diverges from the interpretation of the happy ending signifying a restoration of a proper hierarchy (Allanbrook) or a triumph over adversity. The happy ending of the third movement is instead interpreted as a manifestation of irony.

Summary

This essay produces a topical analysis of the Mozart Piano Concerto in D Minor, K. 466 in the spirit of Leonard Ratner, Wye J. Allanbrook, and Kofi Agawu's works. Allanbrook's inspired topical analyses of the two Mozart piano sonatas, K. 332 and K. 333 in which she posits that topical content determines the form of a work are also a guiding principle for the piano concerto analysis. The topics are categorized according to the profound divisions between the high, middle, and low styles. The solo/tutti relationship are viewed in terms of overall dramatic effect between the piano, strings, and winds, rather than solely in terms of collusion or conflict between the individual instrumental groups.

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[159]David Rosen, "Unexpectedness" and "Inevitability" in Mozart's Piano Concertos," in *Mozart's Piano Concertos: Text, Context, Interpretation*, ed. by Neal Zaslaw (Ann Arbor: University of Michigan Press, 1996), 277.

[160]Girdlestone, *Mozart and his Piano Concertos*, 329. See also Allanbrook, "Mozart's tunes and the Comedy of Closure," 185-186 for the appropriateness of the happy ending in Mozart's music.

Karol Berger's three versions of the same narrative, or plot, (see "Topic Analysis applied to Mozart's Piano Concerto") fitted with the specific formal traits of the Leeson-Levin model for the Mozart concerto are utilized in order to look at first movement form and dramatic content. Kofi Agawu's concept of a composer's play with different elements of the music, as well as his view of the Mozart's String Quintet in D Major, K. 593 from four simultaneous analytical perspectives are also followed in spirit (though not necessarily utilizing the same analytical perspectives).

Finally, the paper questions Allanbrook's view of the fitting ending in D major. Through comparison of the final movement with the *opera buffa* genre, the paper argues that the comedic ending may be interpreted as ironic. The work's irony lies in the equally arresting tragic beginning and comedic ending. The author hopes to add her opinion on the tragic nature and comedic ending of K. 466 in light of the divisions between the high, middle, and low styles in the eighteenth-century.

CHAPTER THREE

ANALYSIS OF MOZART'S PIANO CONCERTO IN D MINOR, K. 466

Analytical Background for First Movement

Mozart's Piano Concerto in D minor, K. 466 is a dramatic work. The drama occurs at the surface level of topical and stylistic interaction, and also at the analytical level of structure. Depending on the level of topical and structural complexity within each of the three movements, the analysis, moving between the structural and the surface level, touches on three of the many layers of possible meaning. Firstly, the first movement's structure and themes are defined by the Daniel Leeson/Robert Levin paradigm for the first movement of a Mozart concerto. Secondly, the paper categorizes the topical surface of the piece within the high, middle and low styles. (The low style makes its debut in the last movement of the concerto.) The paper interprets these three layers of meaning as interacting, or "playing" with each other within a movement as well as across movements.

Leeson/Levin's purpose in the article "On the Authenticity of K. Anh. C14.01 (297b), a Symphonica Concertante for Four Winds and Orchestra" is to define a norm for the first movements of Mozart's concertos in order to discern the authenticity of K. Anhang C14.01.[161] Their purpose is not to note the individualities of each concerto, but rather, to generalize all of Mozart's concertos so that a typical form emerges. The Leeson/Levin paradigm is helpful in the context of this paper in that the idiosyncrasies of a first movement Mozart concerto more readily reveal

themselves. The disjunction between Leeson/Levin's structural paradigm (which does not deny idiosyncrasies) and the idiosyncrasy within an individual first movement is one of the examples where the region of Agawu's "play" enters. Agawu posits a mutual interaction between topical signs and structural signs, in this instance referring to Schenkerian analysis as the structural sign.

> My aim is not so much to effect a reconciliation between structure and the morphology of expression as to present a semiotic framework that not only accommodates but insists on the mutual interaction between the two. It is in the interaction between topical signs and structural signs, a notion that might be described in terms of play, that the essence of my theory lies.[162]

For example, the beginnings and endings of sections in the Leeson/Levin paradigm do not always coincide with the beginnings and endings of topics. The challenge is to view the disjunction as an opportunity for finding meaning.

One of the ways in which Agawu translates meaning from the disjunction of different analytical levels is through noting that one of the levels can momentarily take prominence. Agawu gives an interpretation of the play between harmony and topical surface in Mozart's String Quintet in C Major, K. 515/I.

> ...It would be too limiting to describe the bourrée figures introduced in measure 94 as simply giving profile to the underlying harmony. Could it in fact be that the opposite is true—that, because the harmonic motion is severely restricted to dominant-tonic confirmation, topics step into center stage to carry the dynamic sense of the passage?[163]

In short, Agawu's notion of the play between different analytical levels of a piece leaves ample room for multidirectional interaction. In the example given above, the

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[161]Daniel N. Leeson and Robert D. Levin, "On the Authenticity of K. Anh. C14.01 (297b), a Symphonica Concertante for Four Winds and Orchestra," *Mozart-Jahrbuch 1976/77*, (Internationalen Stiftung Mozarteum. Salzburg: Internationalen Stiftung Mozarteum 1978).

[162]Kofi Agawu, *Playing With Signs: A Semiotic Interpretation of Classical Music* (Princeton: Princeton University Press, 1991), 23.

[163]Ibid., 99.

play occurs between the background harmonic movement and the surface topics: the more interesting topical interplay pushes harmony to the background of the listener/analyst's attention. This paper will look at other directions and dimensions of the play between different analytical levels. In a sense, the major sections of the first movement play with each other because they differ from each other: how do the changing topics, harmony and instrumentation between these sections create meaning?

In some instances, the meaning of the play between analytical levels of the piece remains enigmatic. It is not the author's desire to try to solve complex phenomenon with simplistic explanations. However, when possible, this paper attempts to extract a humanist meaning from the play between different levels of the piece. As Kofi Agawu states, analysis thrives on speculation.

> Not all analysts will wish to carry the identification of topics per se to such an interpretive level, especially when the latter stages of the exercise involve speculation. Yet, it would be a poor analysis that ceased at the point at which the taxonomic enterprise came to an end. Data must be interpreted, and if that interpretation involves speculation, so be it.[164]

Analysis of First Movement

The D minor Piano Concerto/First Movement consists of a multidimensional and multidirectional struggle. The contrast of thematic styles defines the drama on the surface level of the piece. The high style, which the *ombra* and military march topics primarily define, tussles with the middle style. The middle style is what the paper interprets as the human desire to partake in earthly pleasures. The pastoral

[164]Ibid., 90.

topic is the principal manifestation of the middle style within this work.[165] The end of the first movement does not solve the struggle; rather Mozart convinces the listener that the solution to the struggle, because difficult, must be solved by the second and third movements of the concerto. The following is a chart of the major themes, key areas, topical content, and stylistic categories of the first movement.

[165]There exist different opinions as to which style the pastoral belongs. Kofi Agawu interprets the pastoral as belonging to the low style (Ibid., 87) and Allanbrook places it in the middle style.

	Primary Group of Orchestral Ritornello			
Theme	1	2		3
Style	high		middle	high
Topic	ombra		seufzer	military march
Key	dm			
Measures	1	16	23	28

	Secondary Group of Orchestral Ritornello						
Theme	4	5					6
Style	middle	high	middle	high	middle	high	
Topic	seufzer	ombra	seufzer	ombra	seufzer	ombra	
Key	dm						
Measures	33	44	51	53	56	58	71

	Primary Group of Solo Exposition			
Theme	N	1		3
Style	high			
Topic	aria	ombra		military march
Key	dm			
Measures	77	91	95	108

	Secondary Group of Solo Exposition			
Theme	4	D	E	(5')
Style	middle		high	
Topic	seufzer	gavotte		ombra
Key	dm	FM		
Measures	115	127	143	153

	Middle Ritornello		
Theme	2		6
Style	high	middle	
Topic	ombra	seufzer	
Key	FM		
Measures	174	181	186

	Development				
Theme	N	1	N	1	N
Style	high				
Topic	aria	ombra	aria	ombra	aria
Keys	FM	FM-V7/gm	gm	gm-V7/EbM	EbM
Measures	192	202 204	206	216 218	220

	Development cont.				
Theme	1	1	1	move to recap	(2')
Style	high				
Topic	ombra				
Key	fm	gm	AM	AM	dm
Measures	232	236	240	242	250

	Recapitulation				
Theme	1	2		3	4
Style	high		middle	high	middle
Topic	ombra		seufzer	mil march	seufzer
Key	dm				
Measures	254	269	276	281	288

	Recapitulation cont.		
Theme	D	E	(5')
Style	middle	high	
Topic	gavotte		ombra
Key	dm		
Measures	302	318	330

	Ritornello to Cadenza
Theme	2
Style	high
Topic	ombra
Key	dm
Measures	356

	Final Ritornello						
Theme	5				6	1'	2'
Style	high	middle	high	middle		high	
Topic	ombra	seufzer	ombra	seufzer		ombra	
Key	dm						
Measures	366	373	375	381	384	390	394

Fig. 3.1. Analytical Chart of Movement I[166]

[166]Each theme number refers to basic musical ideas that are repeated later in the movement. Thus the numbers are retained as absolute designations of each musical idea. For a key to the numbering, please see the Leeson/Levin model, Figure 2.1, pages 47-49.

The concerto opens with the strings playing an ominous *ombra* topic in d minor

Theme 1, measures 1-15.

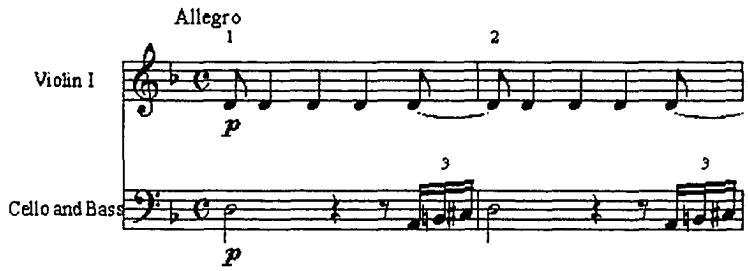

Fig. 3.2. Movement I, Theme 1 *ombra* topic, mm. 1-2

Allanbrook describes the etymology of *ombra.*

> The word *ombra* (from the Latin umbra) means 'shadow' or 'shade,' as of a tree, and thus 'shade' as 'specter' (the pun is available in Latin, Italian, and English). Scenes set in hell with oracular voices and choruses of infernal spirits were obligatory in the sixteenth-century intermedios...and were a popular feature of Italian—especially Venetian—opera of the seventeenth century.[167]

Birgitte Moyer cites Hermann Abert as one of the first to use the word "*ombra*" in his

book *Niccolò Jommelli als Opernkomponist.*

> Abert mentions 'Ombra Szenen' involving 'conjuring of ghosts' ['Beschörungen von Geistern'] as an important type in Neapolitan opera since Hasse's *Cleofide* from 1731, but taking on new dramatic significance in the operas of Jommelli. According to Abert a majority of Jommelli's operas after 1741 used *ombra* scenes....Typical of Jommelli's scenes are: a) unusual instrumentation—often muted strings and muted horns, 'in service of the horrifying and demonic,' in other cases less striking instrumentation with oboes, horns, and strings, sometimes also bassoons; b) bold harmony; c) a vocal line that is either exclamatory or in slow, sustained notes; and d) orchestral parts in either slow, sustained chords or a majestic march rhythm. [168]

[167]Allanbrook, *Rhythmic Gesture,* 361.

[168]Hermann Abert, *Niccolò Jommelli als Opernkomponist* (Halle: Max Niemeyer, 1908), 121-122; quoted in Ibid., 288.

Moyer notes that eighteenth-century writers did not use the word "*ombra*" to designate a musical style. She justifies the discussion of this topic through the large body of eighteenth-century music dealing with man's interaction with the supernatural.

> But this writer has not found a collective discussion of all aspects of the style, nor indeed any mention of the word *ombra* in the eighteenth century. Then why bother studying it? The answer to that question lies in the music itself. There exists a body of music with an expressive intent so obviously suggestive of man's terror and awe of hell that it cannot be overlooked.[169]

Instrumental works may also contain the same musical characteristics of opera *ombra* scenes. Moyer specifically lists qualities of the first movement of the D Minor Piano Concerto as having *ombra* characteristics. These include the key of d minor,[170] "restless motion and syncopation" indicating fear,[171] and strong cadential drive (mm. 1-16).[172]

Ombra music is in the high style because it conjures the grandest affects. Moyer lists Johann A. Scheibe's categorization of affects in the high style. "The affects listed by Scheibe as suitable for the high style are magnanimity, majesty, tyranny, magnificence, pride, astonishment, anger, fear, fury, revenge, rage, and despair—all feelings readily representative of supernatural and diabolical beings."[173] The *ombra* topic generally refers to the supernatural and can vary in its moral resonance. This music may vary from accompanying the audience "gazing" at Hell/Hades to the example of *Don Giovanni*, where the Commendatore dispenses final judgment on the hero's soul.

The similarity of the D minor concerto to *Don Giovanni* has been well commented upon. William Kinderman states that "a parallel to the D-minor concerto is quite obvious, because of its key, its thematic similarity to the music accompanying the

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[169]Moyer, "Ombra and Fantasia in Late 18th-Century Practice," 288.
[170]Ibid., 293.
[171]Ibid., 296.
[172]Ibid., 300.

death of the Commendatore, other shared features, such as the prominent use of chains of syncopations, and even the resolution into the major mode at the conclusion."[174] Both works also prominently use the *ombra* topic. The topic sets wide dramatic perimeters for the work so that earthly activity is included within the greater world of the supernatural. Allanbrook defines the meaning of the *ombra* topic in Mozart's opera, *Don Giovanni*.

> The *ombra* music gives the world Mozart created in *Le nozze di Figaro* a further moral dimension; it suggests a new height for aspiration and a new capacity for cruelty and wrongdoing, both of which were unthinkable before when one's vision was bounded by the limits of the terrestrial social hierarchy. It expands our perspective on the world to include the penumbra above and below the human order, suggesting that what is about to be encountered is a kind of human action which is either too noble or too base to be encompassed within the narrower limits of merely human judgment.[175]

Both works also deal with the results and complexities of this widened dramatic perimeter: the supernatural and mortal interact uneasily. Neither work offers a simple solution to the moral situations it creates.[176]

Theme 2 comprises mm. 16-27.

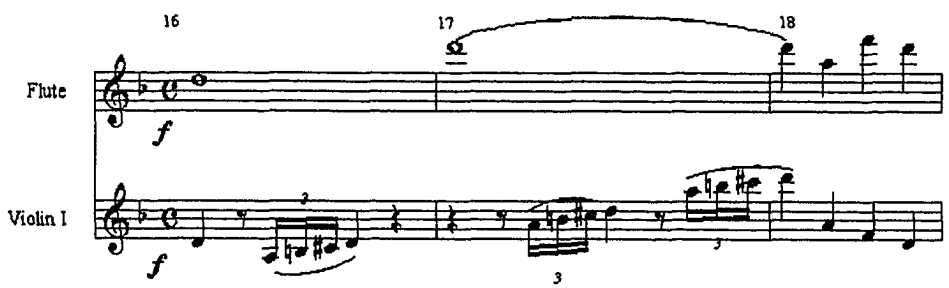

Fig. 3.3. Movement I, Theme 2 *ombra* topic, mm. 16-18

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[173]Ibid., 291.

[174]Kinderman, "Dramatic Development and Narrative Design in the First Movement of M's Concerto in C Minor, K. 491," 295.

[175]Allanbrook, *Rhythmic Gesture*, 198.

[176]Although it is the case that the opera is be more specific in dramatic content than the instrumental work, *Don Giovanni* is notoriously controversial in its content and resolution.

The *ombra* topic in mm. 16-22 are still present but the *forte* dynamic and participation of the full orchestra is new. This is in keeping with the description of Theme 2 as "...a more active forte passage."[177] Mozart releases the subdued intensity of the 16th note triplet figures in Theme 1 through lifting the figures two octaves in mm. 16-17. The forte dynamic, full orchestration, and the extension of the first violin's range give the effect of unleashed power and emphasis on the *ombra* topic.

An example of Agawu's notion of "play" enters in mm. 23-27.

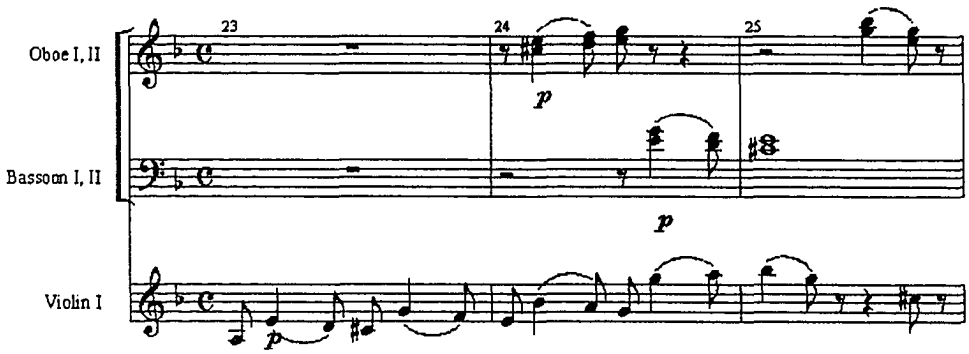

Fig. 3.4. Movement I, Theme 2 *seufzer* topic, mm. 23-25

These measures are disjunctive with the Leeson/Levin structural paradigm. The topical content contrasts with the previous measures' high style *ombra* topic. *Fortes* momentarily change to *pianos*. The orchestra partitions itself so that the strings and the woodwinds exchange *seufzer* (sigh) motives. Traits of the *seufzer* topic include Mozart's two-note phrase markings beginning in m. 25 and the *piano* dynamic. The play between the topical sign and the structural paradigm alerts the listener to this small section's consequence: this is the first appearance of a middle style topic within the concerto.

[177]Daniel N. Leeson and Robert D. Levin, "On the Authenticity of K. Anh. C14.01 (297b), a Symphonica Concertante for Four Winds and Orchestra," *Mozart-Jahrbuch 1976/77*, (Internationalen Stiftung Mozarteum. Salzburg: Internationalen Stiftung Mozarteum 1978), 90.

Allanbrook speaks of the *seufzer* motive in conjunction with the Don Giovanni/Zerlina duet, "Là ci darem la mano."[178] Zerlina pleads in mm. 25-27 "*presto non son più forte*" or as Allanbrook translates "soon I am no longer strong."[179] The seduction duet is in the middle style and Zerlina's sighs offer a gentle lover's plea. While it is not clear that the *seufzer* motive in mm. 25-27 of the concerto translates into erotic coyness, it does introduce a teasingly pleading character, *piano* dynamic, and the gentle orchestration of the oboes and bassoons. In this respect, mm. 23-27 are in the middle style.

There are moments within the concerto in which there exists a counterpoint between the high and middle styles such as in mm. 23-27. In these measures, the emphasis on beats one and three, 4/4 meter, as well as limitations of tempo are the prime parameters of the exalted march. At the same time, as stated above, the *seufzer* motives point toward the middle style. Perhaps this simultaneity of the high and middle styles is not so much meaningful in a programmatic way but rather, is another example of Mozart's musical complexity. Agawu analytically, rather than programmatically, explains the simultaneity of topics. His term, "structural rhythm," is the moving in and out of different musical parameters through which each topic can manifest itself. He analyzes the topics of the first twelve measures of the Mozart Piano Concerto in C Major, K. 467/I.

> In these twelve measures, rhythm (including meter) holds the fort. It is, for one thing, the dominant parameter of the opening march. When the singing style emerges as a melody-biased topic, it does so as an additional layer superimposed on the march....Now notice the various levels of dynamic transition between these two topics. Meter is present in march, but not absent in singing style; this makes it possible, perhaps necessary, for meter to remain perceptible when the music moves

[178]Allanbrook, *Rhythmic Gesture*, 266.
[179]Ibid., 376.

> from march to singing style....An analysis of topical process in this movement would therefore be based on these dynamic transitions between individual parameters or groups of parameters....It is the...moving in and out of topics...that I have described as a structural rhythm.[180]

The exalted march topic can support both middle and high style topics because the other musical parameters such as harmony, melody, and instrumentation are not the march's prime indicators. The emphasis on beats one and three rhythmically support the mainly melodic and phrase oriented *seufzer* topic.

Mm. 28-32, Theme 3, the half-cadence on the dominant, interrupt the *seufzer* topic with a *forte* military march topic.

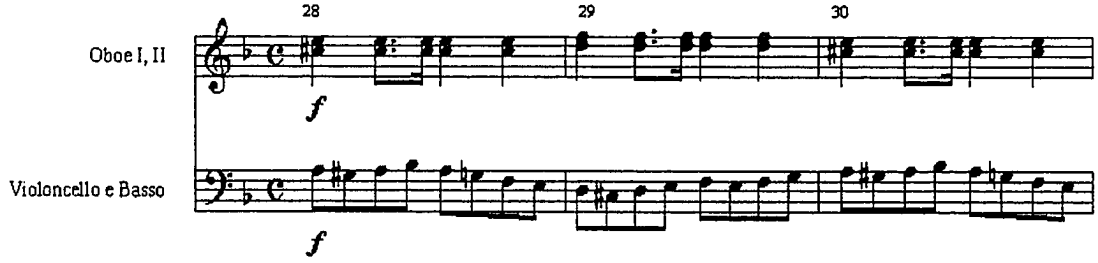

Fig. 3.5. Movement I, Theme 3 military march topic, mm. 28-30

Allanbrook places the infantry march on her Metrical Spectrum[181] as expressing the exalted or high passions. The march's higher order of beat groupings mimics the stately movements of a courtly dance. Instead of stressing all four beats, the infantry march stresses beats 1 and 3. The dotted rhythm on beat 2 moves the emphasis to the quarter note on beat three. She also defines the military march as the "original *Gebrauchsmusik* (music written for a practical purpose, or 'occasional music')."[182] She portrays the march as "support[ing] the activity of the marcher," but in the particular example of the D minor

[180]Agawu, 38-39.
[181]Allanbrook, *Rhythmic Gesture*, 67.
[182]Ibid., 46.

Concerto, the march compels the marcher to move on. The *forte* dynamic, the dotted rhythms on the second beats, and the unison woodwinds and driving strings starkly contrast with the pleading, *piano*, *seufzer* topic of mm. 25-27. Theme 3 is the temporary rebuttal of mm. 25-27 and for the first time, the listener may hear a large-scale struggle emerging.

Themes 1-3, the primary group of the orchestra ritornello, provide a blueprint for the dramatic landscape for the entire concerto. The high and middle styles contrast with each other through change of theme, dynamics, orchestration and structure. The *piano ombra* beginning expands the normal dramatic spectrum to include the supernatural. The *forte* dynamic as well as full orchestral force of Theme 2 realizes the ominous mood of Theme 1. Mm. 25-27 within Theme 2 issue a temporary reprieve through the middle style *seufzer* motive and *piano* dynamic. The structural idiosyncrasy of these measures highlights the importance of the middle style topic. Theme 3's march starkly contrasts with the mood of mm. 25-27. The struggle in the primary group is between the imperative and the pleading, or the high and the middle styles.

Mm. 33-43 make up Theme 4, the *piano* lyric theme extended to the perfect cadence on the tonic.

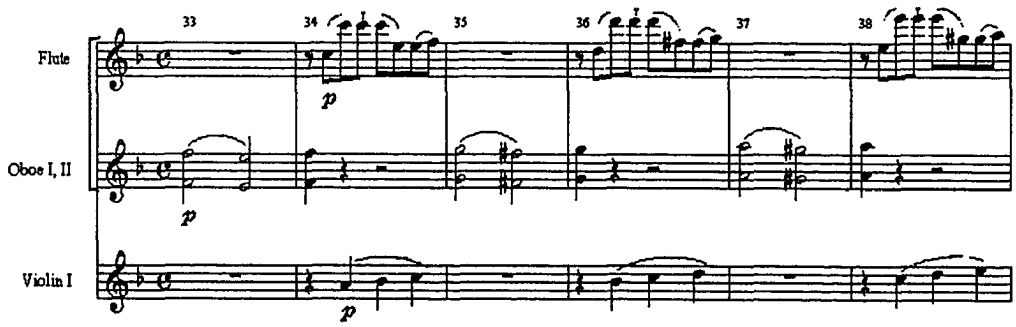

Fig. 3.6. Movement I, Theme 4 *seufzer* topic, mm. 33-38

The melody and phrasings make up the *seufzer* topic in the middle style. This is the first theme whose melody is entirely in the middle style topic. Through its harmonic density and beauty, this section extends the mood of mm. 25-27 and draws the listener into the pleasures of the pastoral. The harmony rises gently to F major, G minor, and A minor. The woodwinds in mm. 33, 35, and 37 play a *seufzer* topic—the neighbor tones giving impetus to the downbeats of measures 34, 36, and 38. The energy of the *seufzer* transfers to the flute line in the same measures. The flute line contains elements of the *seufzer* topic and also foreshadows the new theme (N) of the solo piano entrance in m. 77 through the ascending octave and the descending sixth. The *seufzer* motive morphs into the coming *aria* topic of Theme N.

The second half of Theme 4 (mm. 39-43) freezes the listener in the world of the middle style: one may indulge in the pleasures of the pastoral. The oboes in mm. 39-43 gently hover over the dance-like interchange between the first and second violins.

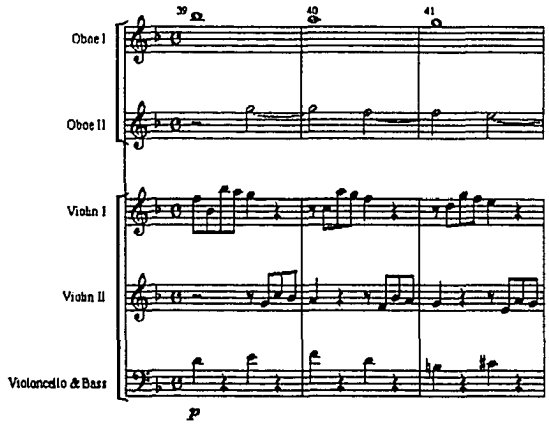

Fig. 3.7. Movement I, Theme 4 second half, mm. 39-41

The major second harmony on the first beats of mm. 40-43 results from the two-beat delay between the first and second oboe lines. Both melodic lines lead to D; meanwhile, there are gentle tonicizations of B-flat, F, and G major.

Theme 5 (mm. 44-70) draws the two principle themes together: the *ombra* topic and the middle style *seufzer*. Theme 5, like Theme 2, contains the *seufzer* topic which "plays" with the structural paradigm through its contrast with the *ombra* style. The *forte* and *sforzando* dynamic in mm. 44-46, the rapidly rising chromatic lines of the strings and bassoons, and the descending outline of the Neapolitan sixth in m. 49 are intensified traits of the *ombra* style. However, the *seufzer* topic, with the contrasting *piano* dynamic, interjects among this flurry of orchestral activity in mm. 51-52 and 56-57.

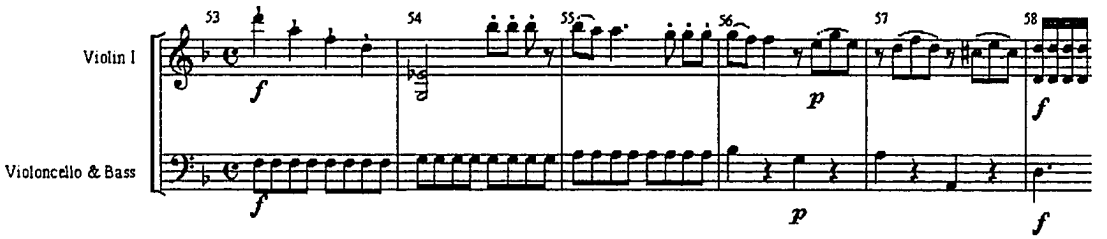

Fig. 3.8. Movement I, Theme 5 *ombra* and *seufzer* topic, mm. 53-58

The play between the two topics accentuates the contrast between the high and middle styles; however, unlike Theme 2, the two styles seem to be fused. Each *ombra* beginning at mm. 44, 53, and 58 ends strangely in a whispered *seufzer* topic. The supernatural cowers.

Theme 6—mm. 71-76—combines the rhythmic instability of the opening measures of the movement with the rhythmic and melodic traits of Theme 4.

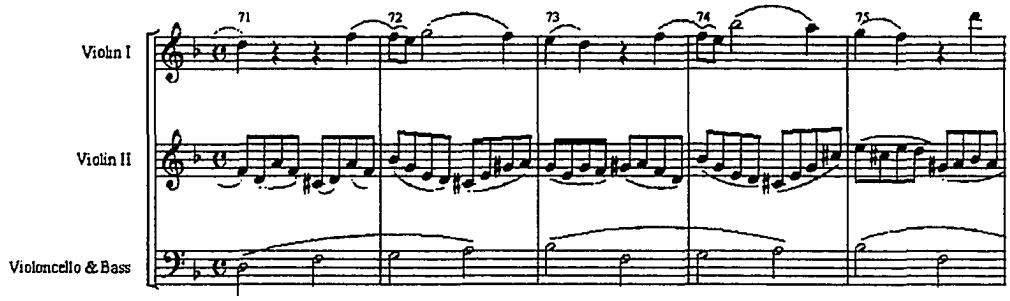

Fig. 3.9. Movement I, Theme 6 syncopated *seufzer* topic, mm. 71-75

The violin offbeats result in a syncopated effect resembling the opening violin line. The *seufzer* topic is in the first violins' melody in mm. 72-75. However, unlike the playfully pleading *seufzer* topic in Theme 4, the first violin's pleading in mm. 72-75 resemble a supplication. The half-note G in m. 72 raises to the half-note B-flat in m. 74. The fusion of traits from Theme 1 and Theme 4 in Theme 6 results in a melancholy and searching precursor to the piano entrance.

Interjection and contrast between the high and middle styles typify the opening orchestral ritornello. The middle style interrupts the *ombra* topic often within a section, asserting its importance through its differentiation. The Theme 3 infantry march interrupts the previous measures of the *seufzer* middle style. The contrasting high and middle styles, or what I call imperative and pleading styles, follow one upon the other in turn with neither style dominating. The ritornello's contrasting styles foreshadow the idiosyncratic nature of the piano entrance in m. 77. Not only does the piano enter with a new theme, but it may also be interpreted as intruding upon the orchestral ritornello through beginning immediately after the orchestral close.

The entrance of the piano in m. 77 resembles that of a virtuoso soprano in a high style *opera seria da capo* aria. Ratner describes the similarity of effect between the aria

and concerto form: "Classic concertos, especially the later piano concertos of Mozart, sometimes have a flavor of the aria, introducing the soloist with a lyric theme."[183] Alfred Einstein calls this piano theme a "*recitativo in tempo*."[184] Indeed, the irregularity of the phrase content and the complexity of the musical ideas in this theme resemble a recitative.

Each four-measure phrase of the entering piano Theme N is not simply answered by the next four measures. The musical ideas are extended in the manner of a complex argument.

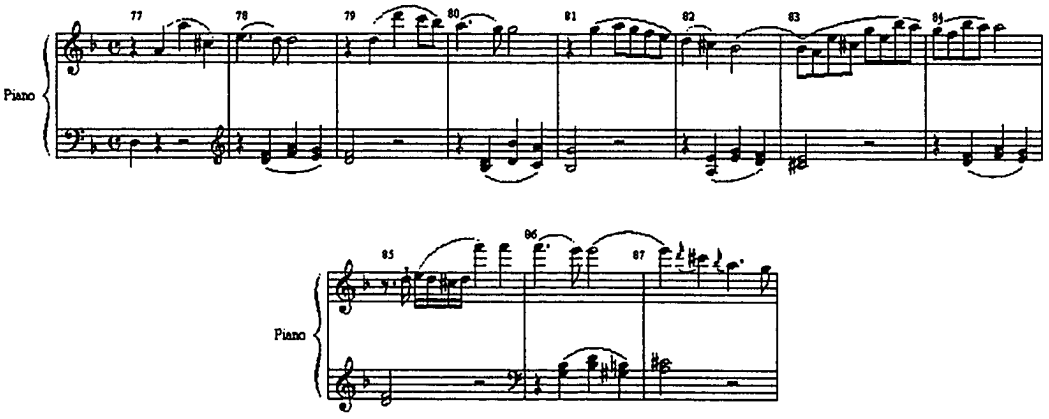

Fig. 3.10. Movement I, Piano Solo, Theme N, mm. 77-87

Each of the two-measure phrases of 2 + 2 + 2 + 2 + 3 rhythmically varies from each other. Specifically, the rhythm gets denser with each two-measure phrase, as does the harmonic movement in the final three measures of Theme N. The piano's theme is not only new, but more importantly, it transforms the simple, contradicting topics of the orchestral ritornello into a fully drawn out complex statement.

[183]Ratner, *Classic Music*, 283.
[184]Einstein, *Mozart, His Character, His Work*, 307.

Theme N famously deviates from the structural paradigm of the Mozart piano concerto by being a completely new theme. Theme N seems to mediate the opening ritornello's contrast between the high and middle styles through the introduction of new elements to the argument. Although Theme N makes use of the middle style *seufzer*, and alludes directly to the flute melody of mm. 34, 36, and 38 (see Fig. 3.6.), it is primarily in the high style. Rather than tipping towards the supernatural or imperative, it is noble. Through Theme N, Mozart "humanizes" the high style.

Arthur Hutchings' "principle of variety in the order of themes"[185] results in a sense of dramatic progression from the orchestral ritornello through the solo exposition. The impressive piano entrance demystifies the sense of foreboding that the *ombra* topic brought to the orchestral opening of the movement. The piano, the protagonist, takes control of the orchestra and leads it through m. 111. Hutchings' concept applies equally to the infantry march played by the piano beginning in m. 108. The preceding *ombra* theme in m. 91 lessens the shocking effect of the march. (In the orchestral ritornello, the march was preceded by a *seufzer* topic and *piano* dynamic, making the march sound like a forceful imperative.)

Throughout Theme 4 beginning in mm. 115, the piano continues to achieve thematic and structural importance. The piano is not only a virtuoso soloist; more tellingly, in mm. 116 it realizes the flute's foreshadowing of the piano Theme N (See Fig. 3.6.). In mm. 121-123, the piano decorates and expands the woodwind theme from the orchestral ritornello (one may still hear the harmonic minor seconds a/g in m. 121 and g/f in m. 122, as one heard in mm. 40-41) into a transition to the polar key of F major. Mm.

[185]Arthur Hutchings, *A Companion to Mozart's Piano Concertos* (New York: Oxford University Press, 1989), 13.

121-123 are particularly beautiful for their evocations of the *mezzo carraterre* pastoral: the string accompaniment dances and the piano part echoes the woodwinds. Rather than rejecting the pastoral mood through the return to the *ombra* topic (as was done in the orchestral ritornello), Mozart uses the second half of Theme 4 as an introduction to the pastoral Theme D.[186]

Theme D, mm. 127-142, is the second new theme of the solo exposition in the polar key of F major.

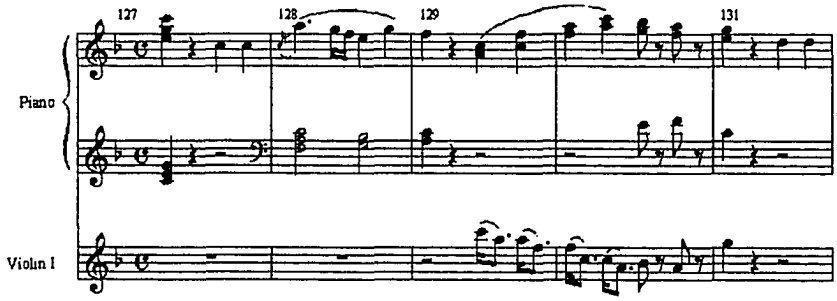

Fig. 3.11. Movement I, Gavotte Topic, Theme D, mm. 127-131

Theme D is a gavotte: a *mezzo carrattere* dance suggesting the pastoral. Allanbrook describes the metrical arrangement of the gavotte.

> The gavotte retains the symmetry of the 4/4 measure, only to turn it inside out: beat 3, the 'weak strong beat' of the march, becomes the first beat of the gavotte pattern without, however, usurping the proper position and accentuation of the 'true' beat 1. This transposition creates a situation which is anomalous in duple meter: it leaves only one actual weak beat among the four:
>
> \- - / - , - - / -
> 3 4 1 2 , 3 4 1 2[187]

The Theme D gavotte is the answer to the middle style *seufzer* topic of the orchestral ritornello. Instead of answering the pleading nature of the *seufzer* topic with further

[186]Theme D is called "D" because the Leeson/Levin paradigm states that some of the Mozart concertos contain Themes A-C. However, this particular concerto doesn't. In the paradigm, the secondary theme is consistently named Theme D. See page 47 above.

exhortations, it is a happy and simple celebration of the pastoral. The strings accompany the piano solo with light *seufzer* motives. The sighs, rather than pleading, are bubbly: Mozart playfully reverses the long-short seufzer rhythm with a snaplike short-long pattern. When the woodwinds repeat Theme D in m. 136, the piano replaces the string accompaniment with more exuberant scales.

The pastoral is a result of the higher classes' fantasy life—a place in which the artificially natural garden could exist. The inherent oxymoron of the pastoral—the artificially natural—makes the gavotte a perfect pastoral topic.

> The affect of the gavotte is itself an oxymoron—a coy reserve, a teasing primness. This captured contradiction is plainly what made the gavotte a successful gesture for another world of oxymoron—the artificially natural garden of courtly shepherds and rustic nobles.[188]

The fantasy life of the pastoral is inherently contradicting; thus has a potential to be ironically treated.

Mozart treats the pastoral-gavotte theme in the concerto in the same ambiguous terms as he treats the pastoral topic in *Don Giovanni*. "*Là ci darem la mano*," the pastoral duet between Zerlina, the peasant girl, and Don Giovanni, the noble is at the same time seductive and menacing. The seemingly innocent teasings of the pastoral could be seen as the noble's fantasy in which the shepherd/ess and the country simply exist for his/her pleasure. This concerto gavotte is the full realization of the *mezzo carrattere* style hinted in the orchestral ritornello in mm. 23-27 (Fig. 3.4.), and is also both seductive and menacing. Its return in the recapitulation is in D minor, an ominous coloring of the theme.

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[187]Allanbrook, *Rhythmic Gesture,* 49.
[188]Ibid., 52.

Theme E, "the final perfect cadence of the solo exposition,"[189] begins in m. 143. The piano plays the first half of the Theme 5 *ombra* topic in mm. 153-156 and in mm. 159-161 (the orchestra introduced the theme in mm. 44-47). The pianistic virtuosity, and the reprise of Theme 5 topic point to the high style. The high-style chromaticisms and virtuosic runs drive the piece to the resolution of the perfect cadence in the polar key of F major in m. 174.

The piano assumes an important role in the dramatic progression of the solo exposition. The piano's entrance on the new Theme N produces a domino effect in which the ordering of themes in the solo exposition differs from the orchestral ritornello. In turn, the change in the thematic order softens the orchestral ritornello's extreme contrasts between the high and middle styles through the prominence of the solo piano, the omission of Theme 2 and the introduction of the middle-style Theme D.

The development section contains the crux of the struggle between the imperative and the pleading. Hutchings suggests that the presence of both the *ombra* theme and Theme N in the development is a manifestation of their equal prominence.[190] The *ombra* topic is the purveyor of supernatural vengeance; Theme N is the humanistic voice that argues its case. By the end of the development, the piano solo dominates, again mediating the extremes of the *ombra* and aria topics. The *ombra* topic chases Theme N through the key areas of G minor, and E-flat major in mm. 204 and 218, forcing a

[189]Daniel N. Leeson and Robert D. Levin, "On the Authenticity of K. Anh. C14.01 (297b), a Symphonica Concertante for Four Winds and Orchestra," 90-91.

[190]Hutchings, *A Companion to Mozart's Piano Concertos*, 9.

dramatic change of key between each solo statement of Theme N.

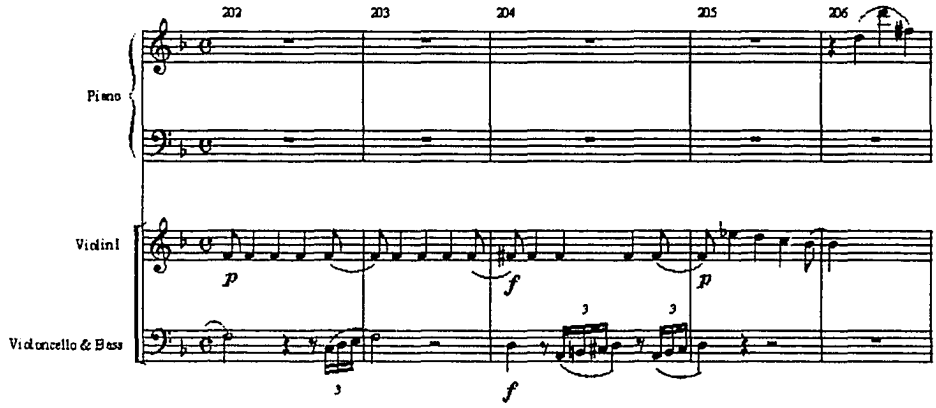

Fig. 3.12. Movement I, *ombra* topic moving into G minor, mm. 202-206

While the piano pliably varies each entrance of Theme N, the orchestra stays mechanically the same in mm. 202 and 216. The piano starts its bravura passagework in m. 230 and reduces the orchestra to a two-measure *ombra* accompaniment. Taking the leading role at the end of the development, the piano pushes through the keys of F minor, G minor and finally to A major (V/d) in m. 242. A broad harmonic cadence on V/d prepares the recapitulation in m. 254. Like the end of the exposition, the piano ends the development with virtuosic high-style passages.

In mm. 250-252, the piano prepares the recapitulation with the latter half of the Theme 2—2 '—from mm. 21 and 22, which originally introduced the first appearance of the *seufzer* topic in mm. 23-27. At last moment, the piano toys with the *seufzer* topic—m. 252-253—but the pleading nature of the topic is never realized: the piano instead cancels it with *forte* octaves in the last half of m. 253 which in turn begins the Theme 1 *ombra* topic.

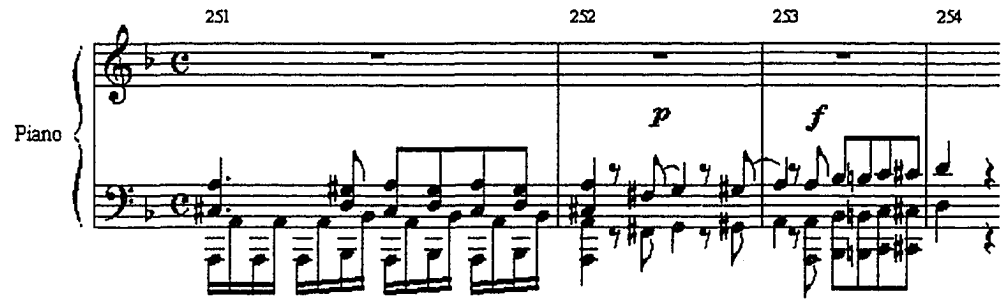

Fig. 3.13. Movement I, Theme from Section 2 (2') leading into Recap, mm. 251-254

As a result of the drama of the development, the piano becomes the dominant and more complex character of the drama. It shows its adaptability through the spectrum of styles from the high-style Theme N to the middle-style Theme D and finally to the imperative *forte* octaves of the development. As the authority of the piano grows, the orchestra becomes more subdued. This not only changes the nature of the two forces' exchange, but also the emotional register of the movement. The dominant piano presence blends the high and middle styles together resulting in a changed emotional hue in the recapitulation and final ritornello.

The recapitulation begins in the same way as the opening orchestral ritornello and follows the same thematic order through Theme 4 (m. 301). The main difference between the orchestral ritornello and recapitulation is the inclusion of the piano in all major sections. (This is the effect of the influence of the exposition and development on the drama.) The piano shows its adaptability once more by joining the orchestral ensemble. It joins the orchestra in Theme 1 (m. 261) and in Theme 2 (m. 278), and it begins the infantry march of Theme 3 (m. 281). The piano's presence tones down the ferocity of the orchestra (although it can also play ferocious themes). For acoustic reasons alone, the orchestra must quiet down so that the piano can be heard. The

recapitulation is mellower than the opening orchestral ritornello and solo exposition in acoustic and dramatic terms.

The repeat of Theme D in m. 302 in the tonic key of D minor casts a shade over the recapitulation. Whereas the woodwind texture in the exposition gives the theme buoyancy, the woodwinds in the recapitulation in m. 310 are a pale reflection of happiness. Unlike Theme D in the exposition, Mozart adds the melancholy tones of the *piano* cornets in mm. 312 and 317. The recapitulation Theme D makes explicit the dark undertones of the gavotte and the pastoral.

The first movement ends with an expectant note: what can happen next? Mozart uses Theme 6 in m. 384 and the tag ending of the Section 2 theme in m. 394 (2' in movement I chart, figure 3.1) to achieve this complex dramatic effect.

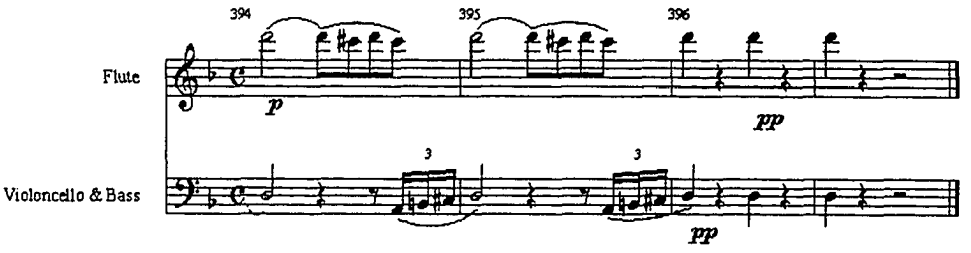

Fig. 3.14. Movement I, Theme 2 (2'), mm. 394-end

Mozart uses both of these themes throughout the movement between important structural sections. Theme 6 occurs three times in the movement: at the end of the opening orchestral ritornello after which the piano solo enters on Theme N; at the end of the Middle Ritornello (m. 186) after which the piano again enters on Theme N for the development; and here at the end of the Final Ritornello (m. 384) after which a varied Theme 1 and 2 appear. Theme 2' occurs twice: most memorably at m. 250, the end of

the development and the introduction to the recapitulation and in mm. 361-362 immediately before the cadenza. Because Mozart placed these themes at important structural points, the listener, after hearing these two themes at the end of the movement, expects the beginning of another important section. It sounds as if Mozart has ended the movement mid-cycle.

Throughout movement I, the increasing thematic dominance of the piano solo weakens the contrast between the high and middle styles. The orchestral ritornello emphasizes the extreme polarity between the high-style *ombra* and military march topics and the middle-style *seufzer* topic. By the recapitulation, however, the piano, through participating in all major sections, forces the orchestra to compromise both acoustically and topically. Although the orchestra ends the movement with the *ombra* topic, the hushed *pianissimo* makes it seem self-doubting. The ending is not peaceful: it is the calm before the storm of Movement II/ Section C.

Analytical Background for Second Movement

The Romanza is an enigmatic movement for its apparent simplicity, its stormy C section, and its relationship to the concerto as a whole. Many consider the movement to be a relief, even an "escape"[191] from the grim first movement. Girdlestone states this most eloquently.

> If anything in music depicts the moment when after a storm the sun shows its face and drives away the last shreds of cloud, the theme which opens this concerto's second movement does it. Nothing more fragrant and more springlike exists in all Mozart. There still abides in the air a slight humidity left by the storm and the face of the sky, though calm once more, is glimpsed through a hanging veil of moisture.

[191]Grayson, *Mozart: Piano Concertos no. 20 in D minor, K. 466, and No. 21 in C major, K. 467*, 59.

Everything has taken on a brighter hue; everything revives after the tempest.[192]

Rather than escaping the first movement's turbulence, the second movement extends the pastoral topic most prominent in Theme D/I. Again, in this movement Mozart treats the pastoral topic as a many-layered subject, both simplistic and also menacing.

Mozart heralds the peaceful nature of the movement with the title "Romanza." The term suggests a musical form and a dramatic scena: the Romanza is a musical topic. Jack Sage and Susana Friedmann give a thorough accounting of the history of the Romanza as well as its use from the 15th to the 20th centuries

> In France and Germany the term [romanza] came to indicate an extravagant, sentimental or 'romantic' tale in either prose or strophic verse. Since the 18th century vocal and instrumental settings entitled 'romance' have continued to express these 'romantic' and lyrical qualitites (in this sense, the appropriate Spanish word is 'romanza').[193]

In the case of instrumental music, the romanza is usually a rondo, as stated by Heinrich Koch.[194] The romanza is a lyrical, naïve melody with elements of a "warm love poem from Southern Europe."[195] Roger Hickman cites Jean-Jacques Rousseau's definition of a proper musical setting for the romance. "Rousseau (*Dictionnaire de Musique*, 1768) presented the first primarily musical definition of the term, suggesting that the melody should reflect the qualities of the poem: 'point d'ornemens, rien de maniéré, une mélodie

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[192]Cuthbert Girdlestone, *Mozart and his Piano Concertos* (Norman: University of Oklahoma Press, 1952), 319.

[193]Jack Sage and Susanna Friedmann, "Romance," in *The New Grove Dictionary of Music Online* ed. L. Macy [Database on-line]; available from *The University of Oklahoma Libraries*, <http://libraries.ou.edu/custom/EasyAccess/index.asp?> (Accessed 19 October 2002).

[194]Grayson, *Mozart: Piano Concertos no. 20 in D minor, K. 466, and No. 21 in C major, K. 467*, 60.

[195]Roger Hickman, "Romance," in *The New Grove Dictionary of Music Online* ed. L. Macy [Database on-line]; available from *The University of Oklahoma Libraries*, <http://libraries.ou.edu/custom/EasyAccess/index.asp?> (Accessed 19 October 2002).

douce, naturelle, champêtre' [no ornaments, no mannerisms, a sweet melody, natural, rustic]."[196]

Grayson links the archaic nature of the Romanza of K. 466 specifically to the pastoral setting through the B-flat pedal point in the piano's bass line.

> This evocation of a past, and of a lost innocence, certainly contributes to the poignancy of the music, and presumably this quality would have been sensed even by Mozart's audience. It may be going too far to hear in the pedal-point 'drone' and gentle rocking motion of the opening phrase a hint of the rustic or the pastoral, but these features add to the subtle sense of longing or even nostalgia that lies beneath the music's surface simplicity.[197]

The dramatic scena of this Romanza is the pastoral with its many emotional associations. Mozart, in the beginning of this movement, specifically evokes the topic of the Musette, an instrument associated with the pastoral.

The Musette is a "small bagpipe, especially one of aristocratic design which achieved popularity in France in the 17th and early 18th centuries."[198] The instrument itself has a drone and a small range. A small bellows supplies air to the bag.[199] Because of its associations with the pastoral, the musette topic is in the middle style—that style connoting ease and happiness. This instrument, like the pastoral topic, is an example of the countryside evoked through an aristocratic instrument. Allanbrook states this eloquently: "The instrument was highly popular in the French court, a real country instrument 'pastoralized' along with the real country."[200]

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[196]Jean-Jacques Rousseau, *Dictionnaire de Musique*; quoted in Ibid.

[197]Grayson, *Mozart: Piano Concertos no. 20 in D minor, K. 466, and No. 21 in C major, K. 467*, 60.

[198]Robert A Green, "Musette," in *The New Grove Dictionary of Music Online* ed. L. Macy [Database on-line]; available from *The University of Oklahoma Libraries*, <http://libraries.ou.edu/custom/EasyAccess/index.asp?> (Accessed 19 October 2002).

[199]Ibid.

[200]Allanbrook, *Rhythmic Gesture*, 52.

The drone, or pedal point, of Mozart's Romanza directly refers to the musette that in turn refers to a pastoral scene. As Grayson notes above, there may be a hint of nostalgia and longing underneath the surface of this "naïve" melody. Allanbrook also alludes to this sense of longing inherent in the pastoral-musette topic.

> Compan, in his *Dictionnaire de danse*, after describing the pastoral festivals of ancient times in which shepherds danced the musette, gives a nostalgic sigh for the mythical simple life of old: 'One regrets not living in a country where people knew no other ambition than to please, and no other occupation than that of loving and being happy.'[201]

The longing may be for several different versions of a kind of paradise that the pastoral setting represents. Geoffrey Chew lists some of them.

> Arcadia or its equivalent can be an eschatological religious symbol, where the wolf lies down with the kid or where Christ is the Good Shepherd....Or it may be a symbol of Nature whose response to the sacred, or to art, is immediate and authentic....Or it may be a symbol of the ideal to which the artist vainly aspires.[202]

The middle movement of the concerto represents a longing for the ideal, whether it be religious, artistic, or perhaps even both.[203]

The C section (the second couplet of the ABACA form) provides the principal contrast to the middle-style beginning. Girdlestone's "tempest" in G minor hearkens back to the *ombra* topic of the fiery first movement. Alfred Einstein interprets the C section as a return to the first movement's "furies."

> ...the pianissimo conclusion of the [first] movement is as if the furies had simply become tired out and had lain down to rest, still grumbling, and ready at any instant to take up the fight again. And they do take it up again, in the middle section (in G minor) of the Romanza, which begins and ends in such heavenly tranquility. Mozart never included stronger contrasts within a single work, contrasts among the

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[201]Ibid.

[202]Geoffrey Chew, "Pastoral," in *The New Grove Dictionary of Music Online* ed. L. Macy [Database on-line]; available from *The University of Oklahoma Libraries*, <http://libraries.ou.edu/custom/EasyAccess/index.asp?> (Accessed 19 October 2002).

[203]Richard Will gives the fascinating argument that the final movement of Beethoven's *Pastoral* Symphony refers to the religious idyll restored. See Richard Will, "Time, Morality, and Humanity in Beethoven's *Pastoral* Symphony," *Journal of the American Musicological Society* 50 (1997): 271-329.

three movements as well as within each movement individually.[204]

Charles Rosen gives a similar structural explanation for the middle section of the movement. "The power of this tragic character is such that it even spills over into the slow movement; if we isolated this movement, the Romanza, from the others, its dramatic middle section would be inexplicable."[205]

The C section not only looks back to the *ombra* topic of the first movement; more specifically it is the storm within the pastoral idyll of the Romanza. Placing a storm section within a pastoral was a common practice in the late eighteenth century, especially in programmatic symphonies. However this practice also extended to non-programmatic works.

> ...symphonies and movements alike share with Beethoven's *Pastoral* a common vocabulary of what Leonard Ratner calls 'topics,' characteristic musical gestures that refer, in this case, to the pastoral: horn calls, drones, birdcalls, representations of running water, and melodies borrowed from or intended to sound like pastoral songs and carols. Furthermore, those symphonies that include pastoral episodes in the context of larger narratives very often link them to storms....Storms also appear elsewhere as episodes in nonpastoral narratives and as finales in symphonies whose other movements lack programmatic indications.[206]

In Mozart's Romanza, the storm disrupts but does not destroy: the pastoral section returns, restoring the security of the idyll. However, the sublimity of the storm's power contends with the surrounding middle-style musette.

Hutchings' "principle of variety in the order of themes"[207] applies equally to this movement as to the previous. The sections surrounding the C section differ so that not

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[204]Einstein, *Mozart, His Character, His Work*, 307.

[205]Rosen, *The Classical Style*, 235.

[206]Richard Will, "Time, Morality, and Humanity in Beethoven's *Pastoral* Symphony," *Journal of the American Musicological Society* 50 (1997): 280-281.

[207]Arthur Hutchings, *A Companion to Mozart's Piano Concertos* (New York: Oxford University Press, 1989), 13.

only is there variety within the movement, but also a sense of dramatic progression. The following is a chart of the Romanza's progression.

Section	A							
Theme	A	A	A1	A	A1	A (1x)	A2 ending	codetta
Style	middle							
Topic	musette							
Key	BbM							
Measures	1	9	17	21	25	29	32	37

Section	B		
Theme	B		
Style	middle		
Topic	aria		
Key	BbM	fm	FM
Measures	40	56	60

Section	A		
Theme	codetta	A	A
Style	middle		
Topic	musette		
Key	FM	BbM	
Measures	64	68	76

Section	C			
Theme	C			
Style	High			
Topic	Fantasia			
Key	gm	BbM	gm	BbM
Measures	84	92	99	115

Section	A							
Theme	A	A1	A (1x)	A1	A (1x)	A2	Coda	codetta
Style	middle							
Topic	musette							
Key	BbM							
Measures	119	127	131	135	139	142	147	159

Fig. 3.15 Analytical Chart of Movement II

Analysis of Second Movement

If the opening piano phrase, Section A/piano, is related to Arcadia, the state of remembrance of Arcadia could literally be placed in the c-sharp/d as well as the e-natural/f rotation in measure 1, beats 3 and 4. These notes in the piano's tenor and soprano voice also allude to the V-i harmony of the first movement: a literal reminder of the turbulence associated with D minor. (Grayson points out that the flute line in mm. 394-395 of the first movement shares the pitches of c-sharp and d.[208]) Indeed, the c-sharp adds an interesting dissonance to an otherwise b-flat tonic chord, as does the e-natural in the top line.

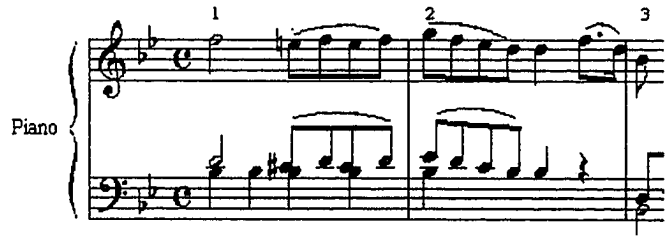

Fig. 3.16. Movement II, Theme A, piano, mm. 1-3

In a dramatic sense, these chromatic lower-neighbor tones are indicators that this passage contains some emotional pain, especially when juxtaposed by the c-natural and e-flat in m. 2. This is Arcadia lost and therefore desired.

Theme A/orchestra enters *forte* in m. 9. It is the same theme as that of the opening piano line. The main difference between the two versions of Theme A, besides scoring, is the orchestra's dynamic contrast between *piano* and *forte*. The orchestra's *forte* entrance mirrors the *forte* entrance in the first movement's m. 16. The tension of

[208]Grayson, *Mozart: Piano Concertos no. 20 in D minor, K. 466, and No. 21 in C major, K. 467*, 60.

the opening section of the first movement is so present that the *forte* full-orchestral entrance is the unleashing of the beginning's potential. Philip Radcliffe describes the first movement's first *forte*: "The first *forte*, when the smouldering tension of the main theme comes out into the open, is an electrifying moment that can never lose its power to excite."[209] In a similar way, the second movement's first full *forte* orchestral entrance is an outpouring of emotional intensity built by the opening piano line.

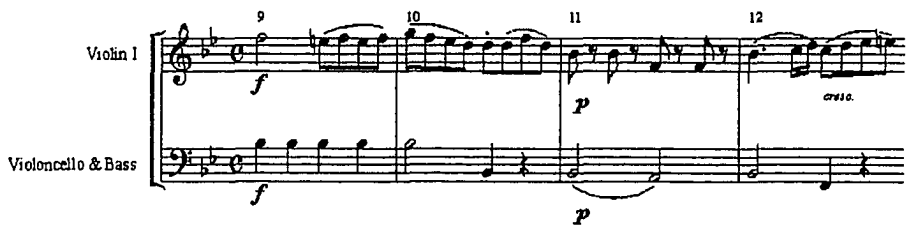

Fig. 3.17. Movement II, Theme A, orchestra, mm. 1-3

However, instead of being a release of tension, it is rather a full-throated cry of longing. But Mozart does not allow the orchestra to become bombastic: the orchestra retreats inward through the *piano* dynamic in mm. 11-12 and 15-16.[210] This *forte/piano* alternation creates an intensified variation of Theme A.

Theme A1/piano in m. 17 not only lends variety to the A section, but adds a continually rising melodic contour. In mm. 17-20, the rising notes give the sense of the music reaching for a goal, and could be seen as figuratively reaching for Arcadia.

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[209]Philip Radcliffe, *Mozart Piano Concertos* (Seattle: University of Washington Press, 1978), 48.

[210]Grayson states that "[T]he orchestral renditions introduce minor decorative variants to the melody and, in contrast to the dynamically uniform piano statements, impose a more overtly expressive dynamic scheme that systematically divides each of the four phrases into two bars of *forte* (winds and strings) followed by two bars of *piano* (mostly strings only). This pattern of loud-soft dynamic retreat has the effect of constantly pulling back or drawing inward". Grayson, *Mozart: Piano Concertos no. 20 in D minor, K. 466, and No. 21 in Cmajor, K. 467*, 60.

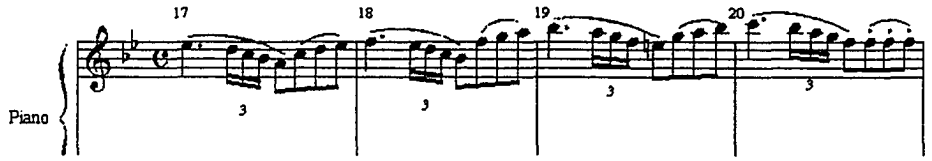

Fig. 3.18. Movement II, Theme A1, piano, mm. 1-3

The orchestra, as is the pattern, repeats Theme A1 and the second half of Theme A in mm. 25-31. Again, the orchestra has *forte/piano* alterations. The *piano* occurs in a rather unexpected place: the second half of the third beat in m. 26.

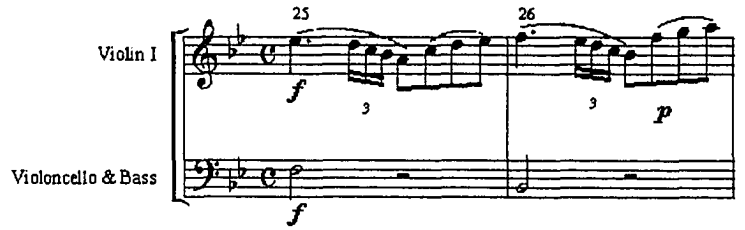

Fig. 3.19. Movement II, Theme A1, orchestra, mm. 25-26

The *piano* dynamic breaks the continually rising melodic contour, resulting in an anti-climactic inward gesture. One of the possible reasons that Mozart chooses to add this dynamic is to be able to crescendo the *piano* to a *forte* with the rising melodic contour (A2) of mm. 32-36.

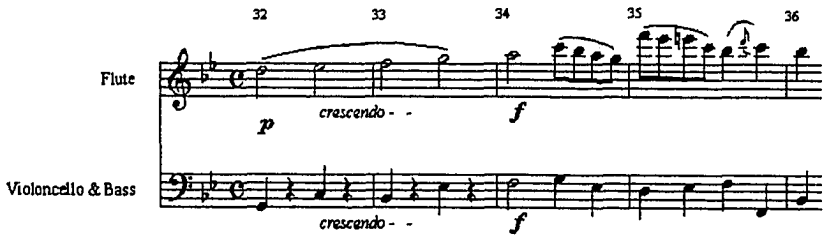

Fig. 3.20. Movement II, Theme A2, orchestra, mm. 32-36

This flowering Theme A2 is the boldest orchestral statement so far. Not only does the orchestra rise to F6 in m. 35, but also crescendos to a full *forte* in mm. 34 and 35. Themes A2 and A1 seem to be manifestations of an intense desire. The orchestra again recedes with a *piano* codetta theme in mm. 36-39.

The B section (mm. 40-63), as Grayson notes, maintains the naïveté of the Romanza through its four-measure phrases.[211]

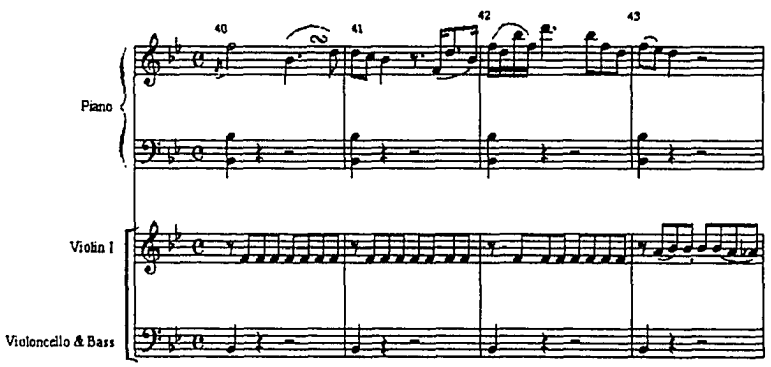

Fig. 3.21. Movement II, Theme B, mm. 32-36

The overtly simple orchestral and piano left-hand accompaniment also adds to this air of simplicity. The orchestra is in complete sympathy with the soloist, supporting it harmonically and rhythmically. However, the right hand of the piano solo distinguishes itself through its singing style and rhythmic variety.[212] In fact, like the piano entrance Theme N from Movement I, the four-measure phrases of the B section show great rhythmic and melodic variety. If Theme N is a complex argument sung in the high style, then the Romanza's Theme B is likewise a complex statement. Because of the simple orchestral accompaniment, harmonic simplicity, and lack of melodic dissonance, Theme

[211]Grayson, *Mozart: Piano Concertos no. 20 in D minor, K. 466, and No. 21 in C major, K. 467*, 61.

B is sung in the lighter vein of the middle style. There is one dark passage in f minor in mm. 56-59, a "hint of things to come"[213] and also an elegant example of Mozart slipping in and out of F minor with a simple d-natural in the piano part of m. 59.

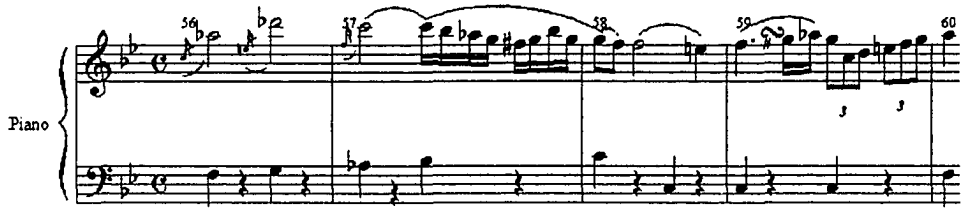

Fig. 3.22. Movement II, f minor passage, mm. 56-60

The section closes in mm. 63-66 with the piano joining the orchestra for the codetta in mm. 63-66.

Mm. 68-83 are the repeat of mm. 1-16. The return of Theme A completes the ABA of the ABACA rondo form.

Girdlestone,[214] as well as Einstein and Rosen, note that Section C recalls the turbulence of the first movement. Similarities include the minor key, stormy mood, and thematic content.[215] Since this paper is concerned with the dramatic hermeneutics of the concerto, the following discussion focuses not so much on the musical similarities between Section C and movement I. Rather, Section C's associations with contemporary musical protocol are discussed in order to assess its specific dramatic impact. The section recalls the musical *Sturm und Drang* movement as well as the pastoral-storm-pastoral program music of the day. Section C not only hearkens back to movement I, but

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[212]Marius Flothuis states that the piano part calls for ornamentation. See Marius Flothuis, *Mozart's Piano Concertos* (Amsterdam: Rodopi, 2001), 68.

[213]Grayson, *Mozart: Piano Concertos no. 20 in D minor, K. 466, and No. 21 in C major, K. 467*, 61.

[214]Cuthbert Girdlestone, *Mozart and his Piano Concertos*, 320.

more importantly, raises the stakes of the concerto's imperative/pleading or high/middle-style juxtaposition. In this Section, Mozart suddenly places the listener in the eye of the storm and it becomes clearer that the imperative and the pleading are for Mozart in this concerto inextricably linked.

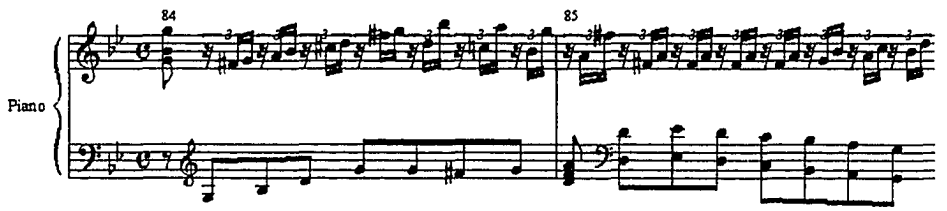

Fig. 3.23. Movement II, C Section, beginning, mm. 84-85

Section C, because of the sudden and dramatic contrast that it provides, owes much to the *Sturm und Drang* style. The disruptive quality of the *Sturm und Drang* style was a reaction to the continuous style of the Baroque. R. L. Todd speaks of Haydn's *Sturm und Drang* period in the late 1760s and early 1770s. "What is new in these compositions is the decisive disruption, within the external structural design, of the late baroque tendency towards continuous melodic motion and uninterrupted harmonic progession."[216] The *Sturm und Drang* musical disruption is indicative of the inner emotional urges of the artist.

> The English 'Storm and Stress' (not an ideal translation of the German phrase) appeared first in George Henry Lewes' Goethe biography of 1855. It should be noted that the term 'Stress' indicates emphasis or pressure, often an unwelcome influence from the outside, while *Drang* is an inner impulse. In particular, in eighteenth-century usage, *Drang* was meant to express a conscious or an

[215]See Marius Flothuis, *Mozart's Piano Concertos* (Amsterdam: Rodopi, 2001), 68. The first violin line in m. 3/Mvt I is the same as the piano treble line on beats 3-4 in m. 84 and beat 1 in m. 85/Mvt II.

[216]R. L. Todd, "Joseph Haydn and the *Sturm und Drang*: A Revaluation," *Music Review* 41 (1980): 173.

unconscious urge or, at times, a vague latent desire.[217]

Section C, therefore, may be seen as a more urgent form of an inner artistic desire also manifested in Section A's musette topic.

The *Drang*, or inner impulse, expressed through the music is meant to have a direct resonance with the listener. Daniel Heartz and Bruce Alan Brown's description of Mozart's *Sturm und Drang* music in *Idomoneo* expresses the wish to affect directly the audience.

> His [Mozart's] utterances about this opera betray a typical 'Sturm und Drang' attitude towards dramatic realism ('Man muss glauben es sey wircklich so!', written in connection with the oracular pronouncement accompanied by trombones in Act 3), and with regard to evoking fear and terror from the audience (e.g. the storm scenes in C minor and F minor, the D minor flight chorus, described in the libretto as a pantomime of 'Angst und Schrecken').[218]

Mozart's statement, "Man muss glauben es sey wircklich so" [one must believe it to be really so], is a testimony to the importance he placed on emotional impact. In this regard, the C section of this movement seems to have the same intent. Girdlestone speaks the part of the listener.

> The first half of it is over and has ended, *piano*, in B flat, when suddenly a *fortissimo* breaks out in strings and solo, on the chord of G minor; the andante turns into a presto and the solo sets of with breathles triplets in search of Heaven knows what wild fancy. Full of anguish and fury, it pursues its quest in treble and bass, with frequent crossings of the hands, whilst the winds, roused brusquely from their torpor, follow it and trace out in quavers or crotchets the melodic lines implied in its semi-quavers. How deceptive was the peace of the romance and how superficial! Calm in Mozart is neither deep nor lasting. We are plunged again without warning into the mood of the allegro's most feverish moments.[219]

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[217]Max Rudolf, "Storm and Stress in Music," *The Journal of the Riemenschneider Bach Institute* 25, no. 2 (1994): 10.

[218]Daniel Heartz and Bruce Alan Brown, "Sturm und Drang," in *The New Grove Dictionary of Music Online* ed. L. Macy [Database on-line]; available from *The University of Oklahoma Libraries*, <http://libraries.ou.edu/custom/EasyAccess/index.asp?> (Accessed 29 October 2002).

[219]Cuthbert Girdlestone, *Mozart and his Piano Concertos*, 320.

Girdlestone's "anguish and fury" resemble the "fear and terror" described by Heartz and Brown, as well as references to storms. However, Section A and C's similarity of subject matter—namely desire—neutralizes the subjective, jagged aspects of the *Sturm und Drang* aesthetic.[220]

The returning A section is the luminous essence of the piece since it both contains the crux of the A themes as well as a return to the pastoral after the storm. The orchestra and piano gradually become one entity. The piano plays for the first 16 measures mm. 119-134, the *forte* orchestral repeat of Theme A being omitted. Finally the orchestra re-enters seamlessly with the repeat of Theme A1 in m. 135. The piano joins the orchestra for the ascending Theme A2 in mm. 142-145, which here leads to the Coda. In mm. 150-157, the piano extends and varies the orchestra idea from mm. 146-149. The *seufzer* motives return from the first movement in the piano treble line in mm. 154-157 leading to the peaceful, middle-style conclusion in the following measures. The piano and orchestra then repeat the codetta of mm. 36-39 in mm. 158-160

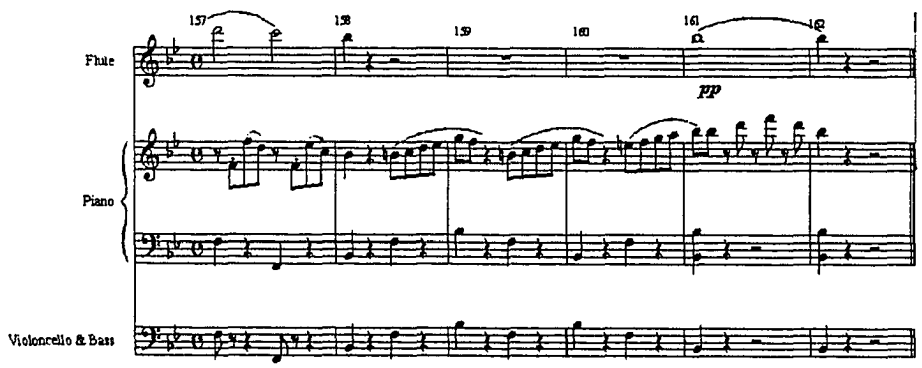

Fig. 3.24. Movement II, seufzer topic, codetta, mm. 157-end

[220]Haydn is credited with stabilizing the *Sturm und Drang* style through classical form. "The symphonies from the later '70s, for instance, show a new attempt to re-order and control the divisive,

. The ending codetta finally reaches the F6 in the penultimate measure, the note previously seen as representing the reaching for Arcadia.

In the second movement, Mozart's pastoral can be both bucolic and threatening because, as Renato Poggioli states, the pastoral is situated in imagination and art.

> ....the pastoral ideal shifts on the quicksands of wishful thought. Wishful thinking is the weakest of all moral and religious resorts; but it is the stuff dreams, especially daydreams, are made of. Mankind had not to wait for Freud to learn that poetry itself is made of that stuff. The bucolic dream has no other reality than that of imagination and art.[221]

The quicksands of wishful thought create the daydream of the pastoral. Mozart also includes the "ugliness" of the pastoral: the intense disruption of desire as seen through Section C as well as Don Giovanni's destruction of Zerlina's bucolic wedding (as discussed in the analysis of the first movement). For Mozart, the vision of Arcadia contains both nostalgic longing and disruptive desire.

Analytical Background for Third Movement

The third movement of the D minor Piano Concerto retains the fiery mood of the previous two movements through the piano's impassioned opening line. However, the terms of the high, middle and low styles are once again redefined. The low style makes its debut, the middle style is conspicuously absent while the high-style aria topic reflects Theme N of the first movement. In addition, the contradanse, a prevalent topic in this movement, lies outside the high-middle-low scheme. Mozart defines the tension of the movement in terms of the passionate contradanse, the high style and the low style.

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unstable nature of works from the *Sturm und Drang* years." See R. L. Todd, "Joseph Haydn and the *Sturm und Drang*: A Revaluation," *Music Review* 41 (1980): 193.

[221]Renato Poggioli, *The Oaten Flute: Essays on Pastoral Poetry and the Pastoral Idea* (Cambridge, MA: Harvard University Press, 1975), 2.

Girdlestone argues that since Mozart did not make it a habit to end minor works in the major key, this ending is "emotional rather than formal."[222] This paper argues that the ending is indeed emotional: it resolves the tensions between the high, middle, and low styles through opting for the weightlessness of the *buffa* low style. The simple ending may also be interpreted as ironic. The happy ending emphasizes the juxtaposition between itself and the contrasts of the first two movements. The listener is left with the task of sorting through such an ending.

The struggle between the high and low styles resolves in this movement through many factors. This section discusses the *opera buffa* origins of the rondo form and the similarity of structure and themes between the first and third movements. In order to interpret the meaning of the happy ending as ironic, the paper looks toward *opera buffa* librettos.

According to Malcolm S. Cole, the rondo enjoyed a vogue between the years of 1773 and 1786. Cole does not credit one main composer for this upsurge in rondo composition; rather he postulates that the form's popularity resulted from its use in the Italian *opera buffa* overture finale.[223] The simplicity and melodiousness of the Italian variety of the rondo, rather than the French, was one of the main reasons for the form's popularity.

> In short, Italians such as Paradies, Boccherini, Bertoni, Prati, and Paiseiello imbued with Italian simplicity and melodiousness the French formal mold established by the clavecinists and violinists. From this union issued the beginnings which, when combined with parallel tendencies in England, Germany, and Austria, captivated the public's fancy.[224]

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[222]Cuthbert Girdlestone, *Mozart and his Piano Concertos*, 327.

[223]Malcolm S. Cole, "The Vogue of the Instrumental Rondo in the Late Eighteenth Century," *Journal of the American Musicological Society* 22 (1969): 446-447.

[224]Ibid., 447.

Mozart did not hold exception to concluding most of his popular concertos with rondos.[225] There are only three concertos which do not end with a rondo: The Concertone in C major for two violins, with oboe and cello, K. 190, of 1774 ends with a minuet; and the two piano concertos, K. 453 and K. 491 conclude with variation form.[226] The third movement of the D minor concerto, like most of his other concertos, is in rondo form, and its coda retains the spirit of its *opera buffa* ancestor.

The third movement of K. 466 is in ABACBA form in which the refrain after C is missing. But rather than looking at the rondo as a cell-like formation, it is more fruitful to look at the impact of the sonata structure upon the form. In fact, Hutchinson states that the third movement of K. 466 formally resembles a first movement: "but for the solo's continuation with a rondo refrain, leading to a combined solo-and orchestral coda in the major key...might well be an extract from the *first movement* of another D minor Concerto."[227] Grayson also acknowledges the importance of viewing the impact of sonata form, as well as ritornello form, on the Mozart rondo.

> Indeed, each of Mozart's piano-concerto finales can be construed as belonging to one of these three categories [ABABA, ABACBA, ABACABA], though doing so misrepresents the great variety of thematic constructions that the movements actually display and the degree to which sonata style and ritornello structures impact the form.[228]

In fact, textbooks often define the sonata-rondo as a hybrid of the sonata and rondo form. But as defined by Charles Rosen[229] and Cole, the classical masters viewed the rondo form

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[225]However, none of Mozart's late symphonies end in rondo form. "Strangely, none of the late symphonies, works written during the same period as the great rondos of the piano concertos, concludes with a rondo. Did Mozart consider a symphony too serious a work to conclude with a 'frivolous' rondo?" See Ibid., 443.

[226]Grayson, *Mozart: Piano Concertos no. 20 in D minor, K. 466, and No. 21 in C major, K. 467*, 73.

[227]Arthur Hutchings, *A Companion to Mozart's Piano Concertos*, 23.

[228]Grayson, *Mozart: Piano Concertos no. 20 in D minor, K. 466, and No. 21 in C major, K. 467*, 73.

[229]Charles Rosen, *Sonata Forms*, Revised edition, (New York: W. W. Norton & Company, 1988), 126.

as "something less definite—a theme type, a character designation specially appropriate for the finale of a work in several movements."[230] What is appropriate for a finale is the resistance to development, or in other words, the avoidance of pithiness inherent in the first movement of a concerto. However, as much as the final movement of this concerto does not seem as structurally problematic as the first movement, its complexity cannot be doubted. Mozart rose to the task of synthesizing the rondo form to the peculiarities of the concerto form.

> Mozart's piano concertos provide a particularly fertile field for study, their composer facing such problems as the feasibility of a double exposition, the presentation and subsequent role of a solo entry theme, the rearrangement and consolidation of the recapitulation, the placing of one or more cadenzas, and the transformation of the coda from a closing ritornello to an additional development.[231]

This paper traces the impact of sonata and rondo form in this last movement in order to show its dramatic complexity.

The following is the chart of the movement in both sonata and rondo terms. Grayson is the main creator of the chart with exception of the naming of topics and the renaming of Theme E to Theme N in order to clarify its similarity to Theme N of the first movement.[232]

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[230]Stanley Sadie, ed. *The New Grove Dictionary of Music and Musicians* (New York: Macmillan Press, Inc., 2001), s.v. "Rondo: The Sonata-Rondo," by Malcolm S. Cole.

[231]Ibid.

[232]For Grayson's full chart of Movement III, see Grayson, *Mozart: Piano Concertos no. 20 in D minor, K. 466, and No. 21 in C major, K. 467*, 78.

Section	First Group of Exposition					
Theme	A1	A2	A3	A4	N	A1
Style	Neither high, middle, or low (nhml)				high	nhml
Topic	mannheim rocket /contredanse				aria	mannheim rocket /contredanse
Key	dm					modulation
Measures	1	13	30	51	63	71

Section	Second Group of Exposition			
Theme	B1	B2	B3	transition
Style			low	nhml
Topic	contredanse		stylus rustic.	Mannheim rocket/contre danse
Key	fm	FM		dm
Measures	91	110	139	161

Section	(1st group)Recapitulation		(secondary development)				
Theme	A1	A2	N	A1	N	N	A1
Style	nhml		high	nhml	high		nhml
Topic	mannheim rocket /contredanse		aria	mannheim rocket /contredanse	aria		mannheim rocket/ contredanse
Key	dm		am		gm	dm	
Measures	167	180	196	206	230	240	261

Section	Recapitulation (second group)					
Theme	B1	B2	B3	B2	A4	A1
Style	nhml		low	nhml		
Topic	contredanse		stylus rustic.	contredanse		mannheim rocket
Key	dm					
Measures	271	289	302	317	337	346

Section	Coda		
Theme	B3	(A3)	B3
Style	low	nhml	low
Topic	stylus rusticanus	contredanse	stylus rusticanus
Key	DM		
Measures	354	370	395

Fig. 3.25. Analytical Chart of Movement III

Analysis of Third Movement

The Rondo opens with a Mannheim rocket topic, defined by its being triadic, in equal note values, and "rhythmically incisive."[233]

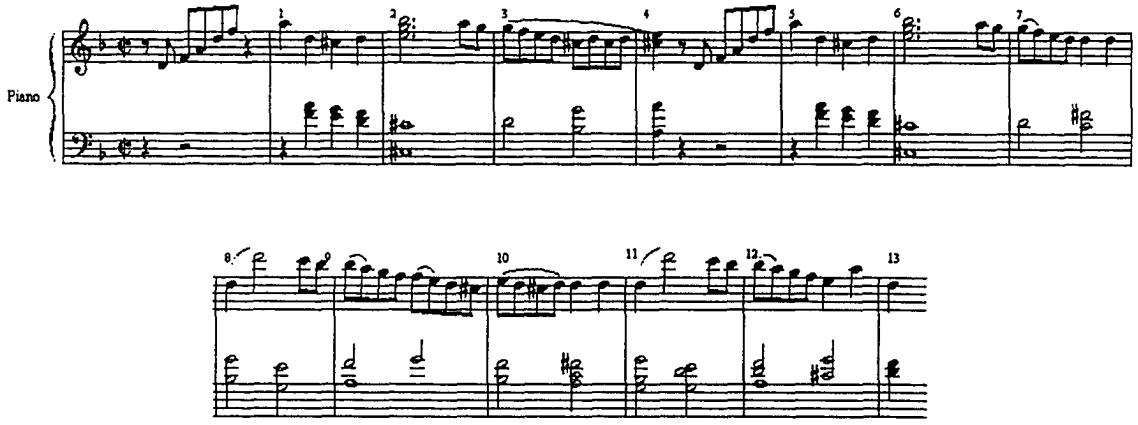

Fig. 3.26. Movement III, Mannheim rocket topic, piano, mm. 1-13

Eugene K. Wolf states that this topic did not originate with the Mannheim school, but rather earlier in Italian instrumental music, especially opera overtures.[234] The opening Mannheim rocket topic gives forward momentum to the movement with each appearance, and thus like the opera overture, promises much to come. The asymmetry of the opening piano phrase, A1, also begs a long-term resolution. The phrase structure is 4 measures + 9 measures, and the high D in mm. 8 and 11 occurs on the offbeat, giving the 9 measure phrase a syncopated quality.

[233]Agawu, *Playing With Signs: A Semiotic Interpretation of Classical Music*, 87.

[234]Eugene K. Wolf, "Mannheim Style," in *The New Grove Dictionary of Music Online* ed. L. Macy [Database on-line]; available from *The University of Oklahoma Libraries*, <http://libraries.ou.edu/custom/EasyAccess/index.asp?> (Accessed 11 December 2002).

Were A1 symmetrical, it would resemble a contradanse with cut time meter and pickup.[235] Allanbrook's interpretation of the contradanse as the "danceless dance" in which the refinements of earlier dances were abandoned for the generic simplicity of this group dance could apply to such an opening.[236]

> The choreography of the contredanse was made to order for the new generation of amateur dancers. In the minuet a step takes two measures, and every motion to every beat, each attitude of the body and limbs, is part of the expressive content of the dance. The contredanse, on the other hand, since it is a group dance, emphasizes not steps and gestures—that is, the delineation of a particular affect—but figures, the aim of which is to uncouple pairs of partners, regroup them, and through a series of cleverly mapped manipulations to bring them back to the original ordering.[237]

Because its steps were easy enough to be mastered by the amateur dancer, the contradanse is a democratic dance. Thus the contradanse lies outside of the high-middle-low trichotomy. The combination of the contradanse rhythm, the asymmetry of the phrasing, minor mode, and emphasis on the diminished 7th chord give A1 an exciting, almost demonic quality.

The orchestral ritornello plays themes A2, A3, and A4 in mm. 13- 62. As Grayson states, the orchestral interlude gives "the impression of breathless momentum."[238] The orchestra retrieves this momentum from the asymmetrical A1 and develops the Mannheim rocket theme through the variations A2, A3, and A4.

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[235]Ratner, *Classic Music*, 13.
[236]Allanbrook, *Rhythmic Gesture*, 62.
[237]Ibid., 61.
[238]Grayson, *Mozart: Piano Concertos no. 20 in D minor, K. 466, and No. 21 in C major, K. 467*, 77.

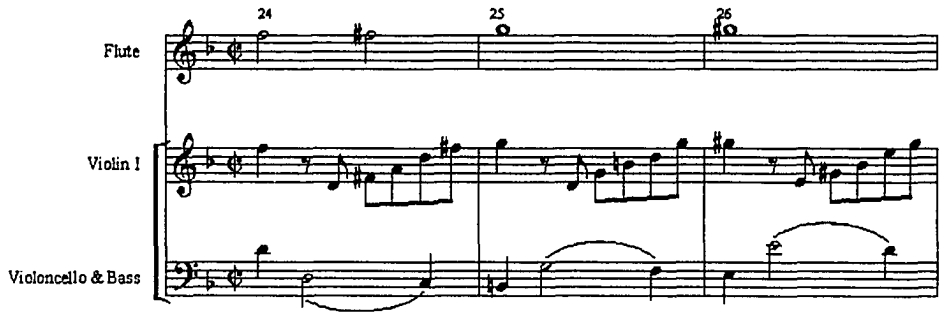

Fig. 3.27. Movement III, A2, mm. 24-26

A3 in m. 30 continues the chromaticism of the woodwinds in mm. 24-29.

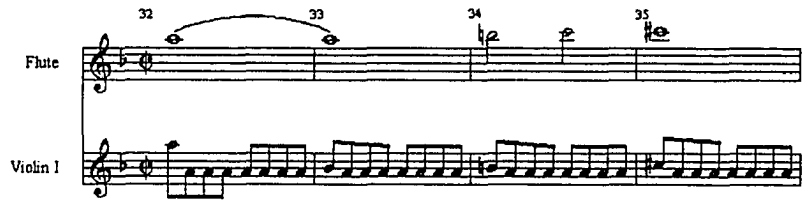

Fig. 3.28. Movement III, A3, mm. 32-35

A4 reverses the upward momentum of the ascension to the high D's in A1 through the first violins falling a 9th from the E-flat to the D in mm. 52-53 and an octave plus a minor 7th in m. 56. A4's bass line also emphasizes the diminished 7^{th}s of A1.

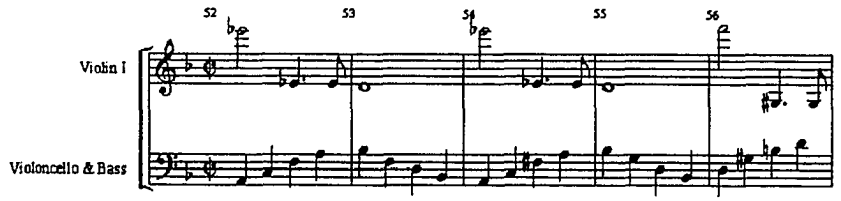

Fig. 3.29. Movement III, A4, mm. 52-56

Thus the role of the orchestral ritornello, rather than "supplement the solo's tonal climax with dynamic force"[239] as in the first movement, is to carry forth the momentum of the piano's opening refrain through highlighting some of its characteristics, including the diminished 7th chords and upward melodic motion. The effect is an unraveling of the opening piano refrain.

The piano solo re-enters with a new Theme N in mm. 63. Much like Theme N from movement I (N/I), this theme (N/III) brings the forward impetus of the orchestral ritornello to a pensive halt. The rhythm of N/III is mainly in half and quarter notes, and the thematic similarity to N/I is striking as can be seen in the C#-A interval and D octaves.

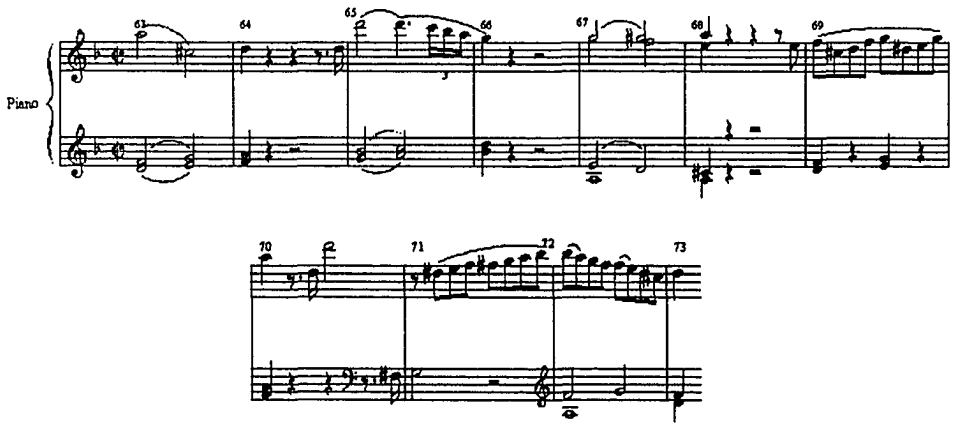

Fig. 3.30. Movement III, Theme N/III, mm. 63-73

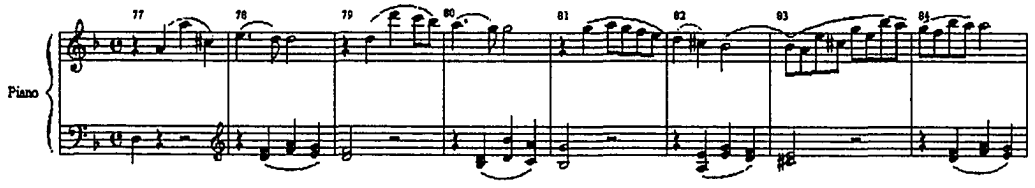

Fig. 3.31. Movement I, Theme N/I, mm. 77-84

[239]Ibid., 74.

N/III's fusion to the A1 theme is immediately obvious. As Grayson notes, N/III and A1 of the third movement are linked through the similar endings of m. 72 and m. 9.[240] These two themes are also juxtaposed in the secondary development in mm. 196-270 just as Theme N/I and the opening Theme 1 were juxtaposed in the development of movement I.[241]

The conflict so dramatically staged between the imperative (Theme I) and the pleading (Theme N) in the first movement also plays out in the third movement. However, the clash does not seem as intense. The piano plays both N/III and A1, softening the juxtaposition between the orchestra and solo. The piano, in general, has more of an established role within the orchestra as a leading member of the ensemble, rather than as a conflicting force. Hence, the fact that the piano initiates the movement is not so surprising to the audience, unlike the striking effect of the piano entrance in the first movement. That the piano also plays a leading role in the modulation to F minor for Theme B1 in m. 92 has its precedence in the first movement's expository modulation to the second theme. Although there is still conflict lingering between the high style aria theme N/III and the contradanse A1, the conflict between the two styles has mellowed.

Mozart plays with the listener's expectations through landing Theme B1in the key of F-minor. The listener expects to hear F major in keeping with the repetitions of the C-F major cadences that precede Theme B1.

[240]Ibid., 77.
[241]Ibid., 79.

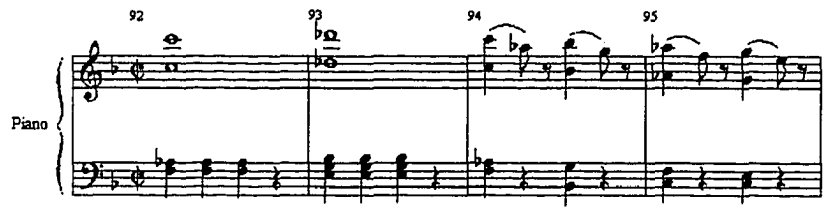

Fig. 3.32. Movement III, Theme B1, mm. 92-95

The unexpected key of F-minor lends a dark undertone to the movement and this is not shaken off until F major appears in Theme B2 in m. 110.

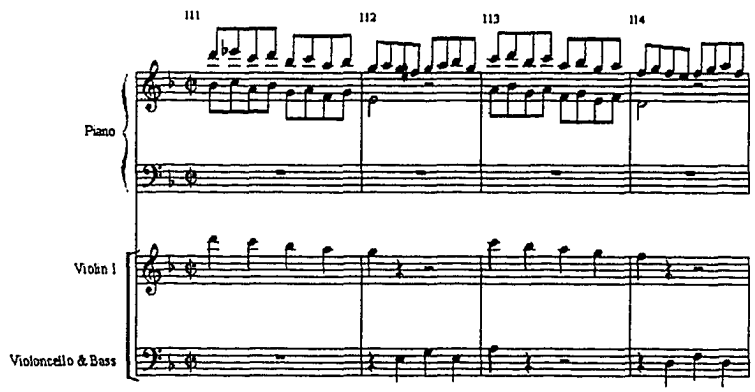

Fig. 3.33. Movement III, Theme B2, mm. 111-114

The *buffo* B3 theme in mm. 139-146 dispels any gloomy shadows that may remain.

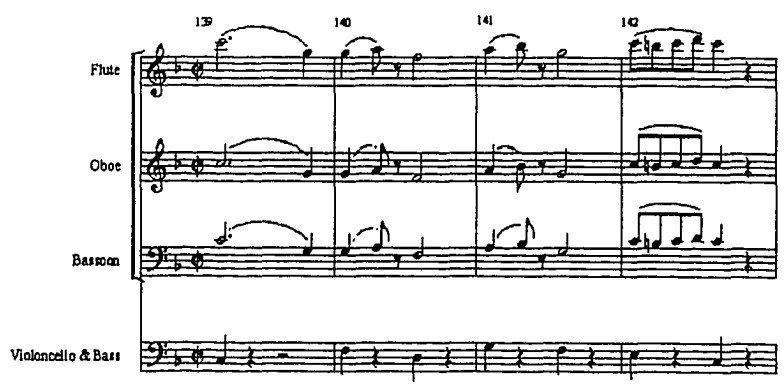

Fig. 3.34. Movement III, Theme B3, mm. 139-142

In the context of the concerto as a whole, B3 is another example of the rapid change of topic prevalent in the Mozart concertos and indicative of the influence of *opera buffa*. We are reminded of Ratner's fifth characteristic of the Mozart concerto as a counterpart to a dramatic scena.

> The new orchestral style—greater prominence of winds, changing roles of the strings, promoting the rapid shifts of texture and topic characteristic of buffa rhetoric, although not necessarily comic in flavor[242]

The sudden change of texture emphasizes the novelty of B3. The woodwinds play a unison melody with no piano and accompanied by a simple country-dance string section. The unison woodwinds highlight the squareness of the theme: mm. 139-142 make up a four measure phrase antecedent which is aptly answered by the consequent four measure phrase in mm. 143-146.

The unison melody, broken-chord arpeggiations (C-A-F) of the melody, fast cut time, and major key all point to B3 being in an Austrian *stylus rusticanus*. Geoffrey Chew speaks of the Austrian *stylus rusticanus* including "fast 2/4 time, unison passages, melodies with broken-chord figuration, 'Lydian' sharpened fourths, and other unusual chromaticism."[243] The Austrian *stylus rusticanus* originated in the late 17th century and was used to create comic effects at the expense of the country, or low style. "It was...the opposition of 'country' and 'town' styles...which must normally—whether consciously or not—have supplied the basis for the use of the *stylus rusticanus* by composers."[244] Chew cites examples of Mozart using the *stylus rusticanus* in his comic operas *Le Nozze di Figaro* and *Die Zauberflöte* as examples of Mozart's frequent use of this style.

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[242]Ratner, *Classic Music*, 297.

[243]Geoffrey Chew, "The Austrian Pastorella and the *Stylus Rusticanus*," in *Music in Eighteenth-Century Austria*, edited by David Wyn Jones (Cambridge, England: Cambridge University Press, 1996), 140.

Measures 167-317 are the recapitulation of mm. 1-154 with the addition of a secondary development. The secondary development juxtaposes Themes N and A1 in mm. 196-270. Charles Rosen defines the purpose of the secondary development.

> The Secondary Development section appears in the great majority of late eighteenth-century works soon after the beginning of the recapitulation and often with the second phrase. Sometimes it is only a few bars long, sometimes very extensive indeed. The purpose of the section is to lower harmonic tension without sacrificing interest; it introduces an allusion to the subdominant or to the related 'flat' keys.[245]

As Rosen states, the placement of this modulating section after the beginning of the recapitulation, as well as the slight emphasis on the subdominant results in a lowered harmonic tension. Theme N appears in m. 196 in A minor, A1 is in the same key in m. 206; N appears in m. 230 in the subdominant G minor; N is in D minor at m. 240 and is followed by an allusion to A1 in m. 264 which leads to B1 in the tonic of D minor in m. 271. Although the dialogue between Theme N and A1 greatly resembles the development section of the first movement, the third movement's harmonic context, as well as integrated solo and orchestra create less tension.

Themes B1 in m. 271, B2 in m. 289, B3 in m. 302 and the repeat of B2 in m. 317 are in D minor. B3, the *buffo* theme, sounds particularly dark in the tonic key. It later serves as the D major consequent phrase in m. 355 to the D minor A1 in m. 346.[246] By answering the energetic and tragic A1 with the *stylus rusticanus* B3, Mozart answers by extension Theme N from the first movement. Theme N's pleading, high-style aria is answered by low-style antics of the famous coda.

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[244]Ibid., 142.

[245]Charles Rosen, *Sonata Forms*, Revised edition, (New York: W. W. Norton & Company, 1988), 276.

It is important to note that the comic style is actually associated with the low style and refers to the rustic ways of the country rather than the high, cosmopolitan, city style. In addition, the comic may be seen from the viewpoint of Mozart's audience at the Mehlgrube in February 1785. They consisted of city folk, ranging from the bourgeois to the aristocracy. Thus the comic as represented by the *stylus rusticanus* of B3 is at the expense of the rustic ways of the country as viewed by city dwellers. The comic in this particular context of country versus city can be seen as a form of laughing condescension. Chew gives an example of Papageno being accompanied by music in the *stylus rusticanus*.

> Pamina's expression of reassurance to Papageno is, as expected, sharply contrasted with Papageno's own line. The unaccompanied unisons of Papageno's music, and the comic chromaticism of 'O wär' ich eine Maus' ('If only I were a mouse'), which follow, are further established clichés of the *stylus rusticanus*.[247]

The music equates Papageno's profession "If only I were a mouse" with the rustic country style, thus creating a comic effect based on laughing condescension. However, B3 does not seem to be comic in this sense. Rather, a transformation has mysteriously taken place so that theme B3 in the low, rustic style becomes the all-encompassing, effervescent ending of the drama of K. 466. This miraculous metamorphosis of a low style musical idea into a meaningful ending merits discussion.

Allanbrook defines the Mozartean comedy in broad, humanist terms.

> Unity, says Charles Rosen—in a discussion, significantly enough, of the D Minor Piano Concerto—is a quality that is characteristic of the tragic. The *commedia*, on the other hand, is a *speculum mundi*, a cosmic mirror that presents all species of things in their compelling diversity, and affirms their integration, however

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[246]Wye J. Allanbrook, "Mozart's tunes and the Comedy of Closure," in *On Mozart*, edited by James M. Morris (Cambridge: Cambridge University Press, 1994), 185.

[247]Geoffrey Chew, "The Austrian Pastorella and the *Stylus Rusticanus*," in *Music in Eighteenth-Century Austria*, edited by David Wyn Jones (Cambridge, England: Cambridge University Press, 1996), 191.

> provisional at times, not into an organic oneness, but into an overarching communal hierarchy. It is this model, I would argue—the model of the *commedia*—that Mozart's compositional choices suggest.[248]

The question is how the low style B3, which ends every major section of the third movement including the movement itself,[249] sits on top of the comedic arch that contains such diverse stances as the tragedy of the first movement and nostalgic reverie of the second movement. One of the reasons that the low style comic theme envelops the diverse states of human existence, as Allanbrook states, is the Enlightenment's faith in the human ability to place order over incompatible states. "The Enlightenment faith was, of course, a faith in universal reason and human perfectibility, a faith in the possibility of discovering for society a model of the divine harmony of nature."[250] Thus the affirmation that the hierarchy is a just one produces a happy, comedic ending. But this does not fully answer the question as to why a comic ending manifests itself particularly in the *stylus rusticanus*. To answer this question, one must look into *opera buffa* as an ironic mirror of society.

Opera buffa is, as Mary Hunter states, "a fundamentally intertextual genre."[251] The genre contains a broad spectrum of musical representation from such diverse sources as *opera seria* and *commedia dell'arte*. "In *opera buffa*, what tends to be 'marked' for

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[248]Wye J. Allanbrook, "Mozart's tunes and the Comedy of Closure," 176.

[249]See Ibid. 185, footnote 28. Allanbrook points out that B3 "serves twice, both as the cadential tune to close major sections of the movement...and as the coda tune....It occurs first in F major (measure 140), to close the first run-through of the Rondo themes, and recurs in D minor in a second major cadential section just before the cadenza (measure 303)". See also Geoffrey Chew, "The Austrian Pastorella and the *Stylus Rusticanus*," in *Music in Eighteenth-Century Austria*, edited by David Wyn Jones (Cambridge, England: Cambridge University Press, 1996), 176. Chew points out that *stylus rusticanus* was contained by sonata style so that it "contributes to the stylistic differentiation within movements (such as the distinctions in style between thematic groups) typical of the mature Classical style; in effect, it becomes the trademark of a 'second-subject' or 'closing' group in exposition or recapitulation". In the case of K. 466, B3 would be closing group in both the exposition and recapitulation.

[250]Allanbrook, "Mozart's tunes and the Comedy of Closure," 172.

[251]Mary Hunter, "Some Representations of Opera Seria in Opera Buffa," *Cambridge Opera Journal* 3 (1991): 90.

attention is the *combination* of musical, textual and dramatic resonances, since it is by means of these combinations that character is developed and the actions of an opera individuated."[252] It is the particular combination of different musical styles within one *opera buffa* that gives it its meaning. For example, when an *opera buffa* quotes a Metastasian aria, the effect can be parodic.[253] *Opera buffa* of the late 18th century also tackled broader social issues in complex and varied ways depending on how plot and music are interwoven.[254] In short, it is the combination of characters from different classes as well as the combination of the music that represents them that gives the genre its dramatic power.

Social harmony can only be achieved when all inhabitants of the comedy realize their "proper" (a mutable term) place—this includes the lower class of servants as well as the aristocracy. One of the characteristics of the *opera buffa* genre is that the servants sometimes progress the drama through their own willful actions.

> The exercise of action by a character in the lower orders of society almost always involves the topsy-turvy spectacle of superiors being subjected to the rule of the servant, or forced to play along with events as arranged by that servant, and one is led to ask both what function is served by the temporarily upside-down world and how (or whether) this topsy-turvy is set right or contained.[255]

The servant does not maintain his/her proper situation in a society through simple obedience, but rather, shapes events through various stratagems so that his/her will is acknowledged and sometimes achieved by the end. This does not occur through violence or revolution but through the "execution of tricks or stratagems that substantially affect

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[252]Ibid.

[253]See Ibid., 91-92 for an example.

[254]See Mary Hunter, *The Culture of Opera Buffa in Mozart's Vienna: A Poetics of Entertainment* (Princeton: Princeton University Press, 1999) for a nuanced study of how *opera buffa* comments on contemporary society.

[255]Mary Hunter, *The Culture of Opera Buffa in Mozart's Vienna: A Poetics of Entertainment*, 80.

the progress of the drama."[256] Like the rustic B3 theme, the lower class servant creates harmony between all social classes, thereby restoring the social order.

There is a gentle balance to such a story. The servant can make the master look a fool for comedic purposes, but the master cannot be dethroned by the lower classes. Mary Hunter gives many different examples of similar situations from *opera buffa* in Vienna. One of the questions underlying her book is the revolutionary nature of the genre. How far does the genre go towards dethroning the king, and along the same lines, how does the genre maintain political safety? These questions can also be applied to K. 466. The piano concerto happily closes, but how much does Mozart question the close itself?

The comedic close might also be interpreted as ironic. Betty Sue Diener quotes Wayne Booth's five clues in a literary work that point to a passage being ironic. One of the clues is "conflicting styles."[257] The 19th century may have rejected the comedic close of K. 466 because it so strongly conflicts with the style of the first and second movements. Perhaps Mozart wanted to emphasize the conflict between tragedy and comedy through presenting each so compellingly. He also, like the wily servant of *opera buffa*, points to the fact that tragedy, struggle, and melancholy are always on the verge of overwhelming the comedic equilibrium. Although the *opera buffa* ends "happily," we as interpreters constantly inquire into the justice of the social relations of the medium. After the piece has ended, the listener must balance the pathos of movements I, II, and the beginning of III with Theme B3. The listener must also question whether the comedic

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[256]Ibid.

[257] Wayne C Booth, *A Rhetoric of Irony* (Chicago: The University of Chicago Press, 1974), 53-76; quoted in Betty Sue Diener, "Irony in Mozart's Operas" (Ph.D. diss., Columbia University, 1992), 15.

does envelop the tragic. Thus Mozart leaves room for the listener to doubt the sufficiency of the comedic close, rather than take it as granted, through ironically ending the concerto happily.

CHAPTER FOUR

CONCLUSION

In the Piano Concerto in D Minor, K. 466, Mozart portrays the myriad facets of enlightened society through his use of what Leonard Ratner calls musical topics. The musical topics are categorized under the high, middle, and low styles. The high, middle, and low styles are broad categories that include references to class divisions in the eighteenth century as well as emotional states of being. With this categorization, one may see the work's dramatic arch. The first movement's driving force stems from a fascination with the supernatural. The second movement's transformation arises out of a nostalgia for Arcadia. Finally, the third movement's low-style ending ironically comments on the concerto's pathos.

Instrumental music could only mirror eighteenth-century culture and emotion through breaking free from the mono-affective baroque style. The changing moods within one instrumental piece vexed many contemporary critics, as evidenced by Bovier de Fontenelle's famous question, *"Sonate, que me veux tu?"* [Sonata, what do you want of me ?] In some regards, Mozart answered the question through elevating the new Italian style of music. His contrasting musical ideas were meant to express a drama.

The high, middle, and low styles are briefly defined as follows. The high style refers to the aristocratic classes and all their formal obligations in the church, court, and private life. Because the aristocratic classes were considered to be those noble in spirit, the high style includes that music which portrays the grandest emotions. Thus the *ombra* style prevalent in the first movement of K. 466 is in the high style because of the depth of fear and fascination involved with the conjuring of the supernatural. The middle style

refers to an emotional state of which any class could partake. It is music that revels in the sensual pleasures of love and relaxation. The pastoral, exemplified by the musette topic in the second movement, as well as the gavotte topic in the first movement, represents that imaginative Arcadia where all classes could commingle without fear of reproach. Finally, the low style represents the lower classes, and by extension, represents the comic. Mozart includes one clear example of a low-style topic: Theme B3 in the third movement, which is in the *stylus rusticanus*, or rustic style. As another example of Mozart commenting on the human condition, the Piano Concerto ends in the *buffa*-esque theme B3 in D major.

The concerto's broad dramatic arch moves through the high-style beginning to the low-style ending. The first movement's juxtaposes the high-style *ombra* topic with its references to supernatural vengeance, and the middle-style gavotte topic with its references to pastoral pleasures. The struggle between these two styles is left unresolved at the end of the movement. The second movement reinterprets the struggle through the middle-style musette topic, representing a nostalgia for Arcadia, and the C section "storm," representing the violent desire of the artist. The nostalgia for Arcadia, however, lingers at the end of the movement. In the third movement, the situation has lightened up considerably. The democratic contradanse topic lies outside the high, middle, and low styles. In effect, Mozart momentarily sidesteps the juxtaposition of the three styles through the prevalence of the contradanse topic within this movement. However, the high and low styles still tussle, but the struggle is on a much more relaxed scale. The third movement's rondo form, Mannheim rocket topic of the opening A1 theme, and low-

style comic ending point to its ancestry in the *opera buffa*. Thus the dramatic spectrum ends in a comedy.

Wye J. Allanbrook has examined the comic ending most recently in terms of a fitting comedic close. This paper offers a different interpretation. The comedic close may also be ironic. This is not to view Mozart as a dark, subversive character, but rather, to view him as possessing a penetrating mind. Through this concerto, he acknowledges both the enlightened belief in the happy ending and the presence of more chaotic forces. The *ombra* topic ultimately struggles with the *stylus rusticanus* comedic close. They balance in a hovering equilibrium. In this interpretation, the Piano Concerto resembles Mozart's *dramma giocoso*, *Don Giovanni*. Although we are left with the "happy" destruction of Don Giovanni, his absence still holds a strong negative presence. In the same way, the negative presence of the *ombra* topic in this concerto holds a powerful sway.

This paper implies at least three avenues for future study. The most encompassing and obvious would be an in-depth comparison between *Don Giovanni* and the Piano Concerto, K. 466. Not only do they both begin and end in the same key, but they also have the same dramatic and philosophical concerns. This would broaden the thesis that Mozart was fundamentally concerned with the dramatic issues of the human condition in both his instrumental and operatic works.

Given that an instrumental work can be dramatic, the narrative line of such a work seems not to be linear, but rather, many-layered, resembling a palimpsest. This was briefly discussed with reference to Kofi Agawu's play of different analytical methods. The idea of a dramatic narrative can be expanded from the struggle between the high,

middle and low styles to the differing ideas of what makes a drama. For example, Mozart was famously concerned with the immediate effect of his music on an audience. The concern for musical effect also defines a type of drama and interacts with, but does not always coincide with, the dramatic narrative as defined in this essay.

Finally, irony is a complicated, many-faceted concept. A separate essay could be written as to its many manifestations and its application to instrumental music. This essay attempts to posit that Mozart was capable of such irony, but not to conscribe him to the position of an ironist. The Piano Concerto itself is proof that the joy resulting from his musical palate overwhelms the skeptic.

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