

A MUSICAL RHETORICAL ANALYSIS AND PERFORMANCE PERSPECTIVE
OF FRANZ BERWALD'S *SINFONIE SINGULIÈRE*

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Chapter One: Introduction and Background

Introduction

In 1905, Swedish conductor Tor Aulin directed Franz Berwald's *Sinfonie Singulière* for its premiere performance.¹ Since Berwald composed the symphony in 1845, we can only speculate as to precisely why sixty years had to pass in order to give this remarkably creative symphony its first hearing. Its marked departure from traditional symphonic form was, perhaps, one reason why Berwald may have decided not to publish the composition, believing his contemporaries would not receive it well.² Besides its unusual difficulty, the symphony has several "singular" characteristics that are consistent with the title, *Singulière*, although Berwald himself did not indicate exactly why he chose it. The preface of the authoritative score comments upon its abrupt dynamic shifts, a misplaced scherzo, an unconventional shift to a minor key for the finale, and an unexpected reprise of the adagio.³ Various analytical methods could account for this variety in a number of ways and could provide many interesting insights. For example, an analysis of musical form and harmonic changes could provide an understanding of how this piece is constructed. As a conductor, however, I am most interested in insights into the composer's expressive intentions, which can enhance my performance interpretation.⁴ An analysis from a rhetorical perspective, with its focus upon expressive intent, is well-suited to this purpose. Conductors will, of course, employ different methods to study a score, and there are many ways

¹ Erik Wallrup, "Tor Aulin," Swedish Musical Heritage, accessed September 26, 2018, <http://www.swedishmusicalheritage.com/composers/aulin-tor>.

² Franz Berwald, *Sinfonie singulière*, ed. Herbert Blomstedt, *Sämtliche Werke / Franz Berwald*, Bd. 3 (Kassel; New York: Bärenreiter, 1967), xii.

³ Berwald, xii.

⁴ Throughout this study, I will use "performer and conductor" interchangeably to refer to performing musicians who engage in musical analysis for a more informed performance interpretation.

to gain insights into performance interpretation. I believe rhetorical analysis, however, offers a creative and distinctly useful approach that can yield additional insights, and so is a practice well worth adopting.

When reacquainting myself with a composition I have previously performed, my opinion on several details may change from one performance to the next. For example, bowings may need revisions to adapt to a number of factors such as the size of the orchestra, the level of expertise of the members, or simply a modified interpretation of the sound I am striving to portray. These revisions form an endless cycle for conductors who have the responsibility of bringing life to a composition as fully and authentically as possible. Analysis from a rhetorical perspective can aid in this process greatly by offering creative insights into the expressive elements of a work from a fresh perspective. What then, do I mean by analysis from a rhetorical perspective?

Musical rhetorical analysis consists of identifying expressive characteristics of phrases or sections of a piece rather than the overall form or structures and, as such, serves to complement the more common harmonic and structural analyses. In the words of contemporary musicologist Patrick McCreless, although identifying rhetorical elements operates on the surface, it can “offer a path into the expressive and affective qualities of the music that modern structuralist analyses often miss.”⁵ A conductor making use of rhetorical analysis can directly implement the insights gained by influencing the sound of the live performance. Other benefits of this approach, which I will develop further in the chapter on methodology, include an enriched vocabulary for naming expressive devices and a systematic means to identify and articulate them. Rhetorical analysis

⁵ Patrick McCreless, “Music and Rhetoric,” in *The Cambridge History of Western Music Theory*, ed. Thomas Street Christensen (Cambridge: Cambridge University Press, 2002), 872.

can bring to consciousness matters that have been intuitively grasped, but of which one may be only vaguely cognizant.

I will outline the historical development of musical rhetoric and its connection to the rhetoric of oratory⁶ in the next section, but since the notion of rhetorical analysis may be unfamiliar to most readers, the question will arise as to what qualities make an analysis “rhetorical.” In general, when we characterize a speech as rhetorical, we mean that it is constructed in order to evoke a response in the listener. Rhetoricians study the means to accomplish this purpose, and an analysis of a speech would, in part, identify rhetorical devices and figures of speech, along with their intended purpose. In an analogous way, rhetorical analysis of music identifies patterns of musical expression used by the composer and the feelings or responses she or he meant to evoke in the listener. In musical terms, as in oratory, these expressive devices are known as *rhetorical figures*. As I discuss in the final chapter of this dissertation, although the figure names originated in oratory, their musical meanings relate only metaphorically, especially those most useful for analysis. In the third chapter, I will give detailed definitions of musical rhetorical figures most useful for performance interpretation. Musical rhetorical analysis seeks to discern expressive intentions of the composer by identifying these figures. Performers can use the insights gained to convey this expression to the listener.

Given the potential benefits from taking a rhetorical point of view, the question remains as to what approach is most promising for this performance insight. As the review of literature in chapter two reveals, contemporary approaches and goals for rhetorical analysis vary

⁶ Throughout this dissertation, I will use the terms “oratory” and “language” to refer to the subject of spoken rhetoric as distinguished from musical rhetoric.

considerably. In all but one of those studies, the purpose for adopting a rhetorical perspective generally does not consider implications for performance. Most often, studies concentrate upon the structural methods and forms of a composition. The subjects of these studies often focus on the music from the Baroque period when the use of rhetorical devices in composition was at its height. However, a useful model of rhetorical analysis for the performer will also need to apply to music beyond this period. With their focus on structural aspects of works from the Baroque era, contemporary examples of rhetorical analyses leave the conductor in want of a method that identifies musical rhetorical figures that particularly convey potential insights into the expressive-affective intent of the composer. In light of this need, I offer such a method as I develop an approach to rhetorical analysis in chapter three.

In this dissertation, I will examine Berwald's *Sinfonie Singulière* from a rhetorical perspective using musical rhetorical figures from two eighteenth-century theorists, focusing on those figures that carry the most significance for the conductor. Few analyses exist of Berwald's works in general, and the only available in-depth analysis of the *Sinfonie Singulière* focuses on its contrasts with the conventional sonata form as understood in the mid-nineteenth century. I hope, through my analysis, to contribute to the knowledge of this deserving symphony, and by undertaking the first rhetorical approach, to share additional insight into an interpretation of its performance. In addition, this application of rhetorical analysis for expressive-affective intent provides a model for conductors to use in other repertoire.

By way of general overview for this dissertation, in chapter one, I briefly examine the origins of musical rhetorical analysis and discuss the development of rhetorical figures, which underwent many changes since their inception in the late Renaissance. Subsequent to this historical overview, I present some background on Berwald's *Sinfonie Singulière*. In chapter

two, I will review a number of studies that undertake a rhetorical analysis of music, comparing and contrasting their aims and methodologies. This review will further situate the purpose and methodology of my own approach to an analysis of Berwald's symphony. In chapter three, I give an expanded rationale for this present study, and provide a method of rhetorical analysis that the performer in general and the conductor in particular can put to practical use. I give definitions of musical rhetorical figures as described by the eighteenth-century German theorists Johann Scheibe and Johann Forkel.

Chapter four contains my analysis of the *Sinfonie Singulière* from a rhetorical perspective using the figures from Scheibe and Forkel described in chapter three. I identify examples of those figures present in each movement and discuss how the knowledge of these figures influences my interpretation in performance. I continue this discussion more generally in chapter five, presenting a summary to exemplify the impact that a rhetorical analysis can have for other works and why it is worth pursuing. I conclude this final chapter with some considerations on how the practice of musical rhetorical analysis might grow, and further scholarship from which it would benefit.

Background

The application of rhetorical concepts to musical composition and analysis developed and changed in its rationale, methods, and purpose from the Renaissance through the early Classical periods of music. One prevalent notion of rhetorical analysis in music associates it with works of the German Baroque era, when the study of rhetoric and familiarity with rhetorical figures was commonplace. An understanding of how musical rhetoric developed, however, allows us to see that it continued to be relevant to the expressive dimensions of composition and communication of feeling, and how it can therefore apply to the works of the Classical and Romantic era and

beyond. In order to provide a sufficiently broad perspective for an appreciation of musical rhetoric and for the rationale behind the method of rhetorical analysis I develop, I will trace some historical roots and developments in the sections below.

Classical Rhetoric and the Renaissance

The use of rhetorical concepts in music took on exceptional importance during the Renaissance after humanist scholars reshaped the meaning of music. Prior to the Renaissance, the study of music was valued mostly as a theoretical, mathematical discipline, placed as a subject alongside arithmetic, geometry, and astronomy as part of the *quadrivium*. The most theoretical form of music study, *musica mundana*, comprised numerical analysis of intervals and harmony, esteemed as holding the fundamental harmonies of God's creation. *Musica humana* covered the incarnation of these principles in the human body and spirit, and *musica instrumentalis*, the actual production of musical sounds by instruments.

In this schema, numerical theory of intervals governed what constitutes harmonious, consonant music. The ear was considered too subjective and changeable, whereas the mathematical interval ratios were not only invariant, but reflected divine harmonies. Music making rendered these harmonies audible, but yet had little to do with creative endeavor or conveying a vocal text's affective tone and meaning. Therefore, the true musician was the *musicus*, the one who comprehended the mathematical relationships of *musica mundana*. The harmonies of the human soul were a reflection of the universal harmonies, and so could "resonate," as it were, with that universal nature of music. Prior to the Renaissance, the composer and choir master, the *cantus*, garnered less esteem and worked in the practical subjects of the *trivium* (grammar, rhetoric, and dialectic).

This emphasis upon numeric intervals and harmonies, embodied in established rules of composition and elaborated in church polyphony, was praised as high achievement. Swiss theorist, Heinrich Glarean, wrote in 1547 about the polyphony of his day, stating that it is “an already perfect art, and just as nothing can be added to it so also it must expect nothing else in the end than final debility.”⁷ But the humanistic revival of Greek philosophy, especially Plato’s writing on music, led to dissatisfaction. Plato wrote of profound effects upon the listener of music determined by different modes, the power to move the audience to ethical behavior, and the capacity to restore harmony after the struggles of the day. He also declared that music consisted of three parts: the words, the harmony, and the rhythm. But rhythm and harmony were at the service of the words, which held the primary meaning.

As these rediscovered ideas filtered into the fifteenth century, people wondered how it was that music could have such effects and questioned why such was not their own experience. “Reading Ancient Greek texts that extolled music as part of education, that expected every citizen to sing and play music, and that described the power of music to evoke emotions and instill character, writers and musicians in the sixteenth century sought the same roles and effects for the music of their times.”⁸ Enlightened by Plato’s emphasis on the vocal text, they determined that part of the fault was from overly ornate polyphony that obscured the song’s meaning. “Much sacred polyphonic music left the typical humanist reformer cold. To the literate person uninitiated into the complexities of polyphonic composition, the elaborate settings of sections of the Mass, anthems, or motets performed during the ritual meant little because they

⁷ Heinrich Glarean, *Dodecachordon*, trans. Clement A. Miller, vol. II (U.S.A.: American Institute of Musicology, 1965), 248.

⁸ J. Peter Burkholder, Donald Jay Grout, and Claude V. Palisca, *A History of Western Music*, Ninth edition. (New York: W. W. Norton & Company, 2014), 143.

obscured the message of the text...set in a uniform musical style, insensitive to the feelings expressed.”⁹

This sentiment led to a shift of emphasis, characteristic of Renaissance humanism, from a divinely ordained meaning to one determined by human experience. Music that embodied universal harmonies alone was insufficient if it did not also move and edify the listener. Consequently, music was expected to convey the meaning of the vocal text. The composer transferred the primary focus of music’s effect to that of moving and edifying the listener, a focus that came to govern European music through the mid-eighteenth century.

The increasing conviction that the ear, rather than simplicity of numerical ratios, should determine musical practice gave further momentum to the shift from the theoretical concepts of *musica mundana* to the feelings and perceptions of the listener. Representative of this was the acceptance of the major third as a consonant interval.¹⁰ By the end of the fifteenth century, practical music making rose in importance in the scheme of curriculum subjects. Holding its place alongside geometry, arithmetic, and astronomy, theorists divided music into *musica naturalis*, comprising *mundana* and *humana*, and *musica artificialis*, comprising *vocalis* and *instrumentalis*. Later, theorists would combine the two abstract subjects into one and divide the study of music into two main parts, the theoretical and the practical.¹¹

As the effect upon the listener and the moving of her or his affections gained center stage through the Baroque period, compositions and methodologies to support these aims received

⁹ Claude V. Palisca, *Music and Ideas in the Sixteenth and Seventeenth Centuries*, Studies in the History of Music Theory and Literature 1 (Chicago: University of Illinois Press, 2006), 8.

¹⁰ The Pythagorean ratio theoretically worked out to 81:64, and was considered dissonant as a result in comparison to the simple ratios of the fourth and fifth.

¹¹ Dietrich Bartel, *Musica Poetica: Musical-Rhetorical Figures in German Baroque Music* (Lincoln: University of Nebraska Press, 1997), 18.

greater attention. Compositions of polyphony began to include “greater equality between the voices, more varied textures featuring imitation or homophony, and new ways of reworking borrowed material.”¹² During this period, “the composer was obliged, like the orator, to arouse in the listener idealized emotional states...and every aspect of musical composition reflected this affective purpose.”¹³ Composers employed various means to bring out the meaning of vocal text. “In some cases, the form of a poem would guide the structure of the composition... In other cases, the liturgical function of a text would dominate... Beginning in the mid-sixteenth century, composers focused on the expressive qualities of a text, its rhythms, sounds, images, meanings, and the affections it was intended to move.”¹⁴

Doctrine of the Affections

This stirring of the affections, or passions, as a worthy musical goal had to overcome adherents of other views leftover from the Renaissance that disparaged the passions. In ancient Rome, Cicero, along with the Stoics, considered them as a disorder of the mind, causing distress. They were manifestations of the irrational, unruly part of the soul. Consequently, many in the Renaissance period believed that the “last thing one should wish to do is arouse the passions through music.”¹⁵ Those in favor of music arousing and stimulating passions preferred Aristotle and the Epicureans. Aristotle wrote of the importance of the passions for music as well as poetry and rhetoric, and the Italian humanist, Lorenzo Valla (1407–1457), argued that the affections led

¹² Burkholder, Grout, and Palisca, *A History of Western Music*, 143.

¹³ Blake Wilson, George J Buelow, and Peter A Hoyt, “Rhetoric and Music,” in *Grove Music Online*, 14, accessed September 14, 2018, <https://doi.org/10.1093/gmo/9781561592630.article.43166>.

¹⁴ Palisca, *Music and Ideas*, 58.

¹⁵ Palisca, 180–81.

to the attainment of good and avoidance of harm, allowing one to fully engage life.¹⁶ Claude Palisca, the eminent scholar of Western music history, summarizes the humanist influence upon the conception of music as follows: “The humanists were imbued with faith in the power of the word. If the words could not be heard and understood, the message was lost. But they were not afraid of emotion, as was the medieval church. While words carried the thought, music could move people to feel its force.”¹⁷

Palisca traces how early Greek conceptions of the body, the soul, and the humors made their way into the later Renaissance and Baroque periods, and particularly the idea that music, via the ear, has a more direct effect upon the soul than other senses, conveying the feelings of the singer and the meaning of the sung text. This notion finds expression in Gioseffo Zarlino, the renowned and influential Italian theorist, who wrote in 1558 that, although melody and rhythm originate externally, they “have the power to dispose and induce various passions in the soul.”¹⁸

There were various explanations as to *how* the affections were moved. Some invoked the movement of air that entered through the ear or resonated with it. Theories involved elaborations upon the mix of bodily humors or the conveying of passions through the body via spirits or fine tubes. A commonality among them is that the listener’s role is largely, if not completely, passive. Moving the listener to particular affective states became a matter of blending such elements as appropriate musical textures, melodies, harmonies, and rhythms. But regardless of the particular theory as to *how* it happened, the belief that music stirred the affections as cause to effect was

¹⁶ Palisca, 181.

¹⁷ Palisca, 105.

¹⁸ Gioseffo Zarlino, *Istitutioni harmoniche*, vol. 2 (Venice, 1558), 73, cited in Palisca, *Music and Ideas*, 187.

well entrenched by the Baroque period, particularly in Germany, where one could witness “the ubiquity of the affections in every artistic domain.”¹⁹

Musical Use of Rhetorical Concepts

The discovery of ancient texts on rhetoric aided those musicians intent on conveying textual meanings. Musicians saw in the methods of speech composition a suitable process for composing music and found other rhetorical concepts analogous to musical ones as well. This application continued to gain force and was clearly articulated in an academic speech by Julio del Bene, a regent at the Accademia degli Alterati in 1575. With the study of the liberal arts, he proclaimed, we may “through rhetoric persuade and lead people’s wills wherever we choose; through music learn to be ordered and well composed in our soul and to move the affections no less than is done with rhetoric.”²⁰ In the words of modern musicologist George Buelow, who wrote extensively on music and rhetoric, the preoccupation with rhetoric grew to the point where, “beginning in the 17th century, analogies between rhetoric and music permeated every level of musical thought.”²¹

The desire for music that conveyed textual meaning and affections influenced composers in Italy, France, and England as well, but only in Germany did theorists systematically develop rhetorical concepts and methodically apply them. Although the Italians adopted a passion for moving the affections, they did not share the German enthusiasm for rhetorical theories. The French, steeped in rationalism and an ideal of music as imitation of nature, did not share these passions at all.²² Continuing this historical overview, I will focus on the German development of

¹⁹ Palisca, *Music and Ideas*, 199.

²⁰ Julio del Bene, “Del convivio delli Alterati” (Biblioteca nazionale centrale, 1575), 137 ff., 17v-19r, Magliabechianus IX, cited in Palisca, *Music and Ideas*, 190.

²¹ Wilson, Buelow, and Hoyt, “Rhetoric and Music,” 6.

²² Palisca, *Music and Ideas*, 198–201.

musical rhetoric and rhetorical figures since it is the primary source for the tools of rhetorical analysis.

German composers readily adapted and applied well-developed and well-known methods of rhetoric, especially in the seventeenth century, as they sought to compose instrumental works beyond a light accompaniment of vocal music. Many musicians were familiar with rhetorical concepts through their schooling and found them quite useful, drawing analogies between music and rhetorical speech. They came to view the goal of moving the affections of the listener through music as a type of persuasion, and so the goals of the rhetorician expressed by Cicero aligned perfectly: “how to convince the persons whom he wishes to persuade and how to arouse their emotions.”²³ Also, as a speech has a beginning, an ending, and identifiable structures in between, so does a musical work. Both comprise parts arranged in sequence and unfolding through time, which are rearranged and repeated for effect. As music raises and lowers pitch, volume, and tempo, so does the voice of the orator. Composers were able to find in figures of speech and tropes numerous parallels in musical figuration.

Musical theorists, however, did not simply import the structures and techniques of classical rhetoric, but rather, they found in rhetoric a way to name musical methods and elements already in use. Although often the bending of oratorical terms to music was strained, this adoption was understandable since, at the time, “rhetoric was the omnipresent metalanguage of language—indeed, it was arguably the only metalanguage of anything at the time.”²⁴ “The German musician’s primary point of departure was an existing musical expression or form which was to

²³ Cicero, *Partitiones Oratoriae*, sec. 1.2.5, cited in Brian Vickers, *In Defense of Rhetoric* (Oxford: Clarendon Press, 2002), 63.

²⁴ McCreless, “Music and Rhetoric,” 851–52.

be analyzed to identify its components, making it available for both pedagogical and artistic purposes.”²⁵

Sixteenth-Century *Musica Poetica*

As mentioned previously, a primary purpose of music during much of the early Baroque period in Germany was the musical expression of vocal text to evoke appropriate affective responses. The Italians had achieved this goal in the madrigal, but musicians in the Lutheran-dominated context of German music-making at the time sought application in a religious rather than profane context. The Lutheran emphasis on music stressed the heartfelt expression of poetic text for the glory of God. “In accordance with Luther’s teachings, music itself was regarded as a heightened form of speech, becoming a rhetorical sermon in sound.”²⁶ At the same time, Luther retained the notion that music reflected divinely ordained and universal harmonies. This blending of theological meaning with affective expression came to be known as *musica poetica*, a name invoked as early as 1533.²⁷ As practical music, it became a separate discipline of composition as distinguished from instrumental and vocal music, and stemmed from *musica practica*, which was a comprehensive category of training in the Renaissance including singing, playing, practical knowledge of harmony and scales, and improvisation.²⁸

Well-versed in rhetoric from their Lutheran schooling, many German composers adopted the ancient method of oratorical composition for their own endeavors. They would have learned that classical rhetoric divided the process of creating and delivering a speech into five major steps:

²⁵ Bartel, *Musica Poetica*, 58.

²⁶ Bartel, 75.

²⁷ Bartel, 20n14.

²⁸ Palisca, *Music and Ideas*, 49.

- Inventio: discovering and gathering material and facts of the matter at hand
- Dispositio: arranging and organizing the collected material in an effective, orderly manner
- Elocutio: adding ornamentation and decorative style in pursuit of eloquence
- Memoria: memorizing the speech and its style of delivery
- Pronuntiatio: delivery of the speech and accompanying gestures²⁹

German theorists of the seventeenth and eighteenth century applied diverse adaptations of this structure to music composition and pedagogy. *Inventio*, the gathering of subject matter as examining the vocal text, received an early focus. As music evolved, becoming less pragmatic and more expressive, *elocutio* received greater attention. The stage of *dispositio*, arranging elements of a song, and its implications for composers was also a central topic. But with the maturation of musical notation, *memoria* held little significance, and *pronuntiatio* needed no special emphasis as musicians had always practiced for performance.

The compositional craft of *musica poetica*, which dominated Baroque Germany, amounted to a highly rational process of selecting musical elements to move the listener according to the needs of a pre-determined text. As such, it was something far different than the ideal of spontaneous expression of a composer's artistry that developed later in the Classical period of music. "The Baroque composer could count on a calculated emotional response from the listener, thus controlling the emotional state of the listener through the music's power... The desired affection could be presented and aroused through the appropriate mode or key, time signature and tempo, figure and cadence, along with the entire arsenal of rhetorical methods and

²⁹ Vickers, *In Defense of Rhetoric*, 62–65.

devices.”³⁰ Given all these devices, although the *musica poetica* composer wrote to move the passions, they were not required to experience those same passions themselves.

Development of the *Figurenlehren*

Theorists and composers in Baroque Germany whole-heartedly adopted *musica poetica*. The *elocutio* stage of oratorical composition received much attention. One of the components of the *elocutio* stage, the *decoratio*, included ornamentation, embellishment, and the use of rhetorical figures and tropes. Attracted to the idea of rhetorical figures for affective, sentimental expression, theorists proposed diverse systems of musical counterparts known as *Figurenlehren* to serve as guidelines. In the adaptation of classical rhetoric, “the most complex and systematic transformation of theoretical concepts into musical equivalents originates in the *decoratio* of rhetorical theory.”³¹ The understanding and delineation of rhetorical figures had been an important part of this theory from the days of Aristotle. Rhetorical figures were viewed as stylized reflections of normal speech patterns used to express an emotion.³² Crying out in anger, for example, became known as *exclamatio*, and mixing up normal word order was termed *hyperbaton*. *Musica poetica* theorists throughout the Baroque period adopted rhetorical names for dozens of musical elements, such as dissonance, repetitions, and melodic components. These definitions varied considerably among the many lists of figures defined by theorists. These separate efforts never amounted to a codified, stable set of figures with agreed upon effects.³³

³⁰ Bartel, *Musica Poetica*, 33.

³¹ Wilson, Buelow, and Hoyt, “Rhetoric and Music,” 7.

³² Vickers, *In Defense of Rhetoric*, 296.

³³ Wilson, Buelow, and Hoyt, “Rhetoric and Music,” 15.

The first theorist to compile such a list was Joachim Burmeister in his *Musica poetica* (1606), a comprehensive manual for composers.³⁴ He discusses the arrangement of a composition and, in the spirit of *musica poetica*, focuses primarily on the *elocutio* phase and its function of ornamentation. He delineates twenty-seven musical rhetorical figures using names from classical rhetoric or inventing new ones. He presents his figures in two sections, ornaments of harmony and ornaments of melody. He presents one of the first analyses of music from a rhetorical perspective as an example, an examination of a motet by the Franco-Flemish composer Orlando di Lasso.³⁵

The path Burmeister takes does not begin with a classical rhetorical figure for which he then creates a musical parallel, but rather with musical ideas to which he applies a rhetorical label. This point is essential to consider when evaluating the appropriateness of applying rhetorical figures to music, and one not always appreciated. The contemporary rhetorical scholar, Brian Vickers, for instance, argues that figures should apply only to verbal rhetoric because words have a definite meaning whereas musical figures do not.³⁶ For example, the *hyperbole* in classical rhetoric refers to an exaggeration, and Burmeister uses the name to designate notes that appear outside of the modal ambitus.³⁷ If he were mapping the linguistic use to the musical one as a direct correspondence, it would indeed be a misapplication. But, as Baroque scholar, Dietrich Bartel, notes, Burmeister's "point of departure is always the musical composition and its

³⁴ Joachim Burmeister, *Musical Poetics*, trans. Benito V. Rivera (New Haven: Yale University Press, 1993).

³⁵ Burmeister, 205–8.

³⁶ Vickers, *In Defense of Rhetoric*, 364.

³⁷ Burmeister, *Musical Poetics*, 183.

expressive devices rather than the rhetorical term with a search for a corresponding musical expression.”³⁸

Definitions of the musical rhetorical figures developed along with shifting preferences in musical styles. After Burmeister’s great achievement, changing practices among composers soon diminished its relevance. Palisca observes that, “although polyphonic motets and madrigals continued to be written after 1606, younger composers were turning to composition for solo voices with basso continuo, to which only few of the artifices described by Burmeister’s figures are applicable.”³⁹ Consequently, the musical rhetorical concepts and figures of *musica poetica* had to evolve through the mid-eighteenth century in order to stay relevant.

One shift in musical style was the idea that the expressive needs of the text could warrant breaking rules of counterpoint. The Italian style known as *seconda pratica* employed such departures to give added expression to textual meanings. As justification of this trend, German theorist Christoph Bernhard, in his *Tractatus compositionis augmentatus* ca. 1657, devised numerous figures which represented unresolved or unprepared dissonances. Bernhard contributed in other ways, such as a more logical classification of the figures, but the justification of dissonance was his primary focus.⁴⁰ Despite these adaptations, however, “by the end of the Baroque era the suspension along with imitative counterpoint and passing dissonances lose their position as principal and fundamental methods of structuring and ornamenting a composition.”⁴¹ Nonetheless, Bernhard’s developments in the musical figures demonstrate how their meaning evolved significantly as the conceptions of music changed. In light of their continual

³⁸ Bartel, *Musica Poetica*, 95.

³⁹ Palisca, *Music and Ideas*, 225–26.

⁴⁰ Bartel, *Musica Poetica*, 113.

⁴¹ Bartel, 399.

development and varied application, one must consider their historical context when selecting musical figures for analysis to ensure their applicability to the particular music under consideration.

Music theorists from the late sixteenth through the mid-eighteenth century presented many different adaptations of Classical rhetoric. In his *Musica Poetica*, Bartel discusses thirteen theorists in addition to Burmeister and Bernhard. Despite these developments, however, the cultural preoccupation with *musica poetica* began to weaken by the mid-eighteenth century. The “powerful forces that had welded Reformation theology, classical humanism, and a few remnants of a medieval worldview together into a stable cultural system for almost two centuries were waning”⁴² and eventually diminished completely.

An Evolving Meaning of Music

The central focus of *musica poetica* was “the expression of objective and generally valid affections instead of subjective and individualized feelings.”⁴³ But this ideal gradually succumbed to the *empfindsam* style of the eighteenth century and the increasing appreciation of purely instrumental music.

Early in the century, instrumental music in the style of Italian sonatas and sinfonias presented a challenge to the prevailing view that vocal music was superior to instrumental. German theorists of the *musica poetica* school understood musical meaning as an expression of vocal text, and so had to grapple with the nature of purely instrumental music. “Music alone, unassociated with words, lacks a soul and is incomprehensible; words must speak for it if one

⁴² McCreless, “Music and Rhetoric,” 868.

⁴³ Bartel, *Musica Poetica*, 157–58.

would know what it is that music intends to say,” wrote the influential literary scholar Johann Gottsched (1700–1766).⁴⁴ But what music intended to say during the eighteenth century was increasingly the individual expression of the composer’s feelings. The calculated approach to composition of *musica poetica* was therefore left behind by the new aesthetic. Music was seen as inherently able to communicate feelings apart from vocal text or imitations of nature.

Composers of the eighteenth century, therefore, no longer saw a need to study pre-determined material for their ideas, for the *inventio* stage of composition. Composers of *musica poetica* sought, through careful planning, to capture the affective tone of the vocal text and to move the affections of the listener accordingly. But their successors abandoned these foundational concepts of *musica poetica*. Referring to C. P. E. Bach, Haydn, and Mozart, present-day scholar, Rodney Farnsworth, writes that “it was more than a matter of rejecting something in decline; for these new musical theorists, had they known even the rhetorical conceptions of J. S. Bach, would have rejected them also; the reason for this is that they simply rejected the central tenet of rhetoric—the importance of the audience as something to affect and to study how to affect it.”⁴⁵ Much later, Robert Schumann would dismissively regard the idea that a composer should collect ideas (*inventio*) and arrange them (*dispositio*) as a preacher might do with a sermon, something that would have been considered a normal process during the height of the Baroque *musica poetica*.⁴⁶

⁴⁴ Johann Christoph Gottsched, *Auszug aus des Herrn Batteux Schönen Künsten* (Leipzig: C. C. Breitkopf, 1754), 207. Cited in Mark Evan Bonds, *Wordless Rhetoric: Musical Form and the Metaphor of the Oration*, *Studies in the History of Music* 4 (Cambridge, Mass: Harvard University Press, 1991), 62.

⁴⁵ Rodney Farnsworth, “How the Other Half Sounds: An Historical Survey of Musical Rhetoric during the Baroque and After,” *Rhetoric Society Quarterly* 20, no. 3 (June 1990): 219, <https://doi.org/10.1080/02773949009390884>.

⁴⁶ Wilson, Buelow, and Hoyt, “Rhetoric and Music,” 19–20.

Despite the waning of *musica poetica*, rhetorical figures retained their validity for affective expression. We can view this transition from *musica poetica* and its interpretation of the doctrine of the affections to the Classical music style in Germany as a shift in perspective. M.H. Abrams, a prominent twentieth-century literary scholar, describes this as moving from a pragmatic theory to an expressive theory. The pragmatic approach, characteristic of *musica poetica*, “looks at the work of art chiefly as a means to an end, an instrument for getting something done, and tends to judge its value according to its success in achieving that aim.”⁴⁷ In contrast, with the expressive theory of art, fully adopted in the Romantic period, “the artist himself becomes the major element generating both the artistic product and the criteria by which it is to be judged.”⁴⁸ Both views involve influencing the thoughts and feelings of the listener, but “the key issue is whether these effects are seen as an end in themselves...or as a by-product, so to speak, of the artist’s outpourings, as in the expressive theory.”⁴⁹ Significantly, since rhetorical figures involve the manner of affective expression rather than the purpose of it, they can apply to a composition whether it is a work of pragmatic art or of expressive art. Rhetorical analysis can therefore appropriately apply to Classical, Romantic, and contemporary era music as well as Baroque.

The Revised Rhetorical Figures of Scheibe and Forkel

As the Baroque understanding of music evolved into the aesthetic of the Enlightenment, conceptions and definitions of the musical rhetorical figures became distant from their historical,

⁴⁷ M. H. Abrams, *The Mirror and the Lamp: Romantic Theory and the Critical Tradition*. (New York: Oxford University Press, 1953), 15.

⁴⁸ Abrams, 21–22.

⁴⁹ Bonds, *Wordless Rhetoric*, 55n5.

text-based roots. Whereas early theorists employed figures to rhetorically express the meaning of vocal text, eighteenth-century thinkers defined musically appropriate figures without as much concern for text-expressive capabilities. The last of the musical rhetorical theorists, Johann Scheibe and Johann Forkel, adopted the Enlightenment conception of musical meaning, and consequently, defined their figures for application to instrumental music. Their musical rhetorical figures form the basis of my analysis of Berwald's *Sinfonie Singulière* in chapter four. The following paragraphs consider their historical context and how these music theorists developed their ideas.

Johann Adolph Scheibe (1708–1776) was raised in Leipzig and was “arguably the most musically sensitive of the musico-rhetorical theorists of the eighteenth century.”⁵⁰ He entered Leipzig University for a law career but took up a study of music on his own when financial shortfalls forced him to leave his schooling, after which he applied unsuccessfully for several organ positions. In 1736 he moved to Hamburg where he began publishing his periodical *Der kritische Musicus*. He produced nearly eighty issues from 1737 to 1740, which were later collected into a compendium of the same name. He also published treatises on music theory, music history, and on composition. His prodigious music compositions comprised over 150 church works, nearly 200 instrumental concertos, several masses, Passion oratorios, numerous sinfonias, and two operas, along with many other pieces.⁵¹ He eventually became *Kapellmeister* at the Danish court in 1740 and remained in Denmark through his final years. Scheibe was sensitive to the *empfindsam* style of the time and critical of what he considered the overly

⁵⁰ McCreless, “Music and Rhetoric,” 870.

⁵¹ George J. Buelow, “Scheibe, Johann Adolph,” in *Oxford Music Online* (Oxford University Press, 2001), <https://doi.org/10.1093/gmo/9781561592630.article.24777>. See this article for a complete list of Scheibe's compositions, including lost works.

elaborate counterpoint of his day. He published a critique of J. S. Bach along these lines for which Scheibe was unfairly maligned in historical writings; against this detraction he has only recently been defended.⁵² Of Scheibe, Buelow writes, “his works inaugurate a new outlook in the critical writing about music in Germany.”⁵³

Scheibe was a proponent of *musica poetica* and continued to believe in the preeminence of vocal music, but saw the figures as *primary* expressions of affections rather than as dependent on vocal text for their meaning. He was therefore able to recast them in light of the musical aesthetic of his day. Scheibe “most concisely articulates a central historical phenomenon embodied in the evolution of the musical figures: that the expressive meaning originally linked with a text in vocal music can eventually be liberated to function independently in instrumental music.”⁵⁴ As expressions of the composer’s personal inspirations, “the composer whom Scheibe addresses is not the devout *musicus poeticus* but the instrumental composer of the mid-century Enlightenment.”⁵⁵ Music receives meaning where “the figures themselves are the very language of the affections.”⁵⁶ As Bartel comments, “the commonality of the figures’ usages in vocal and instrumental music lies in their power to express and arouse the affections rather than in their potential to express specific, literal thoughts.”⁵⁷ Through Scheibe, “the concept of the musical-

⁵² George J. Buelow, “In Defence of J. A. Scheibe against J. S. Bach,” *Proceedings of the Royal Musical Association* 10 (1975): 85–100. For an extended discussion of the controversy also sympathetic to Scheibe, see Imanuel Willheim, “Johann Adolph Scheibe: German Musical Thought in Transition.” (PhD Dissertation, University of Illinois at Urbana-Champaign, 1963), 240–64.

⁵³ Buelow, “In Defence of Scheibe,” 98.

⁵⁴ McCreless, “Music and Rhetoric,” 870.

⁵⁵ McCreless, 870.

⁵⁶ Johann Adolph Scheibe, *Critische Musicus* (Hildesheim; New York: Georg Olms Verlag, 1970), 683, cited in Bartel, *Musica Poetica*, 149.

⁵⁷ Bartel, *Musica Poetica*, 151.

rhetorical figures is removed from the *musica poetica* tradition and placed in the context of the Enlightenment.”⁵⁸

With Scheibe’s adaptations of the musical rhetorical figures, we now have definitions applicable to works of the later Classical and Romantic periods as well. Patrick McCreless demonstrates the broad applicability of Scheibe’s figures by applying them to the fourth movement of a Beethoven sonata (Op. 10, No. 3).⁵⁹ “Scheibe’s figures elegantly map onto many of the features of the music that are most engaging to us as listeners,” noting rhetorical expressions of hesitancy, repetitions with alterations, surprise, and unexpected changes in direction.⁶⁰

Widely considered the founder of musicology, Johann Nicolaus Forkel (1749–1818) was born near Coburg in central Germany. Although he learned the organ at an early age, he apparently received no formal training in music theory, but instead studied philosophy and mathematics at the University of Göttingen. He became the university’s music director in 1779 and thereafter remained at the university. Scholars often credit his biography of J. S. Bach with strongly influencing the Bach revival of the nineteenth century. Forkel’s *Allgemeine Geschichte der Musik* was “the first German attempt to compile an objective and comprehensive history of music.”⁶¹ In the introduction, he gives an overview of music theory in general and discusses the place of musical rhetoric and rhetorical figures, extending their applicability even further than did Scheibe.

⁵⁸ Bartel, 156.

⁵⁹ McCreless, “Music and Rhetoric,” 874–75.

⁶⁰ McCreless, 872.

⁶¹ Bartel, *Musica Poetica*, 158.

As Bartel observes, “the text-bound orientation of *musica poetica*...has virtually disappeared in Scheibe’s *Figurenlehre*,”⁶² but nonetheless, strong ties to vocal music remained. Scheibe maintains that a person learns the meaning of the figures through vocal music, stating, “only then can they be applied to instrumental music, which, concerning the expression of the affections, is nothing other than an imitation of vocal music.”⁶³ Forkel, however, makes a clean break, “going beyond Scheibe, he detached the figures completely from texted vocal music and claimed that they were not derived from the rhetorical figures of language, but were fundamental and analogous forms of human expression.”⁶⁴

Forkel places his use of musical rhetorical figures in the *dispositio* phase of rhetorical composition; figures, expressions of feelings, are not merely ornamentation, they are the very essence of the music. The effective communication of feeling expressed in a composition is a matter of properly ordering musical rhetorical figures. “The portrayal of a feeling with all its infinite modifications requires that not only individual tones and chords be connected into a phrase, but also that a series of phrases, that is, an entire series of thoughts be linked together. Musical rhetoric teaches this connection of complete thoughts.”⁶⁵

Like Scheibe, Forkel writes about the preeminence of the composer, but gives it more emphasis. “No one doubts that the expression and portrayal of our feelings must be a primary goal of all compositions,”⁶⁶ and “the most immediate purpose of tonal language is for feeling...

⁶² Bartel, 153–54.

⁶³ Scheibe, *Critische Musicus*, 685, cited in Bartel, *Musica Poetica*, 150.

⁶⁴ McCreless, “Music and Rhetoric,” 873.

⁶⁵ Doris Powers, *Johann Nikolaus Forkel’s Philosophy of Music in the Einleitung to Volume One of His Allgemeine Geschichte der Musik (1788): A Translation and Commentary with a Glossary of Eighteenth-Century Terms* (Ann Arbor: UMI Dissertation Services, 1995), 103.

⁶⁶ Powers, 123.

Tonal language is certainly the language closest to feeling.”⁶⁷ Thus, “affects are now considered entirely subjective and highly personal. Each piece reflects the inner character of its composer.”⁶⁸ In Forkel, therefore, we come to a complete departure from the central premises of *musica poetica*.

Summary of Music and Rhetoric

The application of rhetorical concepts grew out of the Renaissance and the recovery of ancient Greek and Roman texts on rhetoric. The importance of music for the Greeks, including Plato’s emphasis on the preeminence of musical text over rhythm and harmony, served as inspiration for the humanists, who incorporated these ideas and gave rise to the doctrine of the affections. The primary focus of music turned to composing music that allowed for better understanding of the vocal text and that conveyed more closely the affective tone appropriate to its meaning. Moving the affections of the listener assumed a primary position and maintained its status into the Classical period of music.

Theorists of Baroque Germany developed detailed treatises on incorporating the concepts of rhetoric into composition in a school of thought known as *musica poetica*. They conceived of affections in such a way that music could, through a cause and effect relationship, stir the passions of the listener, and focused on the expression of vocal music appropriate, for instance, for Lutheran church services. Composers such as Gallus Dressler (1533–ca. 1580), Heinrich Schütz (1585–1672), and Giacomo Carissimi (1605–1674) would analyze song texts as their

⁶⁷ Powers, 130.

⁶⁸ Wilson, Buelow, and Hoyt, “Rhetoric and Music,” 19.

subject matter and derive the sought-after affections from the text with no consideration given to the expression of personal feelings.

With the rise of the *Empfindsamkeit*, the focus shifted away from expression of textual meanings to the expressive powers of purely instrumental music. The Classical idea of the purpose of music further shifted the focus from the expression of text-derived affections to the expression of the individual feelings of the composer. The last theorists of the *musica poetica* era, Johann Scheibe and Johann Forkel, defined musical rhetorical figures that reflected this change of priorities in the eighteenth century. By way of further background for this dissertation, I would like to now focus briefly on the composer Franz Berwald and his works, and to the *Sinfonie Singulière* in particular.

Background on Franz Berwald and his *Sinfonie Singulière*

Franz Adolph Berwald was born in Stockholm in 1796 into a family with several preceding generations of musicians. A violinist, physician, and industrialist, Berwald lived to the age of 71, and was a prominent symphonic composer in nineteenth-century Sweden. Although Berwald is not well known outside of Europe, his memory is enshrined in Stockholm in the concert hall, Berwaldhallen, that opened in 1979 and seats approximately 1300 people.

Berwald wrote four complete symphonies from 1842 to 1845, however, only one was performed during his lifetime, his Symphony No. 1 in G minor, titled, *Sinfonie Sérieuse*. The third symphony, *Sinfonie Singulière* in C major, was composed in 1845. It would have to wait 60 years until it became known to the public. It was first performed in Stockholm in 1905 under the

baton of the Swedish conductor, Tor Aulin, who was such a strong supporter of Berwald's works that he was chosen to conduct the premiere.⁶⁹

The word *Singulière* translates as “unique,” “incomparable,” or simply “singular.” Berwald was known to have valued originality and uniqueness in compositions, but the only autograph does not clarify what he intended by the title.⁷⁰ However, according to Herbert Blomstedt, world-renowned conductor and editor of the urtext Bärenreiter score, some notable, “singular” characteristics of this symphony are “the thematic tersity of the first movement... abrupt dynamic changes... the fact that the scherzo lies embedded in the slow movement... a minor key for the finale of a symphony in the major.”⁷¹ In 1912, German composer and conductor, Georg Göhler stated that the *Sinfonie Singulière* has “terseness of its themes, the artifice of its construction, the power of its mood painting, and the originality of the harmony and dynamics are such as to assure it a place among the very best of the post-Beethoven symphonies.”⁷²

Blomstedt believes that the symphony displays Berwald's creative genius. Berwald's sound was different than any of his contemporaries, many of whom wrote in imitation of Mendelssohn or Schumann. Blomstedt states that in Berwald, there was “not any hint of imitation... Berwald's music is completely original. You can hear immediately from the first ten bars that this is another composer... So, that is a sign of greatness. He was very experienced; he was a complete professional. He had just a sound of his own, which is what a composer should have.”⁷³

⁶⁹ Erik Wallrup, “Tor Aulin,” Swedish Musical Heritage, accessed September 26, 2018, <http://www.swedishmusicalheritage.com/composers/aulin-tor>.

⁷⁰ Herbert Blomstedt, preface to *Sinfonie singulière* (Bärenreiter, Kassel, 1967), xii.

⁷¹ Herbert Blomstedt, xii.

⁷² Herbert Blomstedt, xiii.

⁷³ Herbert Blomstedt, telephone interview by author, July 21, 2019.

Chapter Two: Review of Literature

Works on the *Sinfonie Singulière*

Apart from performance reviews and brief discussions in compendiums of symphonic literature, only one systematic study has been published on Berwald's *Sinfonie Singulière*, which I will mention here as part of an introduction to the symphony. This work is a twenty-first century study of the symphony's structure by Friedhelm Krummacher.¹ After setting a historical context for the composition and examining some of the artistic influences, Krummacher takes up the question of whether the symphony's unusual structure, with its abrupt shifts and unexpected repetitions, is the product of creativity or simply the result of arbitrariness. Rather than only comparing Berwald's deviations from traditional structure, Krummacher argues that in order to appreciate Berwald's design, the parts must be considered as functioning together within the movement. When so considered, the careful plan of the symphony emerges.

The bibliography on the Swedish National Heritage website includes analyses of many of Berwald's other works, mostly available in Swedish or German.² As mentioned above, the list includes several short commentaries on the *Sinfonie Singulière*. Other sources include mostly reviews and program notes from various performances. An important analysis of the structure of the work's symphonic form can be found in A. Peter Brown's volume on European symphonies

¹ Friedhelm Krummacher, "Berwalds Singulière: eine singuläre Symphonie?," in *Berwald-Studien*, ed. Hans Åstrand (Stockholm: Musikaliska Akademien, 2001), 13–30.

² "Franz Berwald," Swedish Musical Heritage, accessed July 11, 2017, <http://www.swedishmusicalheritage.com/composers/berwald-franz>.

from German and Nordic countries.³ Many biographical sketches exist in dictionaries and other articles, but most base their information on the biography by Robert Layton.⁴

Contemporary Rhetorical Analyses

Analyses of musical compositions from a rhetorical perspective date back to the original theorists of the *Figurenlehren* in the seventeenth and eighteenth centuries. For instance, in his treatise *Der vollkommene Capellmeister*, Johann Mattheson analyzes several rhetorical figures in an unnamed aria by Benedetto Marcello.⁵ Modern day analysts often focus upon the Baroque period and the music of J. S. Bach, a period when composers were generally familiar with rhetorical figures and applied them as aids to composition. The approaches these studies represent utilize methods that vary considerably, as do the points of view on the meaning of rhetorical analysis. Moreover, scholars have widely divergent goals for undertaking such analyses. In the following review of literature, I will discuss, in chronological order, several contemporary works that employ some form of musical rhetorical analysis. Along with each work, I will offer some comments regarding their relationship and applicability to the goals of the performance-centered rhetorical analysis that is the focus of this present work.

Gregory Butler (1977) examines the fugue as the best early genre that exemplifies the use of rhetorical figures in composition.⁶ Early theorists examined the rhetorical nature of fugal devices, mostly in the seventeenth century, but also earlier and through the mid-eighteenth

³ A. Peter Brown, *The European Symphony from ca. 1800 to ca. 1930: Germany and the Nordic Countries*, *The Symphonic Repertoire*, v. III, pt. A (Bloomington: Indiana University Press, 2007), 330–37.

⁴ Robert Layton, *Franz Berwald* (London: Anthony Blond Ltd., 1959).

⁵ Johann Mattheson, *Der vollkommene Capellmeister*, trans. Ernest Charles Harriss, *Studies in Musicology* 21 (Ann Arbor, Mich: UMI Research Press, 1981), 472–76.

⁶ Gregory G. Butler, “Fugue and Rhetoric,” *Journal of Music Theory* 21, no. 1 (1977): 50, <https://doi.org/10.2307/843479>.

century to the time of Mattheson. Butler presents several examples of sixteenth-century rhetorical analysis, going as far back as 1537, tracing the development of the fugue as a musical-rhetorical structure. He argues that a rhetorical approach provides an essential understanding of the fugue while traditional approaches, with their focus on technical aspects, obscure its true nature. With the aid of these figures, one can analyze the imitation of voices and tensions of their interplay. He concludes with the statement, “Current terminology stresses contrapuntal compatibility among the voices and mechanical compositional procedures which leave the fugue bland and lifeless instead of exciting and vital as it was in the period during which it evolved as a musical structure of central importance.”⁷

Butler’s rhetorical perspective particularly identifies fugal rhetorical figures, with the aim of casting the works under consideration as lively and exciting. He presents these rhetorical figures as keys to understanding early conceptions of the fugue. The musical rhetorical figures he discusses, taken from a broad range of theorists, consequently, have a narrow focus. His efforts leave unaddressed the application of rhetorical analysis to works from other genres, particularly to works beyond the Baroque period.

Jacobus Kloppers (1984) applies Baroque rhetorical figures to several of Bach’s works to illustrate rhetorical intentions.⁸ He describes two types of symbols employed by Bach, those that need decoding to determine what they represent, and those not needing any explanation, that are not abstractions. Among the former are symbols representing concepts in numerology and allegory. Among the latter he includes musical rhetoric, where symbols can be “directly

⁷ Butler, “Fugue and Rhetoric,” 99–101.

⁸ Jacobus Kloppers, “Musical Rhetoric and Other Symbols of Communication in Bach’s Organ Music,” *Man and Nature* 3 (1984): 131, <https://doi.org/10.7202/1011830ar>.

visualized or experienced through musical sound.”⁹ Bach’s music is “foremost, music to be enjoyed and analyzed in musical terms: theory, harmony, counterpoint, style, ornamentation and musical form.”¹⁰ However, Kloppers maintains that in addition, Bach inherited a rich tradition of rhetorical musical concepts that influenced his compositions, which need consideration if one is to grasp their expressive characteristics. Kloppers presents a rhetorical analysis of the G-minor *Fantasia* (BWV 542) and the *Dorian Toccata* (BWV 538) as non-textual examples of rhetorical figuration. Analyzing aspects of counterpoint and repetition, he employs rhetorical figures largely to identify compositional techniques. Kloppers summarizes as follows: “The idea, sometimes encountered, that Bach’s organ music is essentially unemotional, abstract, ‘pure music,’ based on ‘pure musical form and development’ to be played without affect, fails to recognize the philosophical and compositional concepts from which these works originated.”¹¹

Like Butler, Kloppers pursues the goal of countering the conception of Bach’s works as dry and without emotional appeal. Kloppers includes a broader range of rhetorical figures, some of which can be more easily characterized as expressive than those pertaining to fugal devices. His division of symbols into two categories—those that require abstraction to decode and those that do not—resembles Johann Forkel’s own division into figures for the understanding and figures for the imagination.¹² However, with his focus on techniques and devices for counterpoint composition, his approach would also not aid in the performance interpretation of the Classical and Romantic periods and beyond.

⁹ Kloppers, 131.

¹⁰ Kloppers, 132.

¹¹ Kloppers, 151.

¹² Doris Powers, *Johann Nikolaus Forkel’s Philosophy of Music in the Einleitung to Volume One of His Allgemeine Geschichte der Musik (1788): A Translation and Commentary with a Glossary of Eighteenth-Century Terms* (Ann Arbor: UMI Dissertation Services, 1995), 130.

Alan Street (1987) theorizes that the origins of Bach's *Goldberg Variations* (BWV 988) lie partly in response to Johann Scheibe's criticism of what the latter considered an overly complicated and mathematical style.¹³ Scheibe published a critique of Bach in the guise of an anonymous letter in *Der critische Musicus*.¹⁴ After praising Bach for his great organ skills, Scheibe writes, "This great man would be the admiration of whole nations, if he were more agreeable, and if he did not deprive his pieces of their naturalness by giving them a bombastic and confused style, and obscured their beauty by an excessive application of artifice."¹⁵ Street refers to the ancient oratory of Quintilian for the structure and intended effects of the *Goldberg Variations*. He argues that Bach's use of rhetorical structure demonstrates attention to the emotions of the listener, thereby countering Scheibe's complaints of disproportionate abstraction. Street provides an analysis of each variation that closely reflects Quintilian's rhetorical principles and figures, presenting an overall arrangement of the variations and drawing elaborate parallels to oratorical structure.

Whether or not Street presents a convincing argument that Bach composed the *Goldberg Variations* to refute Scheibe, Street's methodology represents a common adoption of oratorical compositional structure for musical analysis. As we saw above, Butler and Kloppers rely primarily on rhetorical figures to demonstrate the expressive subtlety embodied in the compositional design. Street, rather, turns to the overall structure of the work and its similarity to

¹³ Alan Street, "The Rhetorico-Musical Structure of the 'Goldberg' Variations: Bach's 'Clavier-Übung' IV and the 'Institutio Oratoria' of Quintilian," *Music Analysis* 6, no. 1/2 (March 1987): 89, <https://doi.org/10.2307/854217>.

¹⁴ Johann Adolph Scheibe, *Critische Musicus* (Hildesheim; New York: Georg Olms Verlag, 1970).

¹⁵ Scheibe, *Critische Musicus*, 62, cited in George J. Buelow, "In Defence of J. A. Scheibe against J. S. Bach," *Proceedings of the Royal Musical Association* 10 (1975): 90.

the structure of a well-crafted speech as described by the ancient source, Quintilian, to cast the *Goldberg Variations* as a persuasive argument.

As interesting as attempts to draw parallels to the structures of ancient oratory may be, such a direct correlation as Street is making opens itself to the criticism of misapplying the meanings of verbal rhetoric and discourse to musical works. Street writes, for instance, that “the element of response engendered between the composer and his listeners in a solo performance most nearly recreates the true conditions of oratory.”¹⁶ For example, in the *Goldberg Variations*, Bach seeks to engage the listener’s interest and appreciation of clever melodic interplay. The primary purpose of oral rhetoric, however, is to persuade the listener to adopt a specific point of view. Consequently, the orator seeks a type of response in the listener beyond the sort of interest and appreciation sought by the musical composer. For these reasons, and because such parallels to oratorical structure lack relevance to the performer, I will not attempt to include analogies between musical and oratorical composition as I develop a method of rhetorical analysis for performance interpretation.

Daniel Harrison (1990) takes a rhetorical approach to the fugue as did Butler and draws parallels to oratorical composition as does Street. Harrison’s objectives differ from Butler, however, and he directs his criticism at Butler’s methodology. Harrison contends that an application of rhetorical figures as practiced by Butler misses the larger rhetorical characteristics that truly make the fugue persuasive. He argues that such an application, like those of the early *musica poetica* theorists Burmeister and Mattheson, focuses on the rhetoric of style and literary

¹⁶ Street, “Structure of the ‘Goldberg’ Variations,” 107.

device at the expense of “primary rhetoric,” that is, the rhetoric of persuasion.¹⁷ In analysis of the fugue from Bach’s Toccata in G minor (BWV 915), Harrison begins with “the assumption that the composition is a persuasive discourse with a self-defined topic, and not a collection of ornaments, graces, and techniques having a purely aesthetic meaning.”¹⁸ Therefore, “the task of a fugue is to persuade an audience that the musical material can make a convincing and successful composition.”¹⁹ Rather than simply naming the musical rhetorical figures found in an instrumental work, he seeks to discern a deeper rationale for the selection of figures and their arrangement. He develops the concepts of “status” and “topic” to arrive at the deeper structures of a work.

Harrison makes insightful comments concerning the misuse of rhetorical figures, warning against generating lists of small-scale devices that serve little purpose. His own method provides a larger context for rhetorical analysis, which he frames within the structure of oratorical discourse. His objective to demonstrate how a fugue is “convincing and successful,” however, as far as performance interpretation, is once again of limited value. Moreover, viewing a composition as “a persuasive discourse with a self-defined topic” may serve well for imitative counterpoint, but not for works of the Classical period and beyond where composers had long discarded a model of oratorical composition for fashioning their works.

Elaine Sisman (1993) presents an in-depth study of the Classical variation in the period between Bach and Beethoven, specifically in Haydn and Mozart, and includes a discussion of a

¹⁷ Daniel Harrison, “Rhetoric and Fugue: An Analytical Application,” *Music Theory Spectrum* 12, no. 1 (1990): 4, <https://doi.org/10.2307/746145>.

¹⁸ Harrison, 7.

¹⁹ Harrison, 5.

rhetorical perspective.²⁰ Sisman's chapter on "The Rhetoric of Variation" briefly covers the development of musical rhetorical figures, with special attention given to Forkel and his emphasis on instrumental music along with the distinction between ornamental and expressive figures. She discusses the notion of the variation and its roots in the rhetorical concept of repetition. Drawing parallels to the rhetorical strategies of an ancient treatise on rhetoric sometimes attributed to Cicero, Sisman proposes a design of a theme and variations in Mozart's Rondo in D major (K. 382). In addition, she analyzes the third movement of Haydn's Sonata in A major (Hob. XVI:30) in a similar fashion.

Like the authors discussed above, Sisman applies concepts and norms of ancient oratory to shed light on the structure of a musical composition, this time from Haydn and Mozart. In Sisman's study, we find rhetorical analysis applied to works later than the Baroque period. As with the preceding studies, she confines her efforts to a specific objective, developing concepts of rhetorical figuration specifically to aid in analyzing the genre of the variation. Her approach examines the structure of the theme and variation in order to gain a deeper appreciation of the composer's conceptual design and its intent.

Karl Braunschweig (2004) adopts a rhetorical perspective to account for how Bach accomplished phrase expansion at a time prior to a commonly accepted understanding of phrase length.²¹ He observes that "Bach could create the sense of expansion without relying on periodicity and normative phrase lengths."²² After discussing the limited applicability of

²⁰ Elaine Rochelle Sisman, *Haydn and the Classical Variation*, Studies in the History of Music 5 (Cambridge, Mass.: Harvard University Press, 1993).

²¹ Karl Braunschweig, "Rhetorical Types of Phrase Expansion in the Music of J. S. Bach," *Intégral* 18/19 (2004): 71.

²² Braunschweig, 72.

traditional musical rhetorical figures from the *musica poetica* theorists, he proposes a new category of rhetorical figures called “figures of expansion.” He divides these according to their means of accomplishing phrase expansion: through text or motivic repetition, through expanded harmonic function, and through expanded dissonance.

In Braunschweig’s project, with its narrow focus upon phrase expansion in the works of Bach, we again find use of a musical rhetorical framework in order to shed light on a specific problem bound to a particular period. As such, this study does not contribute to a general methodology for rhetorical analysis aimed at performance interpretation.

Bettina Varwig (2008) addresses the problem of understanding the overall design of Bach’s compositions and uses the first movement of his *Brandenburg Concerto No. 3* in G major (BWV 1048) as a primary example.²³ She summarizes previous attempts at rhetorical analysis of Bach’s works as either focusing principally on local expressive elements on the one hand, or as viewing the overall structure in light of Classical oratorical compositional strategies on the other. Because of this polarity, “the resulting analyses often fail to establish sufficient continuities between elements of localized expression and overarching structure.”²⁴ She offers a perspective to address this lack of continuity and to provide a way of understanding Bach’s overall compositional intentions. During Bach’s time, she explains that composers were universally exposed to ideas of linguistic rhetorical theory concerning the variation and amplification of simple statements. Rhetoric “was the one discipline at the time that concerned itself with devising and shaping primary patterns of creative thought.”²⁵ She argues that analyzing Bach’s

²³ Bettina Varwig, “One More Time: J. S. Bach and Seventeenth-Century Traditions of Rhetoric,” *Eighteenth Century Music* 5, no. 2 (September 2008), <https://doi.org/10.1017/S1478570608001486>.

²⁴ Varwig, 180.

²⁵ Varwig, 208.

works from a perspective of free form invention and variation allows one to appreciate how local elements integrate into a design that retains a forward trajectory.

Patrick Saint-Dizier (2014) applies musical rhetoric as a foundation for constructing computational algorithms to analyze musical works.²⁶ He uses a perspective of linguistic analysis that he terms “rhetorical structure theory,” and discusses the commonalities and differences between meaning conveyed in language and meaning conveyed in music. He presents short examples from a few composers, finally demonstrating his methods with a rhetorical analysis of Bach’s Passacaglia in C minor (BWV 582), and a few sections of various piano sonatas from Beethoven. The majority of his work discusses finer details of linguistics, semantics, and grammar as applied to musical analysis. The rhetorical devices of interest to his project limit their scope to smaller-scale groups of notes suitable for pattern recognition by means of computer algorithms. As such, his project does not concern itself with performance interpretation and again focuses on a work from the Baroque period.

With the study of John Zastoupil (2014) on the application of rhetorical figures to score study,²⁷ we find one example of rhetorical analysis for the purpose of performance interpretation. He approaches the topic from the perspective of score study, and builds a case for the inclusion of rhetorical figure analysis to enhance “the Interpretive phase of score study.”²⁸ He maintains that musical rhetoric integrates score analysis and performance practice with personal intuition to arrive at a fuller interpretation. He assembles a list of rhetorical figures with definitions from

²⁶ Patrick Saint-Dizier, *Musical Rhetoric: Foundations and Annotation Schemes*, Focus Series (Hoboken, NJ: John Wiley & Sons, 2014).

²⁷ John P. Zastoupil, “The Application of Select Musical Rhetorical Figures for Conductors in Score Study” (Evanston, Illinois, 2014).

²⁸ Zastoupil, 32.

various sources, some taken from early *musica poetica* theorists. He exemplifies his rhetorical method by analyzing portions of several works that span from Giovanni Gabrieli to David Maslanka, especially focusing on Maslanka's Symphony No. 4. While a significant contribution to rhetorical analysis, Zastoupil's work raises some questions.

One issue is his treatment of the rationale and historical basis for musical rhetorical analysis, which is done in a cursory fashion and is insufficiently developed. For example, his choice of twenty-one rhetorical figures, divided into four categories, is presented without benefit of a rationale for his selections. Among them are many figures from early *musica poetica* theorists, such as *anabasis* and *catabasis*, which were explicitly tied to vocal text.²⁹ Also problematic, as we saw above in the review of Butler, is his reliance upon oratorical rhetoric for the meaning of musical rhetoric. In his introduction, Zastoupil writes, "Musical rhetoric is the application of literary principles to music through compositional technique,"³⁰ and later, that rhetorical analysis is "meant to enhance interpretation by linking a linguistic method to musical analysis."³¹ This understanding perhaps coincides with early theorists of the *musica poetica* school who understood rhetorical figures as compositional devices and believed that the meaning of music derived from vocal text. But it does not take in to account the further development of musical rhetorical theory, especially that of Scheibe and Forkel, who firmly established the meaning of rhetorical figures for purely instrumental music and for personal affective expression.

Zastoupil's undertaking of rhetorical analysis in score study demonstrates a useful method for gaining insight into performance interpretation and contributes to the sparse body of

²⁹ Dietrich Bartel, *Musica Poetica: Musical-Rhetorical Figures in German Baroque Music* (Lincoln: University of Nebraska Press, 1997), 180, 215.

³⁰ Zastoupil, "Rhetorical Figures for Conductors in Score Study," 11.

³¹ Zastoupil, 93.

symphonic score analyses from a rhetorical perspective, but it leaves the subject in need of further development. In addition to establishing a more solid rationale for rhetorical analysis, it would help to have an outline of the steps involved. In the next chapter on methodology, I give a fuller presentation of the rationale for musical rhetorical analysis along with suggested steps for analyzing a work from this perspective.

Discussion and Summary

How do the objectives and methods of these studies stand in relation to rhetorical analysis for the purpose of enhancing performance interpretation? Clearly, their methods and purposes vary widely, while focusing on specific genres from several time periods. Objectives range from fugal composition to phrase expansion, from rhetorical design of variations on a theme to working out models for computerized analysis. Despite the differences, most of these authors share a common desire to make known expressive characteristics that have been overlooked or underappreciated, and which contribute to a deeper appreciation of the works considered. Butler wishes to restore an understanding of the fugue as vital and exciting, qualities he thinks contrapuntal analysis ignores. Harrison looks to reveal the underlying rhetorical structure of a fugue as a persuasive discourse, something missed, he believes, by too narrow a focus on technical devices. Kloppers seeks to identify Bach's use of rhetorical figures as compositional tools in order to counter the perception of his organ works as overly abstract and unemotional. Street argues that through rhetorical analysis, one can grasp how a work by Bach utilizes persuasive elements of rhetoric to refute criticisms of needless complexity. Sisman also employs a rhetorical perspective to highlight creative and persuasive intentions, looking into the design of a theme and variations by Mozart, one that others have labeled as unoriginal and uninteresting.

As we saw, however, these various approaches hold little promise for the performer or conductor looking for additional insight into rhetorical implications for performance interpretation.

In addition, the majority of the studies covered in the above review focus on the music of Bach. This restriction to the Baroque period reflects the association of musical rhetoric with that particular era, and an association of rhetorical figures with compositional devices of counterpoint. As a model for a general method of rhetorical analysis, however, contemporary musicians need examples from later periods. In this present study, I examine a symphony from the Romantic period, which serves as an example of a method that applies to works of later eras, and that focuses on an understanding of expressive rhetorical elements for an enhanced interpretation of performance.

Chapter Three: Rationale and Methodology

Rationale

Why undertake a musical rhetorical analysis of Franz Berwald's *Sinfonie Singulière* as a topic for a dissertation? As a rationale for engaging in this current work, I consider three separate aspects. First, the choice of Berwald's symphony as the subject for analysis; second, the appropriateness and efficacy of choosing a musical rhetorical approach; and third, the need to work out a methodology for rhetorical analysis suitable to performance interpretation.

Regarding the choice of Berwald's symphony, critics and audiences have considered Franz Berwald the most renowned Swedish composer of the nineteenth century; his symphonies, especially the *Sinfonie Singulière*, continue to receive high praise in contemporary reviews and program notes. Yet there are very few analyses of his symphonic works, and only two complete examinations of *Sinfonie Singulière*, which focus on its structural characteristics. For these reasons, an analysis of this symphony, with emphasis upon practical performance implications, will constitute a significant contribution to performance scholarship. Additionally, the date of this Romantic-era composition also serves to demonstrate how rhetorical analysis can apply to works well beyond the Baroque period.

Given the need for further study of the *Sinfonie Singulière*, why choose a musical rhetorical approach for analysis? From the time of the late Renaissance, when composers throughout Europe assimilated the concepts and methods of Classical rhetoric, a primary motivation was to convey affective meaning to the listener through music. As Johann Forkel wrote at the beginning of the Classical period, "the expression and portrayal of our feelings must be a primary goal of

all compositions.”¹ Given this observation, determining such goals for each work is an important objective for performance interpretation. What expressive musical devices did the composers build into their compositions? For the conductor, the additional insights gained through analysis of these emotionally expressive characteristics can transfer directly to shaping the sound of the ensemble, affecting such things as the intensity or subtlety of dynamics, tempo adjustments, and what compositional areas necessitate emphasis, to name a few examples. The conductor can therefore provide a more aesthetic and more authentic experience for the listener in their encounter of the music. Precisely because it focuses on the musical expression of emotion, rhetorical analysis particularly benefits performance interpretation.

In light of the development of musical rhetoric during the late Renaissance and Baroque periods, a rationale for this present work should also make a case for the applicability of rhetorical analysis to music from later periods. The reader will recall from chapter one how the doctrine of the affections arose during the Renaissance and how, especially in Germany, theorists of the *musica poetica* tradition transferred compositional techniques of rhetorical speech to music, borrowing the names of many rhetorical figures for analogous devices in music. The efficacy of these musical figures lay in their ability to stir affections in the listener, and composers used them to convey sentiments appropriate to the accompanying vocal text. Beginning with the Classical period, composers of instrumental music sought to express their own sentiments rather than those of a text, but this change in purpose did not change the efficacy of musical rhetorical figures. As mentioned in the previous chapter, discussions of music and

¹ Doris Powers, *Johann Nikolaus Forkel's Philosophy of Music in the Einleitung to Volume One of His Allgemeine Geschichte der Musik (1788): A Translation and Commentary with a Glossary of Eighteenth-Century Terms* (Ann Arbor: UMI Dissertation Services, 1995), 123.

rhetoric often assume that these figures are tied to music of the Baroque era. The expressive qualities of many figures, however, work equally well for music of later eras.

Indeed, Forkel wrote in 1788 that a truly musical application of rhetoric could only develop during his time, for earlier music composition was “not yet at the stage where a coherent musical rhetoric could be reflected in the music. Not only did it lack elegance and taste, but especially that coherence of its parts which would result in a genuine sentiment-discourse through the interrelated development of its musical thoughts, the unity of its style, and so on.”² Although the context of this remark does not give further clues to what period he was referring, Forkel believed that only when the meaning of music had shifted toward the expression of the composer did the necessary context arise for the true application of musical rhetoric, for the composition of a “genuine sentiment-discourse.” In pre-eighteenth-century works, use of rhetorical figures gave expression to vocal text and added ornamental flourish, but could not serve the primary purpose of individual expression since composers did not yet aspire to this ideal.

Most of the earlier treatises expounding upon rhetorical figures proposed devices for instrumental accompaniment of vocal polyphony and for contrapuntal composition. In view of this, my rationale should include a word about how rhetorical figures remain feasible for the analysis of later works. As changes in musical preferences rendered the aims of *musica poetica* and the rules of counterpoint obsolete, theorists adapted their definitions and applications of rhetorical figures, ending with the efforts of Scheibe and Forkel. They conceived their figures in such a way as to serve the needs of purely instrumental music written to express the subjective feelings of the composer. More will be written on this point below as I discuss the selection of appropriate figures. At present, let it suffice to contend that, recast in the dawning of the

² Johann Nikolaus Forkel, *Allgemeine Geschichte der Musik*, p. 37 as cited in Bartel, *Musica Poetica*, p. 159.

Classical period, Scheibe's and Forkel's rhetorical figures find application beyond the Baroque period in Germany.

In addition to its broad applicability, the process of identifying figures in rhetorical analysis provides additional means for the discovery and clarification of expressive characteristics. This process can bring to the level of conscious awareness what one may only intuitively grasp or even miss entirely. The act of identifying a musical device and giving it a name brings it into clearer focus, enabling one to articulate and concisely convey its meaning. This conceptual clarity facilitates communicating expressive elements to others even if they are not familiar with rhetorical concepts. Grasping the rhetorical significance of a particular passage provides a conceptual framework a conductor can use, for example, to express to an orchestra her or his interpretation. For instance, the *dubitatio* figure represents doubt or uncertainty, and is identified by two specific characteristics. First, it is found in passages that contain an unexpected modulation, and second, it is found in passages that contain a type of lingering effect, as a delay in motion that keeps a listener uncertain of what is about to happen. If a conductor identifies the *dubitatio* figure in a score and understands its meaning, she or he can point out to the orchestra certain modulatory or lingering passages that might otherwise be overlooked.

Having addressed the question of choosing a rhetorical approach for this analysis, we need to consider the third objective mentioned at the beginning of this chapter, that of developing a method for musical rhetorical analysis. If, as I have argued, analysis from a rhetorical point of view is valuable for eliciting the affective expressive intentions of the composer, conductors and performers will need an available method if they are to avail themselves of such an analysis. Currently, performers who wish to find a concise rationale and method for undertaking rhetorical analysis would not be able to locate one. The one study reviewed above that touches upon

performance implications is currently an unpublished dissertation and stands in need of a more convincing rationale for musical rhetorical analysis.³ Realistically then, at present, those who wish to gain from a rhetorical-analytical perspective lack resources to proceed. They could potentially undertake a study of musical rhetoric to gain familiarity, but immediately a problem arises: the plethora of rhetorical figures. Their number, variety, and the history of their development through the eighteenth century presents a formidable obstacle to determining a set applicable to Classical, Romantic, and contemporary eras of music, which also carry significance for performance interpretation.

A Methodology of Musical Rhetorical Analysis

In the previous section, I have addressed the rationale for the subject of this dissertation, including the choice of the *Sinfonie Singulière* for analysis, the choice of a musical rhetorical approach for the type of analysis, and the need to develop a practical methodology for implementing it. My purpose in this present section is to shape an approach to rhetorical analysis of works from a wide range of genres and periods. As mentioned above and at the beginning of chapter one, having determined that such an analysis can offer useful insights into performance interpretation, the question arises as to how it might proceed. What are the objectives and what steps should it include? As a first step toward answering this question, let us consider the *goals* of musical rhetorical analysis from a performance perspective.

As a conductor, I study a score with the ultimate goal of performing a piece as the composer intended. I try to gain an understanding of the thematic structure, harmonic elements, texture, and phrasal configurations to name a few details. As a further step, rhetorical analysis can bring

³ John P. Zastoupil, "The Application of Select Musical Rhetorical Figures for Conductors in Score Study" (Evanston, Illinois, 2014).

additional insights into the composer's intentions as far as affective expression. What might this process entail and how might one proceed?

I would begin by identifying the expressive elements of the work as represented by select musical rhetorical figures. I would next consider how to shape the sound of the ensemble so as to most clearly convey the intended feelings or emotional quality of these elements. In the following sections, I will look at each of these first two steps in more detail.

In the first place, rhetorical analysis for performance interpretation will focus on identifying significant affective-expressive elements, those that have potential implications for influencing the sound of the performance. As we saw in the review of literature, rhetorical analysis can encompass many interesting subjects. However, most of the figures discussed concern structural devices and compositional techniques. A description of figures used, for example, to create a sense of phrase expansion as we saw in Braunschweig's study in chapter two, contributes little in the way of performance interpretation. A more promising approach would focus particularly on *expressive* rhetorical figures aimed at stirring the emotions of the listener. The *dubitatio*, for instance, which may engender a sense of uncertainty through indecisive tonality of modulation, is more deeply expressive than figures that merely ornament through passing notes, anticipations, or octave displacement.

In addition, if we focus on the more affective-expressive rhetorical figures, we can also avoid merely creating lists of rhetorical figures for their own sake. The many types of figures and the multitude of musical devices they describe invite such digressions. Earlier theorists in the *musica poetica* tradition focused a great deal on counterpoint and vocal polyphony, and unless we make a clear distinction between that earlier understanding of musical rhetoric and the later understanding that Scheibe and Forkel represent, we run the risk of generating lists of small-

scale harmonic devices that, although useful in some contexts, would contribute little to the shaping of a performance. Daniel Harrison, in one of the studies reviewed above, observes that such an application of rhetorical figures “is no more satisfying and adequate an analysis than a listing of the types of passing notes, suspensions, and cadences. Both reveal information of value to the analyst, but not about any structures longer than a few notes.”⁴ Consequently, as I discuss further below, I will differentiate between such small-scale devices and those that truly convey affective-expressive ideas, focusing on the latter as more significant for performance-oriented rhetorical analysis.

We must also take care to adopt appropriate rhetorical terms for musical figures. Some of the earliest *Figurenlehren* include figures bearing little similarity to their linguistic counterparts, and “in more than a few cases, calling a musical effect by a Latinate term designed for another medium produces a bad fit,” according to Harrison.⁵ Also, we want to apply rhetorical terms judiciously, labeling only those elements that need them. For instance, there is no advantage to substituting the term “*praesumptio*” for what is adequately described as an “anticipation.” But in many cases, the rhetorical figure adds truly expressive characteristics. A passage may be described objectively as a recurring melodic fragment repeated at successively higher intervals. Identifying the passage as a *gradatio*, however, adds significant expressive intent. We can understand this passage as including the subjective qualities given in Scheibe’s definition of sounding “progressively stronger and higher,” and in Forkel’s as moving “from the softest *piano* to the strongest *fortissimo*.” These descriptions imply a far more expressive performance than simply understanding the passage as repetitively ascending.

⁴ Harrison, “Rhetoric and Fugue,” 7.

⁵ Harrison, 9.

An important character of a truly *musical* rhetorical analysis worth mentioning at this point is a fundamental independence from oratorical rhetoric. Much of the writing on musical rhetoric seems to assume that musical rhetoric can be, or ought to be, closely likened to linguistic rhetoric, or that the former does not stand on its own. However, as discussed in the background chapter, although their familiarity with the rhetoric of language in the late Renaissance inspired theorists to devise systems of musical rhetorical theory, they already had available established methods of composition and embellishment. From the beginning, musical rhetoric borrowed the terminology from oratory, but not the form of the musical devices themselves. Consequently, it is a misconception to view musical rhetorical analysis as predominantly focused on linguistic rhetorical technique.

Another point of differentiation from Classical rhetoric involves the steps of oratorical composition, *inventio*, *dispositio*, and *elocutio*. In several of the contemporary studies discussed above, scholars seek to identify these steps in various musical works. However, although this Classical rhetorical structure bore more or less similarity to musical composition as envisioned in *musica poetica*, beyond that tradition they carried little, if any, relevance. Composers of instrumental music in the Classical and Romantic eras did not work from given subject matter such as vocal text (*inventio*), but rather with the inspiration of their own passions. They arranged the expression of these passions in personally meaningful ways rather than for logical argument (*dispositio*). Furthermore, the expression of passions, as worked out musically, differs from the addition of embellishments to make an argument more persuasive (*elocutio*). We must keep in mind that, even in the *musica poetica* era, the likeness of musical composition and structure to their linguistic counterparts was metaphorical at most. In light of these considerations, a process of rhetorical analysis for performance interpretation will focus on selecting figures that are

specifically musical, and refrain from drawing unnecessary parallels to oratorical composition and structure.

The foregoing discussion presented some general considerations for figures appropriate to musical rhetorical analysis, and how the objective must avoid merely generating lists of small-scale rhetorical devices. In addition, as we shape our understanding of musical rhetorical analysis, we should consider truly musical conceptions and avoid the assumption that we should describe or conceive our musical analysis in terms of oratorical rhetoric. Moving on to the actual selection of the rhetorical figures, how can one choose from dozens defined among the various theorists?

Selection of Musical Rhetorical Figures

Selecting the most promising group of musical rhetorical figures is fundamental to developing a method of rhetorical analysis for performance interpretation. For the purposes of this current work, the figures must serve in the analysis of a Romantic symphony by a Swedish composer, but we also desire a method that would work just as well, for example, for a string quartet by a twentieth-century Russian, or a piano sonata by a twenty-first-century American. An important criterion, therefore, is applicability to a wide range of genres, time periods, and nationalities. For this, we must consider the application various theorists of the *Figurenlehren* had in mind when they defined their figures and for what style of music, which ranged from church polyphony to the ideals of *Empfindsamkeit*. Figures which embody only the details of counterpoint will not be of help. The figures defined by Scheibe and Forkel, however, were intended to describe the affective expressions of the Classical composer of instrumental music, where the primary consideration was creative, individualized expression, and which still applies

today. As a result, their concepts hold the most promise for rhetorical analysis applicable to a wide range of genres, and for this reason, I will concentrate upon their definitions.

To further refine this selection, a word on the classification of musical rhetorical figures will prove useful. Along with the various compendiums of figures in the seventeenth and eighteenth century came different schemas of categorization. Although the history, similarities, and divergences of these classifications are beyond the scope of this present work, a brief consideration of categories will help focus attention upon those figures likely to prove most significant for performance implications.

Generally speaking, the *Figurenlehren* conceived by theorists evolved from an early focus on ornamentation and vocal polyphony to an emphasis on counterpoint, and ended, with Scheibe and Forkel, as a means of personal affective expression. As a broad division of these widely divergent figures, we could separate those representing melodic and harmonic devices from those representing structural arrangements. However, deciding whether a figure is either harmonic or structural in function does not, in itself, help us select those with the most performance significance. A better approach divides the figures into those representing affective expression versus those providing only ornamentation, categories which are more relevant for identifying affective expressive figures. I will adopt the second division, *ornamental* versus affectively *expressive*, as a framework for classifying the figures of Scheibe and Forkel.

This division carries the advantage of paralleling Forkel's own division of figures into those for the imagination (*Einbildungskraft*) and those for the understanding (*Verstand*). Consistent with his repeated emphasis on the expression of individual feeling, he considers the former more important. Forkel argued, "the figures of imagination are the most important, and for the most lively effect of a piece, they are the most favorable. Essentially, all the so-called contrapuntal arts

belong among the figures of understanding because they can employ and pleasantly maintain one's understanding primarily by their artistic combinations of tones and phrases."⁶

Using the division of figures into ornamental versus affectively expressive, from Scheibe and Forkel's figures, I include among the former those that deal with counterpoint, dissonance, and small-scale embellishments. These relate to suspensions, passing tones, and note displacement. For conveying affective expression, I include those that deal with melodic and harmonic repetition, thematic fragmentation, dynamic intensity, and devices that use silence and unexpected cadences.

In the appendix, the reader will find a table summarizing the musical rhetorical figures used by Scheibe and Forkel for reference. The first column provides the Latin name that was commonly used. The second column provides the German name as given by Scheibe or Forkel or both. Where the table does not specify a German equivalent, neither theorist provided one. The third column designates whether the figure was defined by Scheibe, Forkel, or both. The first group of figure names in bold designate those that belong to the expressive category for performance interpretation, while the others belong to the ornamental category. I give a brief explanation of how one might identify each figure in the fifth column. In the last column, I summarize certain performance implications that the characteristics of each figure might have.

Summary of Methodology

Given the above considerations, and incorporating some additional qualifications, I suggest that an effective musical rhetorical analysis for a broad range of works could proceed according to the following steps:

⁶ Forkel, *Allgemeine Geschichte der Musik*, 130.

- 1) Determine if the work under consideration lends itself to the expressive musical rhetorical figures defined by Scheibe and Forkel.
- 2) Systematically identify those musical rhetorical figures found in the composition.
- 3) For each figure identified, determine what insight it offers as to the emotion or affect the composer conveys to the listener.
- 4) Determine what performance interpretation would most clearly communicate the affective intent to the listener.

Considering each of these steps in turn, in the first step, I include the qualification of appropriateness because the type of rhetorical analysis outlined in this project intentionally excludes works of the Renaissance and Baroque periods composed in the style of vocal polyphony and counterpoint. These works certainly have affectively expressive elements, but they do not include the composer's expression of personal feeling and affect as a primary purpose. Expressive elements of such works would require a different rhetorical focus in order to highlight them. In a similar way, a few contemporary works could present potential challenges. The composer may wish to express personal sentiments as well, but the performer will need to determine if the work under consideration lends itself to an application of musical figures, as they may not pertain to certain styles. For instance, experimental music or electroacoustic music.

The second step involves the actual identification of musical rhetorical figures. This process, of course, requires a thorough understanding of the figures. I hope that the list of figures explained below will serve to expedite this process and enable in a reasonable amount of time a sufficient grasp of their form. The rhetorical analysis will be most fruitful if the identification is systematic. In my experience, it is more efficient to identify each figure one at a time throughout the composition. This approach allows the conductor to search through the score more quickly than looking for several figures all at once. Typically, conductors recognize important aspects of a work based upon experience, intuition, or acclaimed recordings. But even if these impressions

conform to the composer's intention, the performer is unlikely to appreciate every rhetorical expression without the analysis being systematic.

The third step is less analytical and more subjective. Consider what general emotion each musical rhetorical figure represents. How does this particular instance convey the emotion? What is its expressive role within this specific passage? Although figures express an affective tone in general, we must consider the context to arrive at its particular significance. The context will also help determine the degree of importance for the composer's expression, which, in some cases, will be minimal. For those more significant, the performer will want to *experience* the feeling conveyed by the figure and then discern how the passages immediately before or after might enhance that feeling or potentially diminish it.

In the fourth step, we arrive at the point of actually determining performance implications. What nuance of sound will best communicate the feeling as determined in the previous step? Of course, different performers will have their own intuitions and exercise their own judgment, and a presentation of a complete method of score study examination or a full treatment of performance interpretation lies outside the scope of this present work. But generally, the conductor will want to ensure that the measures preceding and subsequent to the figure accommodate its fullest expression and not obscure it. For example, a *gradatio* is a figure that expresses intensification. This is accomplished through an ascending passage that utilizes an extended *crescendo* which creates dramatic effect. If a conductor neglects to properly execute a *subito* dynamic decrease at the beginning of the *gradatio* figure, or leads into the figure too loudly from the preceding measures, and also arrives at the maximum dynamic level too soon, the overall effect of the *gradatio* would be reduced or lost entirely.

In summarizing this section on rationale and methodology, I have attempted to provide a method of rhetorical analysis that contributes to a fuller understanding of the expressive content of a work of music. This understanding will help the conductor to better convey the experience the composer likely intended the listener to have. In my rationale, I demonstrated the relevance and potential of this type of analysis to the performer. Having researched and selected a suitable set of musical rhetorical figures and then presented a method in a stepwise format, I hope that performers can readily apply it to their own analysis. Chapter four demonstrates these steps by applying this method to Berwald's symphony as a model for the process I have just described. Turning now to the figures themselves, the following section represents those I have determined most useful in the context I have described, selecting from the wide array of available musical rhetorical figures a manageable number that hold the most potential for our stated purpose.

The Musical Rhetorical Figures of Scheibe and Forkel

In this section, I present the definitions of rhetorical figures from Scheibe and Forkel using the verbatim translations from Bartel⁷ for Scheibe, and those by Powers⁸ for Forkel, except where noted. The figures are listed alphabetically according to their Latin names and include the German term given by either Scheibe, Forkel, or both where possible. Although Bartel tends to use the Latin form in his translation, for the most part, Scheibe used the German in his definitions. For each figure, I will first offer my own comments and then provide the definitions by Scheibe and Forkel. Not all the figures listed by Scheibe are present in the set of figures discussed by Forkel.

⁷ Dietrich Bartel, *Musica Poetica: Musical-Rhetorical Figures in German Baroque Music* (Lincoln: University of Nebraska Press, 1997). pt. 3.

⁸ Powers, *Forkel's Philosophy of Music*, 127–40.

Anticipatio

The *anticipatio*, with a narrow focus on dissonance and the resolution of individual chords, is primarily an ornamental figure, although its frequent occurrence in passages could express a certain affect or mood. Simply stated, this is an anticipation.

Scheibe: The *anticipatio* occurs when a resolving note is heard against the suspended note in another voice, in other words when the dissonance and its resolving consonance are heard together, thereby anticipating the resolution or sounding it prematurely... Regarding the melody, however, the *anticipatio* has a new use and application. This occurs for the sake of embellishment when one or two notes belonging to a subsequent chord are already played with the preceding one, thereby anticipating the following prematurely.

Antithesis (Gegensatz)

The *antithesis* is a figure of affective expression given by means of contrast that includes items such as contrasting subjects or harmonies, thematic inversion, or new foreign material.

Scheibe: The *antithesis* occurs when a few passages are contrasted with each other in order to bring out the main subject that much more clearly. This occurs especially in fugues in which the main subject is continually contrasted with other subjects in order to better execute and amplify it. However, a particular aspect of this figure is the invention of completely foreign subjects which, taken individually on their own, seem to be not in the least related to the main subject.

Forkel: ...the main theme must be fruitful for changes in its turns of expressions. Such changes can be used for support and confirmation of the main theme through appropriate application and placement. These alterations and refined changes must serve as contrasting and subordinate themes. Contrasting themes in music are comparable to the examples in a verbal oration through which we compel the listener to find our main theme, as it were, as well founded as the similarly cited example. They are in this respect a type of proof. Sometimes they are simultaneously connected with the main theme, as happens in fugues or in a polyphonic style of composition in general. Sometimes, however, they are placed in succession, particularly when the main and contrasting themes are so constructed that they can be easily remembered.

Distributio (Zergliederung)

The figure of the *distributio* carries the notion of breaking down a main theme and elaborating the individual parts. This can arise as thematic fragmentation or rhythmic diminution. Forkel more explicitly applies this figure to feelings than does Scheibe.

Scheibe: The next figure is subdivision (*distributio*). This occurs when the principal theme of a composition is presented in such a manner that each of its parts is successively and thoroughly elaborated. For example, a lengthy fugue theme can be subdivided in such fashion by first treating only one phrase or measure and thereafter similarly treating and subdividing the remaining theme. Consequently, all parts of the principal theme are considered individually, separated from each other through their differentiated treatment... The principal theme of a concerto or aria can also be subdivided in this manner. Because in such pieces the principal theme already contains certain subsections, its subdivision is extraordinarily effective, especially if the phrases are differentiated through a change in voice in such a manner that the listener particularly perceives now this phrase, now that one.

Forkel: The fragmentations of a main theme show it from all its different sides and aspects. One uses this primarily when the main theme is too large or complicated to be completely viewed and understood at once. The purpose of a composition can be to portray an individual or a general feeling. In both cases, the connections and relations are so numerous that the feeling cannot be sufficiently clear without breaking it down into its individual parts. One uses several means for this dissection, as is done in language. We also have in music, for example, synonymic expressions, different types of paraphrases, repetitions, etc., indeed, even the individualization of general feelings is conceivable in musical expressions. Although synonymic expressions are one and the same in their primary meaning, they can nevertheless show a feeling from another side merely by expressing a small subordinate circumstance.

Dubitatio (Zweifel)

More than mere ambiguity, the *dubitatio* figure conveys a feeling of uncertainty. Scheibe stresses that the uncertainty must be intentional rather than arising from the composer's own indecision.

Scheibe: The next figure is doubt or *dubitatio*. It indicates an uncertainty or indecision and is particularly important in music, for it is found in almost all genres of complete compositions. Should the combination and correlation between the melody and harmony result in the listeners' uncertainty regarding the

music's progression and ultimate conclusion, it is an indication of the composer's adept expression of the *dubitatio*... However, the *dubitatio* must not confuse the composer's own arrangement of the proper coherence of his music, thereby creating doubt in his own mind; rather he must only meaningfully lead the listeners astray so that, becoming uncertain regarding the order of the music of the notes, they cannot easily guess his intent.

Forkel: *Dubitatio* (indecision) indicates an uncertainty in the feeling. It is expressed in music in two ways: 1) through a doubtful modulation... 2) through a delay of motion at a certain place in a phrase...

Ellipsis (Verbeißen)

What began in oratory as merely the omission of words, Bartel comments that it also came to include interruption, silence and continuation.⁹ The *ellipsis* clearly falls under the expressive category, and Forkel explicitly links it to the imagination.

Scheibe: The next figure is the suppression or *ellipsis*, or the breaking off of a passage which one only begins but does not completely finish. It occurs in two forms. First, one can suddenly break off and remain silent in the middle of a passage in a vehement affection. Or one can alter the expected ending notes of a passage and proceed to a completely foreign and unexpected chord. This second method composers call evading the cadence. The more vehement the affection, the more foreign the chord must be which alters the expected cadence. The first form of this figure is the more congenial one, and, because of the abrupt silence and interruption of the entire passage, requires great facility, imagination, and power both in the melody as well as in the harmony.

Forkel: It is a striking kind of utterance when a feeling, after gradually increasing to a high degree of strength is suddenly still and breaks off. This figure is called *ellipsis*. The art that wishes to express this kind of utterance must try to bring it into a picture in such a way that through it the avenue of the passion can be visible, as it were, to the imagination. The figure can bring this picture about in two ways, namely: 1) A phrase gradually increasing to a great liveliness stops unexpectedly, but then it begins again afresh with an entirely altered thought and continues on its way. 2) Likewise, a phrase gradually becoming very active is continued as if moving to a type of cadence, but instead of making that cadence expected from the preceding harmonic changes, falls into a so-called avoided cadence. Through this cadence, it interrupts the thread of the harmonic changes... The more intense the feeling whose course is being hastily interrupted, the more unusual and distant must the cadence be changed from its normal course.

⁹ Bartel, *Musica Poetica*, 247.

Epistrophe (Wiederkehr)

Simply stated, the *epistrophe* is a figure that concerns an ending section of a melodic passage recurring elsewhere at the end of another passage.

Scheibe: The next figure is the *epistrophe*. This occurs when the ending of one melodic passage is repeated at the end of other passages... However, this figure must not be confused with the *repetitio*... [The *epistrophe*] refers only to the repetition of the ending of a secondary passage¹⁰ which is connected to the principal theme and which is repeated... Similarly, it frequently occurs in a short yet complete passage which is repeated in like manner.

Forkel: The *epistrophe* (return) exists when the close of the first phrase of a melody is repeated at the end of another phrase. It is a type of repetition, only with the difference that a true repetition concerns entire phrases, but *epistrophe* applies only to the close of a phrase.

Exclamatio (Ausruf)

The *exclamatio* figure is an exclamatory element with roots based in oratory. For example, “Oh my soul’s joy!” to quote from Shakespeare. This figure also occurs in instrumental music when a brief exclamatory moment stands out.

Scheibe: Its [*exclamatio*] properties are as diverse as its origins, causes, or effects. It should be generally noted that it is commonly expressed through an ascending passage, using consonances in joyous events or affections and dissonances in sorrowful ones. This applies in regard to both melody and harmony. The *exclamatio* must always be distinctly discernible and clearly distinguishable from the accompanying instruments. It should also be noted that, in passages expressing despair or other vehement passions, the *exclamatio* is best expressed through enharmonic melodic or harmonic passages.

Gradatio (Aufsteigen, Steigerung)

The *gradatio* figure involves not merely an ascending passage, but one that does so in a gradual fashion utilizing pitch ascent, prolonged *crescendo*, and harmonic propulsion.

¹⁰ To clarify, the use of the term “secondary passage” (*Nebensatzes*) in this context does not refer to the contemporary understanding of a secondary theme as found in sonata form.

Scheibe: The ascension (*gradatio*) occurs when one progresses stepwise from a weak phrase to higher phrases, and so renders the expression of the matter or the strength of the music always more important and more forceful... Is it not delightful when the music begins most tentatively and, becoming progressively stronger and higher, finally evolves into the most powerful melody and harmony?¹¹

Forkel: One of the most beautiful and most effective figures is *gradatio* (gradation). It increases, as it were, stepwise from weaker phrases onward to stronger ones, and thus expresses an ever growing passion. The most common way to express it in tonal language occurs through the *crescendo* in which a phrase is continued from the softest *piano* to the strongest *fortissimo*. It is a better way when this increase is achieved through constant gradual growth of new thoughts and modulations and then is connected with the first way.

Hyperbaton (Versetzung)

The *hyperbaton* is an ornamental figure that utilizes octave displacement of a note or series of notes. This is not to be confused with situations such as when a cello instrument and double bass sound an octave apart.

Scheibe: The next figure is the transference or (*hyperbaton*). It occurs when either a note or an entire thought is transferred from its natural position to a different one. In the first case it agrees with the harmonic exchange, namely when a note which belongs in a higher voice is set in a lower one, or when a note which belongs in a lower voice is set in a higher one... Regarding an entire thought, this figure occurs when one works with more than one voice and exchanges the location in which the particular voices normally appear. This frequently occurs in fugues... The *hyperbaton* also occurs in arias when the order of the normal melody is altered, its familiar and preceding progression being modified and interrupted with unusual interjections, eventually to return, however, in its unaltered form in another location.

Interrogatio (Frage)

Scheibe was the first among the *Figurenlehren* theorists to use the term *interrogatio* for a musical device in instrumental music. He alludes to the older notion of this figure as a phrase

¹¹ I have modified the first part of this translation to more closely convey the literal meaning of the original text.

completing with a rising tone, a characteristic previously mentioned by Christoph Bernhard.¹²

Scheibe also alludes to this figure as a rhetorical question. He further treats the *interrogatio* as a question expecting a response. Additionally, Scheibe does not limit its use to only motives and phrases; he also applies it to the end of a slow movement.

Scheibe: The next figure is the question or *interrogatio*. Its properties and musical expression are already so familiar to the musically literate that it is hardly necessary to consider it here... It can be particularly useful in instrumental music... A lengthy piece which is constructed out of numerous connected melodies retains a pleasant cohesion through a frequent application of the *interrogatio*. The subsequent passages must also provide clear answers in response, as it were. Furthermore, the figure can very well be doubled, resulting in numerous successive questions. It can also be employed at the end of a slow movement, where it is used with the most emphasis. In any case, however, it must result in a certain cohesion and an indispensable succession of melodies.

Ligatura (Bindung)

The *ligatura* is an ornamental figure, concerned with dissonance on a small scale.

Scheibe: The *ligatura* (*syncopatio* or *syncope*), the tie, occurs when one note is constructed out of two by tying an accented note to an unaccented one against the normal structure or division of the beat. This figure actually serves to make the use of dissonances more agreeable and pleasant, although it is also often used only with consonances. It is furthermore also called a graceful shifting of the beat.

Paronomasia (Verstärkung)

The *paronomasia* contains repeating passages but with an obvious change that makes it more noticeable and interesting than a mere, exact repetition.

Scheibe: The next figure is amplification or the *paronomasia*. It is generally used in conjunction with...the *repetitio*. The *paronomasia* occurs when an already expressed sentence, word, or saying is repeated with a new, singular, and emphatic addition. It is used in instrumental and vocal music with equal emphasis. Very frequently a few notes in a passage are repeated with the special and new short edition which might only consist of one note. Furthermore, certain passages can be repeated with the specification soft (*piano*) or strong (*forte*). Similarly the

¹² Bartel, *Musica Poetica*, 314.

last notes of a passage which were played by all parts can be repeated with only one or two voices. Repetitions of only a few notes can also occur with a changed or slower beat or with notes of double duration. In any case, however, the repetition must strengthen the emphasis of the expression and must lend it a singular beauty.

Forkel: [*Repetitio*] receives its most value only when it is connected with *paronomasia* (reinforcement)—the one phrase not being merely repeated as previously stated but with new strengthening additions. These additions can partly affect individual tones, but also can be accomplished partly through a stronger or weaker performance of them.

Repetitio (Wiederholung)

The *repetitio* takes on the form of repeating passages for the sake of cohesion. Scheibe and Forkel combine their definitions with the *paronomasia*, and for this reason, his definition is repeated here.

Scheibe: The next figure is the repetition (*repetitio*) of certain musical notes, passages, or thoughts, as well as certain words in vocal music, through which the whole cohesion of the piece or the sense of the oration is lent greater clarity and emphasis... Concerning the primary material of the composition, however, it is necessary that it not be ignored, but rather that it be differentiated at every opportunity through well devised neighboring or intervening passages. But the repetitions must not all be in the same key. The changes of the same also heighten the intensity of the repetition... The figure is best used in connection with the following figure, namely the *paronomasia*. In addition, the following is also considered among the methods of repetition, namely when the first part of an aria or another composition is repeated after the second part, or when every part is sung or played twice.

Forkel: *Repetitio*...extends not only from single tones to entire musical phrases but also in songs to words receiving an intensified emphasis through musical repetition. This figure is one of the most common in music and receives its most value only when it is connected with *paronomasia* (reinforcement)—the one phrase not being merely repeated as previously stated but with new strengthening additions. These additions can partly affect individual tones, but also can be accomplished partly through a stronger or weaker performance of them.

Retardatio

The *retardatio* is another ornamental figure that concerns dissonance.

Scheibe: The *retardatio* is opposite to the *anticipatio* and also occurs in two forms, concerning, namely, the resolution of the dissonance and the embellishment of the melody. Regarding dissonance, it occurs when the dissonance is delayed so long that a new dissonance results which in no way has anything in common with the preceding dissonance, even if the harmonies were to be exchanged. Regarding embellishment, it occurs when a note which belongs to the preceding chord still sounds with the following chord, thereby detaining and delaying the sounding of the note which properly belongs to the following chord.

Suspensio (Aufhalten)

At the beginning of a composition, the *suspensio* figure arises as a delay wherein the listener cannot initially determine the composer's direction. It is a passage that captures the attention of a listener by evoking a sense of waiting in anticipation of the outcome.

Scheibe: The next figure is the delay or *suspensio* which occurs when a passage begins from a remote point and progresses for a considerable time through numerous digressions in such a manner that the listener cannot immediately discern the intention of the composer but must await the end where the resolution becomes self-evident. This figure is not to be confused with the *dubitatio*, which has a certain similarity to it. The *suspensio* does not concern an uncertainty in the intended tonality, which is the essence of the *dubitatio*, but rather concerns the arrangement of the opening of a piece... Furthermore a slow movement in a concerto very frequently begins with a powerful and enthusiastic passage for the strings until finally the concerto instrument enters with a pleasant melody, incorporating the preceding foreign and digressing string passage. This is also customary in altered circumstances in fast movements, where, for example, the concerto begins with a completely foreign kind of melody more suitable to a symphony. The listener cannot judge with certainty what he is about to hear until the concerto voice finally enters alone with its own theme or one based on the preceding material... It is the distinguishing property of the *suspensio* to move the listener to attentiveness, for which the figure is particularly well suited.

Forkel: *Suspensio* (delay) exists when a phrase is sustained through so many detours that the listener realizes the purpose of it only at the end. This figure must not be confused with *dubitatio*, which appears to be similar to it, for *suspensio* is actually an expression of a delay, but not of an indecision.

Transitus (Durchgang)

The *transitus* is another ornamental figure that simply concerns a passing note.

Scheibe: The *transitus* or passing note occurs when two or more subsequent, neighboring, ascending or descending notes stand against one note in another voice. The note which forms the harmony is considered the striking [*anschlagende*] note, while the other is the passing note. However, as the harmony is also frequently derived out of the passing note, the following, moreover, is to be mentioned. When the accented or striking note produces the harmony, it is known as a *transitus regularis*. However, should the unaccented or passing note form the basis of the harmony, it is called a *transitus irregularis*. In this latter case, however, the first note, even if it is accented, is only to be considered as an *accentus* [*Vorschlag*] to the following note.

Variatio

The *variatio* equates essentially to melodic ornamentation where one finds a dissonant pitch that extends through the diminution of that pitch. Scheibe defines this figure in the same manner as Christoph Bernhard's and Johann Gottfried Walther's version of the *multiplicato*.¹³ As Bernhard and Walther define the *multiplicato*, it is a figure that entails "subdivision of a dissonance through numerous notes on the same pitch."

Scheibe: The *variatio* occurs when the dissonances before a resolution are varied through smaller notes.

Summary of Chapter Three

In this chapter, I have presented a rationale for the objectives of my methodology, which include the choice of Berwald's *Sinfonie Singulière* as the subject of analysis, the choice of a musical rhetorical approach for the type of analysis, and the need to develop an appropriate and systematic method. In developing a practical method, I discussed the need to select applicable rhetorical figures and provided a classification to select those most useful for this type of

¹³ Bartel, 332–34.

instrumental expressive analysis. I outlined several steps as a way of approaching a musical rhetorical analysis for the performing artist. Having determined that the lists of figures defined by Scheibe and Forkel represent those most applicable to analysis of works beyond the Baroque era, I presented their definitions along with some commentary. Through these discussions, I believe the reader should be well prepared for the analysis itself presented in the following chapter.

Chapter Four: Analysis of *Sinfonie Singulière*

The Process of Musical Rhetorical Analysis

In this chapter, I present a musical rhetorical analysis of Franz Berwald's *Sinfonie Singulière* and implement the methodology covered in chapter three. I described the first of four steps in the actual process of analysis as considering to what degree a work of music lends itself to this type of analysis. More specifically, one determines whether the work contains the sort of expressive rhetorical figures as described by Scheibe and Forkel that I have listed at the end of the previous chapter. As was discussed more in depth in that chapter, these particular figures describe expressive characteristics inherent in the instrumental music of periods later than the Baroque. As a symphony of the Romantic period, therefore, the *Sinfonie Singulière* is a good candidate for this type of analysis. The distinctive and dramatic nature of the work promises a broad collection of expressive elements for consideration as rhetorical figures that are relevant to performance interpretation.

The second step of the analytical process given above involves a systematic identification of the expressive rhetorical figures previously mentioned. I have found for this step that the most efficient procedure chooses a particular figure and then examines the entire work, searching only for that figure. In this way, the figure becomes more firmly fixed in one's mind, and consequently the recognition becomes easier. Others may prefer another approach, such as completely examining each movement for all of the figures before moving to the next. The first approach, however, is more beneficial in identifying those figures that might relate to one another across movements. The more systematic the analysis, however, the more fruitful it will be. Some figures may not be readily apparent and may take much more consideration than others

to identify; a systematic approach is less likely to miss them. As a final thought on the systematic nature of the analysis, one will find that different compositions contain various arrays of musical figures. A few figures that predominate some works may not appear at all in others.

Consequently, it is important to guard against presuppositions as to what figures one will find. A systematic search will help avoid inadvertently overlooking certain figures in favor of others.

I incorporate the third step of the process in the discussion of each of the figures in the following examples below. The third step considers what emotionally expressive content the composer conveys in using the figure and perhaps its specific role in the context where it occurs. This interpretation is somewhat subjective, but the figures do have definite characteristics that can strongly suggest particular qualities of expression. Determining the interpretation of the composer is also subjective since, as we shall see, some of the expressive qualities of the figures go beyond the markings of the written score. I will discuss this particular point more fully in the final chapter. The fourth step involves determining the performance implications of each figure. I will also include this step in each of the examples below.

In light of the above considerations, for this present analysis, I illustrate the musical rhetorical figures that provide instructive examples of the expressive figures of Scheibe and Forkel. My goal, and the goal of a practical rhetorical analysis, is to find those figures that carry the most potential for informing one's performance interpretation rather than to create an exhaustive list. I conclude the analysis discussing examples of ornamental figures that were defined in the previous chapter. These figures have less potential for influencing one's performance interpretation, and sometimes none at all. The relevance of ornamental figures is highly dependent upon each individual composition and generally do not receive as much

attention. Including them in this particular effort, however, will allow the reader to more fully grasp the difference between the expressive and the ornamental figures.

Aspects of the Symphonic Score

Sinfonie Singulière is a three-movement symphony written in C major, scored for two flutes, two oboes, two clarinets, two bassoons, four horns, two trumpets, three trombones, timpani, and strings. The second movement moves to the dominant key of G major. Movement three takes on the parallel minor of the first movement and ends in C major. The first movement is in sonata allegro form, listed as *Allegro fuocoso*. Movement two comprises an *Adagio – Scherzo: Allegro assai – Adagio* sequence. The third movement, titled *Presto*, is the finale in sonata rondo form.

Two versions of the score for the symphony exist, and there are significant differences between them. Herbert Blomstedt edited the urtext Bärenreiter edition, which was published in 1967 and is considered the critical edition.¹ The Danish firm, Wilhelm Hansen, printed the first full score of the *Sinfonie Singulière* in 1911.² In his preface, Blomstedt traces the likely origin of the Hansen edition to a handwritten copy of Berwald's autograph that contains markings made by Tor Aulin for the premiere performance in 1905.³ Edwin F. Kalmus & Company publishes an edition using the plates from the Hansen score. Kalmus, however, incorrectly lists the *Sinfonie Singulière* as "Symphony No. 5 in C." The *Sinfonie Singulière* is actually his third symphony, composed in 1845, following his first symphony, the *Sinfonie Sérieuse*, and his second, *Sinfonie Capricieuse*, both composed in 1842. His fourth symphony, *Sinfonie Naïve*, was completed one

¹ Franz Berwald, *Sinfonie singulière*, ed. Herbert Blomstedt, vol. 3, *Sämtliche Werke / Franz Berwald* (Kassel; New York: Bärenreiter, 1967).

² *Sinfonie Singulière*, Hansen Edition. This score bears an edition number of 14924.

³ Berwald, *Sinfonie singulière*, Bärenreiter, xiii.

month after *Sinfonie Singulière*. Berwald's first attempt at writing a symphony occurred in 1820, an incomplete effort in A major.

As mentioned, significant differences exist between the Hansen and Bärenreiter editions. The former retains the revisions made by Aulin to the original autograph. Blomstedt notes that some of these deviate rather markedly from the original. "Aulin could take very great liberties...at the première, he had the first two bars of the symphony played on the timpani instead of by the basses."⁴ Fortunately, this alteration did not make it into the Hansen score. The Bärenreiter edition carefully follows the original autograph and is the source for the examples given in this chapter.

As a side note, I would like to indicate one particular issue regarding the use of the Hansen score. Berwald, it seems, wrote the timpani part in an unusual fashion, which is reproduced in that edition and is potentially perplexing. Blomstedt clarified this notation by using a modern, conventional notation for the timpani, and as such, the Bärenreiter score provides the correct timpani part. An explanation and comparison of these with Berwald's original notation can be found in the preface.⁵

The music examples presented below represent orchestral reductions of the full score. This process sometimes resulted in altering octave registers or placing some instrument parts in different clefs for greater readability. In some cases, the last measure in certain excerpts contain slight note value or articulation modifications in order to show resolution. Great care has been taken to retain elements as close as possible to the Bärenreiter edition. Many of the music

⁴ Berwald, xiv n14.

⁵ Berwald, xiii.

examples include annotations to aid in identifying the parts under discussion. I examine sections in sufficient detail for the convenience of readers studying the full score as well as those who are unable to access it.

The Rhetorical Analysis

For this analysis, I followed the process given in the introduction to this chapter that involves selecting an individual figure, and then searching for instances throughout the entire work. Generally, I present the examples as they appear chronologically through the score, with some exceptions. For each example, I will first describe the musical rhetorical figure as it appears in the score, followed by a detailed examination of its scoring. I then discuss the expressive intention of the figure and the implications that the figure has for performance interpretation. I first present the more important expressive figures, ones that an analysis for performance interpretation would normally always include. After these, I present a few of the ornamental figures for comparison purposes, figures that have less impact upon performance implications in this particular composition.

Example 1: *Suspensio*

Movement one exhibits several figures that prove valuable for musical rhetorical analysis. I discuss them in the order they appear in the score, with the exception of one which I discuss toward the end of this chapter. The first of these is the *suspensio* figure from mm. 1–16 as seen in Example 1. Recalling the characteristics of the *suspensio*, we identify it at the beginning of a composition where a passage begins from a remote point, travels through a sense of delay, and finally proceeds to a clear resolution, all while maintaining the attention of the listener. In Example 1, the low strings alone begin the symphony at a *pianissimo* dynamic level as they introduce a two-measure motive consisting of the tonic as a dotted quarter-note C that reaches

Example 1. *Suspensio*: Berwald, *Sinfonie Singulière*, Mvt. 1, mm. 1–16

The musical score is divided into three systems. The first system (measures 1-6) shows the Vc./B. part starting with a *pp* dynamic, followed by Vln. 2 and Vln. 1. The second system (measures 7-12) features Cl., Ob., and Fl. parts. The third system (measures 13-16) includes Fl./Vln. 1 and Vla. parts, with a *cresc.* marking and a *f* dynamic at the end.

down to the dominant written as an eighth-note G. This rhythmic pattern continuously alternates between C and G before ending with successive eighth notes in the second half of measure two. This tonic-dominant alternation is prominent as the two-measure motive is passed around to other sections: the second violins, first violins, clarinets, oboes, and flutes, respectively. Note that this type of tonic-dominant pattern is a typical occurrence in Western tonal music and does not in itself imply a *suspensio*. A combination of other factors are present here that characterize this figure. Example 1 shows the motive continuing as it ascends to other pitch centers, allowing for a perfect-fourth interval to repeatedly sound. As each section passes the motive to others, sustained harmonies are then performed to lend underlying support. The listener's attention is retained while stimulating the ear to follow the changes in timbre as the two-measure motive

continues to pass around the orchestra. This continuation creates a sense of delay, not knowing how or when the passage might culminate. Since the passage encourages attentiveness for the listener, she or he may begin to identify this motivic section as an ascending C-major scale sequence. Arriving at m. 13, the motive continues as the flutes and first violins join together in highlighting the leading tone. Here, in keeping with the diatonic motion, however, the familiar perfect-fourth interval ceases and moves into a tritone. Also occurring in m. 13, a *crescendo* is written for all parts and the viola and low strings double the rhythmic motive, supporting with different pitches. As the ascending pattern continues, the listener may expect to hear the tonic at the top of the ascending C-major sequence. However, in m. 15, Berwald bypasses the tonic by jumping to a D where the flutes, oboes, and first violins perform alternating D and B eighth notes that resolve to a final tritone interval on the downbeat of m. 16. This is where the sixteen-measure *suspensio* figure culminates as it climaxes with a sudden G7 half-cadence resolution. This *suspensio* not only captures the listener's attention through the use of motivic timbral changes and sequential ascent, but also through dynamic contrast. Recall that this entire passage begins with a *pianissimo* dynamic and does not *crescendo* to a *forte* dynamic until the last four measures, encouraging further attentiveness toward the resolution. Together, these initial sixteen measures create the first primary theme for the symphony.

Since this is a *suspensio* figure, I am led to consider in more intricate detail how to aid the characteristics that define it and how best to create attentiveness and a feeling of suspense for the listener. Importantly, as the music travels through the measures, the different instrument sections must maintain the *pianissimo* written dynamic in order to generate a sense of intrigue as the listener tries to decipher where the numerous and brief timbre changes are occurring.

In terms of performance implications for the conductor, when the motive is handed off across sections, attention must be paid to details of blending, which will help prevent one particular section from standing out too much or too little. Averting any abrupt changes throughout this motivic exchange will help prevent disrupting the listener's focus. Additionally, the sustained harmony must not cover the repeating motive, and therefore balance is important.

While performing this sixteen-measure phrase, the conductor should also consider what style of gestures enhance this figure's characteristics. The conductor can capture attentiveness and create a sense of mystery without having to make obvious cues to each section as they take over the two-measure motive. This restraint will help eliminate any visual cues that might distract the audience while allowing the ear to retain its focus on deciphering the timbral changes.

For the purposes of this discussion, it is important to note that this movement is conducted in two. We must consider how to approach the end of the phrase without lessening the impact of the sudden break since the rest in m. 16 leaves the audience hanging from a *forte* dynamic. Rather than conducting straight through to m. 17, I would approach this unexpected break by leading the *crescendo* that begins in m. 13 with gestural intensity, and then robustly stopping and retracting the gesture on the downbeat of m. 16, preventing a connected gesture into beat two. At this point, a visual cue that is noticeable to the audience is very effective as this brief, frozen moment reinforces the unpredictable break and enhances the silent aspect for the audience. This stopped gesture also helps to emphasize that the phrase has finally resolved to a cadence. It also provides for the distinctiveness of the reentry into m. 17, which introduces the quiet, contrasting, lyrical melody of the second primary theme.

Finding the *suspensio* figure in this passage allows for a more critical interpretation of how to bring about the nuances working in tandem, as this figure contains many features. Having an awareness of this figure allows me to make a more critical observation of how to convey this section to the audience and give further considerations as to what gestures would work well for this beginning phrase. This *suspensio* example provides an excellent illustration of how my initial impression was enhanced.

Example 2: *Antithesis I*

The next example in movement one is an *antithesis* figure found in mm. 73–88. This figure also recurs in the recapitulation section beginning in m. 223. An *antithesis* figure contains a main subject that is contrasted with other unrelated subjects, attempting to bring out a main subject more clearly. For the purposes of discussing this figure, Example 2 provides an excerpt of the *antithesis* in mm. 73–81.1.⁶ Shown in the bass clef, the main subject containing the two-measure motive from the first primary theme returns in the bassoons, tenor and bass trombone, and low strings. The first contrast begins in m. 73 where a syncopated fanfare is continuously repeated in all horn and trumpet parts. The next contrast occurs in the violins and violas as they begin performing ascending triplets in m. 74. These three separate parts intertwine beautifully, lending much for the listener to comprehend. In the measures shown, there are also sustained chords played by the flutes, oboes, clarinets, and alto trombone, adding yet another layer. The conductor will need to determine what type of balance is ideal for a section such as this since there are many components in competition with one another. The high brass fanfare brings about strength

⁶ In this numerical reference, “.1” specifies beat one of the measure. Subsequent references follow this same notation method.

Example 2. *Antithesis*: Berwald, *Sinfonie Singulière*, Mvt. 1, mm. 73–81.1

The image displays two systems of musical notation. The first system, labeled '73', shows a Violin/Viola (Vln./Vla.) part in the upper staff and a piano accompaniment in the lower staff. The piano part is marked with a fortissimo (*ff*) dynamic. The Vln./Vla. part features a series of ascending triplets. The second system, labeled '78', continues the same musical material, showing the continuation of the Vln./Vla. part and the piano accompaniment.

and vigor, while the ascending triplets add embellishment by continuously displaying an exciting trajectory.

Prior to identifying this *antithesis* figure, my initial instinct for this thrilling *fortissimo* section was to bring out the high brass fanfare and ascending triplets as the most prominent voices because they arrive as new material. However, knowledge of this figure prompts me to revise my initial interpretation. Since an *antithesis* figure highlights a main subject contrasted with other new subjects, I should ensure that the first primary theme is clearly audible. Recall that in Forkel’s definition, this figure also “compels the listener to find our main theme.”

Considering these factors, meticulously balancing these different sections becomes essential as the contrasted subjects containing the fanfare and ascending triplets could easily cover the main subject.

Adding to this consideration of the *antithesis*, the tenor and bass trombone drop out during the second measure of the primary theme motive. As shown in measures 74, 76, 78, and 80 of

Example 2, the continuation of the main theme is left only to the bassoons and low strings when the alternating eighth notes are played. Although this creates an additional challenge for the main subject in maintaining its presence, I think Berwald was wise to have the tenor and bass trombone rest here because the eighth notes might not sound as clear with the bassoon and low string part. Had Berwald not written the rests for the tenor and bass trombone, the main theme would be performed by three different instrument families, the woodwinds, strings, and brass. When a phrase is written in unison across different instrument families such as this one, it requires those instruments to intricately articulate together and sound like one unit. By having the tenor and bass trombone rest during those eighth notes, it allows a unified sound to be more attainable.

In order to honor the *antithesis* figure, I need to ensure that the primary theme is noticeably present throughout this entire section. Because all parts are marked *fortissimo* in this section, I will certainly need to make some adjustments. Although the fanfare in the high brass and the ascending triplets in the violins and violas contain two musical ideas that are presented for the first time, they are nonetheless contrasting material that Berwald purposes to help create interest for the main subject without overpowering the primary theme.

To perform this section accordingly, two approaches can be employed. One approach is for the conductor to ask the horns and trumpets to mark their written *ff* dynamic down to *f*, and the same can be asked of the violins and violas. Depending upon a few factors such as the number of instruments constituting the string sections and where those sections are arranged on stage, the conductor might need to have the violins and violas mark down the ascending triplets an extra dynamic level in order for the listener to hear the alternating eighth notes in the main subject during the second measure of the motive. Since the violin and viola triplets are ascending and

because of the range in which they are written, these notes will naturally tend to rise in volume on their own.

A second approach would be to have the bassoons, cellos, and basses play louder during the alternating eighth notes. Since the bassoons and low strings are lower-sounding instruments, their sound can sometimes be less audible. In addition, the sustained parts in the flutes, oboes, clarinets, and alto trombone will also need careful monitoring so that they cover neither the main nor contrasting subjects. The first approach mentioned may prove more manageable for the conductor, but the adjustments needed along with the results will depend on each individual orchestra. By understanding this section as an *antithesis* figure, I adjusted my initial interpretation and now I have the goal in mind of ensuring that the main subject will not escape the listener's attention.

Example 3: *Dubitatio*

Continuing through movement one, we find the *dubitatio*, a figure that creates a sense of uncertainty. In Scheibe and Forkel's definition, the figure accomplishes this by leading the

Example 3. *Dubitatio*: Berwald, *Sinfonie Singulière*, Mvt. 1, mm. 104–111

listener astray as the music progresses. Forkel adds that one way this can occur is through a doubtful modulation. Example 3 shows a *dubitatio*. Beginning in m. 104, the solo woodwinds and all of the strings are engaging in a playful exchange when the *dubitatio* suddenly approaches at the end of m. 106. The violas, cellos, and basses have three slurred pickup notes into m. 107, which are joined by the high strings and followed by a sixteenth-note fragment in the woodwinds in mm. 107–108. All of the strings continue through mm. 109–110. The first oboe adds ornamentation by playing a C-sharp grace note that leads into D, then repeats again from an octave lower, recalling the C-sharp from the previous measure. Just prior to m. 104, Berwald presents the first secondary theme in G major and then at the end of m. 106, the three slurred pickup notes in the violas and low strings land into a brief, unexpected flat-six modulation at m. 107, which gives emphasis to the E \flat -major chord that resolves from a B \flat 7 to E \flat (V7–I) in m. 108. As the flat-six tonality continues, it travels to a G-major chord, resolving to another half cadence in D major.

For four measures, the listener encounters this unexpected flat-six modulation, which suddenly appears and quickly returns to the key center of G major where it ends in m. 110. The first violins proceed with a D pickup note into m. 111 (which I include in this excerpt to demonstrate how the *dubitatio* is short-lived) before the second secondary theme takes over. The sudden and unexpected character of this modulation creates a sense of uncertainty in the listener, which is characteristic of the *dubitatio*.

Having identified this passage as a *dubitatio*, I know that expressing the sense of uncertainty or doubt as to the music's progression is central. In light of this character, I need to highlight the unexpected tonality. Beginning in m. 101, the strings are marked *piano* and the woodwinds are marked *pianissimo*. Once the *dubitatio* begins in m. 106, I want to consider a wide range of

dynamic swelling throughout mm. 107–110 to give the figure its full impactful character. I can achieve this by increasing the peak dynamic to a brief volume of *forte* and by considering how the string bowings can contribute to this effect. Bowings are quite subjective and vary according to the type of string instrument and bow, however, my own recommendation would be for the violas to begin the pickups into m. 107 on a down bow, then switch to an up bow where the E-flat quarter note *crescendos* to F and G. Likewise in m. 107, the violins reenter and I would have them perform these quarter notes on an up bow as well. Although this *crescendo* is slurred to the next measure, I would ask the violins and violas to switch to a down bow in m. 108 to allow for the most strength at the peak of the *crescendo*. This particular bowing provides an example where the use of bow direction helps aid dynamic swells, thus aiding in giving the *dubitatio* its fullest expression.

For the same reasons, I would also recommend that the low strings begin the pickups into m. 107 on a down bow, then switch to an up bow on the D and C quarter notes in the second half of m. 107 in order to set up the strong *crescendo*. I would have them again switch to a down bow in m. 108. In m. 109, I would suggest the same treatment with the strings using an up bow for the *crescendo*, then switching to a down bow in m. 110. This *dubitatio* figure occurs again in mm. 256–260, where it is approached by C major, rather than G major.

Identifying this *dubitatio* figure allows me to consider finer details in this phrase that even a thorough musical examination may not afford. Being mindful of the features of this figure and encouraging them to stand out to their fullest extent, allows the listener to more readily notice this unexpected modulation change and to feel its intended effect. As Scheibe describes it, this figure is composed with the intention of communicating a sense of doubt and should therefore not be overlooked.

Example 4: *Distributio*

In movement one we also find an example of the rhetorical figure *distributio*. In Example 4, this figure is shown in mm. 127–133.1. A *distributio* has the characteristic of elaborating a main theme. This can occur through dissection, thematic fragmentation, or subdivision as in rhythmic diminution. This example illustrates the second primary theme which first appears in m. 17 of this movement, directly after the *suspensio* figure already discussed above. As shown in Example 4, this second primary theme returns again in m. 127, this time appearing as a rhythmic diminution in the cellos and basses. In mm. 127–128, the theme is written in its usual manner, but beginning in m. 129, rhythmic diminution begins as the bassoons join in playing the theme with the cellos and basses, turning the theme into successive eighth notes. Then in m. 131, this rhythmic diminution is fragmented for one measure before it finally descends and arrives at a G-major chord in m. 133.1. When the rhythmic diminution begins in m. 129, the first flute, first oboe, the clarinets, and the violins and violas perform a syncopated section together. At this point, all voices begin a *tutti crescendo* that grows toward a *fortissimo* dynamic four measures later.

Example 4. *Distributio*: Berwald, *Sinfonie Singulière*, Mvt. 1, mm. 127–133.1

The musical score for Example 4 shows measures 127 to 133.1. The top staff is for Flute, Oboe, Clarinet, Violin, and Viola (Fl./Ob./Cl./Vlns./Vla.), and the bottom staff is for Cello and Bass (Vc./B.). Measure 127 starts with a piano (p) dynamic. In measure 129, a crescendo (cresc.) begins, and the bassoons (B.) join the cellos and basses. In measure 131, the dynamic becomes fortissimo (f). The score ends with a G-major chord in measure 133.1.

Turning to the performance implications of this figure, a conventional interpretation for this passage would allow the higher voices in the syncopated portion to carry on the phrase with prominence as they travel toward the G-major resolution. This syncopated section and the second primary theme occur exclusively in this section, with the exception of a timpani roll (not shown).

Since the syncopated line is a new development, it can easily consume the listener's attention. In view of the effect the *distributio* figure is meant to communicate, however, the syncopated line does not hold the most importance, and I must therefore ensure that the elaboration of the second primary theme remains in the listener's mind.

To accomplish this effect, I must consider the number of instruments performing the syncopated line and the second primary theme. Simply allowing all parts to *crescendo* does not provide an equal balance. Since there are more voices performing the syncopated line it will be necessary for them to play at a softer dynamic than is written. I can also have these instruments and the timpani roll delay their *crescendo* until m. 132. These modified dynamics will allow the low strings and bassoons to bring out the *distributio* as they carry the *crescendo* to its full impact, enabling the listener to hear this figure throughout the phrase. For reference sake, this *distributio* figure occurs again in the recapitulation section in m. 277.

Example 5: *Ellipsis*

Occurring directly after this *distributio*, an *ellipsis* figure begins in m. 133. An *ellipsis* can take on two different forms. First, we can identify it as a phrase characterized by intensity that is interrupted by unexpected silence, and then continues with a different, unforeseen thought. A second form involves the use of an avoided cadence. An occurrence exemplifying the first definition of an unexpected silence will have more potential for performance interpretations than the one defined as an avoided cadence. Consequently, I will use an example of the first definition as shown in Example 5, which serves as a clear illustration for purposes of discussion.

In this *ellipsis* example, the horns, trumpets, and alto trombone begin a phrase in m. 133, directly after an eighth-rest downbeat. This phrase contains three repeating eighth notes on G at a *fortissimo* dynamic that is continued by sustaining their pitch through the next two measures. In

Example 5. *Ellipsis*: Berwald, *Sinfonie Singulière*, Mvt. 1, mm. 133–138

the second half of m. 133, the rest of the orchestra, with the exception of the timpani, take over the *fortissimo* eighth-note rhythm. Some instruments continue this pattern through an ascending line or a descending line in contrary motion. As the phrase travels intensely along, all wind instruments and strings come together with the eighth-note rhythm in m. 136. The phrase comes to a dramatic halt on a cadential 6/4 chord where a quarter-note rest suddenly interrupts this measure, creating unexpected silence. In the following measure, the first violins continue with a *subito piano* fragment that resembles the second primary theme. The horns, trumpets, and alto trombone immediately intrude upon this quiet fragment, restating the *ellipsis* as a duplicate *fortissimo* phrase. Beyond the conclusion of the example shown, the first violins again play the *subito piano* fragment, which leads into the first ending. This same segment also leads into the second ending after this section is repeated. For reference, this *ellipsis* figure is found again toward the end of the recapitulation section in m. 283.

The expressive intent of this figure is one of dramatic pause which continues with an unexpected thought. In this particular example, the listener is meant to experience a buildup of intensity followed by a sudden break which creates a sense of surprise, emphasized by the second primary theme reappearing as the unexpected thought.

Although this particular *ellipsis* example has a modest performance implication, it is still useful to identify it. Since the successive eighth notes are written in a way that generate intensity,

the conductor will want to lead the musicians to perform this *fortissimo* phrase for its most dramatic impact and ensure that the phrase does not lose any energy until the interruption. Although not identified in this composition, other *ellipsis* figures can bring about additional performance implications for consideration. For example, in other compositions, a *fermata* may interrupt fervent passages. In such a case, a conductor might be tempted to create a break with a very long moment of silence. However, when considering the character of an *ellipsis*, the *fermata* should not be so long that it creates a separate idea since this figure requires a characteristic of continuation.

Example 6: *Gradatio*

Another figure in movement one is the *gradatio* as shown in Example 6. As I described in chapter three, a *gradatio* figure contains a gradual ascending passage that utilizes pitch ascent, prolonged *crescendo*, and harmonic propulsion. This figure can be found in m. 175 through the downbeat of m. 183. In this section, the woodwinds and strings are playing at a *pianissimo*

Example 6. *Gradatio*: Berwald, *Sinfonie Singulière*, Mvt. 1, mm. 175–183.1

The musical score for Example 6, *Gradatio*, from Berwald's *Sinfonie Singulière*, Mvt. 1, mm. 175–183.1, is presented in three systems. The first system (mm. 175–179) shows the Flute/Violin 1 (Fl/Vln. 1) and Violin 2/Viola (Vln. 2/Vla.) parts with a melodic line that gradually ascends and crescendos. The Violoncello/Bass (Vc./B.) part provides a bass line. The second system (mm. 180–183) continues the melodic ascent and crescendo, ending with a fortissimo (*ff*) dynamic marking. The score is marked *poco a poco cresc.*

dynamic, then *crescendo* to a *fortissimo* level. Beginning in m. 175, the flutes and violins have a repetitive sequence that continually rises up from the original pitches of D, C, D, B, and F. These notes repeat for one measure before they proceed with an ascending sequence. This is another location where the second primary theme is featured. When analyzing music for this figure, it may be helpful to point out the qualification that the *gradatio* does not always need to be a sequence as seen in this example.⁷

As a *gradatio*, the strength of this passage must continue building with a gradual intensity that occurs in all the written parts in order to portray its full dramatic effect. In general, for the listener, a *crescendo* conveys a sense of excitement and enjoyment. For the *gradatio* in particular, the intended effect is more decidedly dramatic, from tentative beginnings evolving toward “the most powerful melody and harmony,” to use Scheibe’s words, or from “the softest *piano* to the strongest *fortissimo*,” to use Forkel’s.

In my experience, a phrase like this can begin too loudly and thereby diminish the impact of a long and sustained *crescendo* that arrives upon the *fortissimo* dynamic. Since the previous dynamic marking of *pianissimo* occurred much earlier in the music, it creates a tendency for the volume to increase as the music continues. The conductor must take special care to avoid beginning a phrase like this too loudly in order to achieve the affective drama of the *gradatio*. Also, the melodic line could lose intensity if the conductor does not properly pace the *crescendo* to reach the written *ff* at the end of the phrase. The conductor must remind the low strings to maintain an increase in volume and not stagnate when they approach m. 179, where they begin playing the repeated, syncopated note A. Since this is an eight-measure *crescendo*, we need to

⁷ Elaine Rochelle Sisman, *Haydn and the Classical Variation*, Studies in the History of Music 5 (Cambridge, Mass.: Harvard University Press, 1993), 45.

apply a middle dynamic of *mf* to the beginning of the fifth bar (m. 179), which will allow us to continue striving toward the *ff* in m. 183. Mindful of the character of this musical rhetorical figure, we can apply the foregoing ideas in order to pursue a long, consistent, climactic arrival.

Example 7: *Epistrophe*

Proceeding now to the second movement, we can identify the *epistrophe* figure, which always appears in two parts. Characteristic of this figure is an ending section of a melodic passage that recurs again at the end of another passage. Example 7a shows an example of the *epistrophe* that occurs in the first *Adagio* section. In m. 28, the first violins perform the ending section of a melody through the half note in m. 36. In the pickups to m. 37, the flutes and oboes reiterate this ending melody through the downbeat of m. 45. In the other voices, the timpani performs a *ppp* roll beginning at m. 29 through the downbeat of m. 45, while the low strings have the same dynamic marking and play a *tremolo* throughout this same section. The second violins and violas perform the quarter notes in mm. 29–45. In mm. 37–45, the clarinets and bassoons briefly double the second violins and violas, while the first and second horn play a

Example 7a. *Epistrophe*: Berwald, *Sinfonie Singulière*, Mvt. 2, mm. 28.2–50

Example 7b. *Epistrophe*: Berwald, *Sinfonie Singulière*, Mvt. 3, mm. 332–355.1

The image displays two systems of musical notation. The first system, starting at measure 332, shows the first flute and first oboe part in the upper staff and the clarinet, flute, second violin, and viola parts in the lower staff. The second system, starting at measure 344, shows the first flute and first oboe part in the upper staff and the first violin part in the lower staff. Dynamics include *ppp* and *pp*.

concert D pedal throughout this section. Beginning in m. 38, the first violins perform the embellished section that includes sixty-fourth and thirty-second notes. In mm. 48–49, the rest of the strings play a *pizzicato* part into which the timpani suddenly interjects a very loud strike. The ending melody from mm. 28–50 recurs unexpectedly in movement three at the end of a different melody. Example 7b shows an example of this figure in movement three between mm. 332–355.1.

Beginning in m. 332, Berwald gives the second-movement melody to the first flute and first oboe through the half note in m. 349. In m. 348, the first violins once again take over the embellished section, this time written with eighth notes. At m. 333, the clarinets, bassoons, second violins, and violas perform the slurred and tied whole notes through m. 350. As shown, the cellos and basses perform a *tremolo* throughout this section. As a side note, I would point out that Berwald's scoring for the low strings appears to indicate continuous sixteenth notes through these measures. Yet, he wrote the third movement as *Presto*, which is conducted in two. Given this tempo, it is impossible for the low strings to play sixteenth notes throughout these measures, and therefore they should play it as a *tremolo*. As such, this *epistrophe* in movement three needs

to retain the character from movement two where the low strings were initially notated to perform a *tremolo*.

For the listener, this particular *epistrophe* brings to mind the prior melody from the *Adagio* by inserting its ending at m. 329 in movement three. The intent of this figure is for the listener to experience again their response to the first hearing of the melody from the *Adagio*. In order to accomplish this, the conductor will want to recreate the initial quality as closely as possible.

With this awareness of the *epistrophe*, my interpretation of this section in the third movement is quite different than I initially considered. Remembering Scheibe's indication that the recurrence is "repeated in like manner," my newly informed interpretation slows the tempo down so the recurring melody can reflect more closely the character it portrayed in the *Adagio*. With the knowledge that this phrase is a nod to the previous movement, I can attempt to bring this connection to the awareness of the listener so that they are reminded of the initial tender passage. The *epistrophe* provides validation to the slowing of the tempo in movement three, rather than simply doing so as a personal preference.

Before moving to the next excerpt, I would like to point out and discuss another *dubitatio* figure that exists in the *epistrophe* examples. Recall, in Example 3, I discussed the *dubitatio* that creates a sense of uncertainty through a doubtful modulation. The *dubitatio* figure can also create uncertainty through a delay of motion, as mentioned by Forkel. Example 7a and Example 7b both contain this type of *dubitatio* that takes on the characteristic of a delay of motion. For this *dubitatio* example, I will only make reference to Example 7a.

In m. 38 of movement two, the first violins perform an embellished section that begins with sixty-fourth notes that eventually travel toward thirty-second notes slurred to an eighth note in mm. 46–50. Beginning in m. 46, we have a repetitive three-note motive that creates a lingering

effect. The continued repetition of the D-E-F# motive generates suspense in the listener as the expected continuance fails to arrive.

My initial interpretation sought to finish this phrase with a slight *ritardando* in order to provide the listener with a hint that a change is about to occur. The *ritardando* would help foreshadow the moment that the timpani strikes a solo *fff* eighth-note. However, identifying this figure causes me to reconsider since Scheibe also mentioned that a *dubitatio* should not allow for a listener to “easily guess” the intent of the composer. I can express its characteristics more effectively by not including a *ritardando* and by concealing the timpani cue using a more discreet gesture closer to my body, creating an element of surprise for the audience. Additionally, I will want to keep the *piano* dynamic level without allowing a further *diminuendo*. Continuing this constant level maintains the suspenseful tension for the listener and sets up a more startling contrast for the loud timpani strike. Otherwise, a *diminuendo* here would clue the listener that the phrase is about to end in a fading fashion, and she or he may begin to anticipate new material. For reference, this *dubitatio* also appears with half the length in Example 7b, beginning in the pickup to m. 352.

Example 8: *Paronomasia*

As we complete our analysis of movement two, we find the *paronomasia* figure, which is a figure in two-parts like the *epistrophe*. As Scheibe and Forkel define it, the *paronomasia* figure concerns a previously stated phrase that is repeated, but with new and strengthening additions. The excerpt in Example 8a occurs in the 6/8 *Scherzo* section and shows mm. 53.6–69.2.

Example 8a. *Paronomasia*: Berwald, *Sinfonie Singulière*, Mvt. 2, mm. 53.6–69.2

Examining this excerpt, we notice that the end of this phrase, beginning in m. 63, simply finishes without much fanfare.

The second time we hear this phrase (see Ex. 8b), it occurs a few measures later in the pickup to m. 74. Berwald wrote a very different ending for it here that emphasizes the rise and fall of the notes and the dynamics between mm. 83–90. As a *paronomasia*, these expressive qualities add interest to the repeated measures. The repeated passage in itself brings to the listener a sense of familiarity, however, an unexpected change in the ending, draws further notice from the listener and makes the repetition more distinctive.

Although the contrast of this ending may seem obvious, the conductor must properly lead the written dynamic swell in order to give full expression to its emphatic quality, which is characteristic of this figure. The beginning phrase that occurs in mm. 73.6–82 needs to maintain the written *pp* dynamic level in order to allow the new ending to fully embody the drastic dynamic contrast, one that must grow from a *pp* to *f* within only two measures of music. Following this, the *forte* dynamic must diminish quickly in the next two measures. This swell

Example 8b. *Paronomasia*: Berwald, *Sinfonie Singulière*, Mvt. 2, mm. 73.6–90

The musical score consists of two systems. The first system, starting at measure 74, is marked *pp* and features a complex texture with multiple voices. The second system, starting at measure 84, is marked *f* and *poco cresc.*, with a prominent Oboe 1 line. The score includes staves for Violins (Vlns.), Violas (Vla.), Violoncello/Bass (Vc.B.), and Oboe 1 (Ob. 1).

occurs twice and must be conducted in an energetic manner in order to lead the musicians through these extreme dynamic markings.

Only after identifying this section as a *paronomasia*, I more aware of the attention to detail that I must give it in order to adequately draw attention to the phrase ending. The characteristics of the figure ensure that I attend to the elements that must work together so as not to miss an opportunity for the listener. The conductor should lead the emphasized measures with a vigorous gesture, thus allowing the audience to enjoy an additional visual element.

As a final mention for this example, this repetition in itself can be identified as an additional figure known as the *repetitio*. The *repetitio* figure is simply a repetition that exists for the sake of cohesion. This can include something as small as individual notes, to larger items such as phrases. It can even apply to entire structural sections of a composition, for instance, where the form would be ABA. Both Scheibe and Forkel point out that the *repetitio* will have the most performance implications when, as in this example, it appears as part of the *paronomasia*, where alterations in the repetition differentiate it from its previous occurrences and, in Scheibe's words, "lend it a singular beauty." It is important to note that the added *emphasis* does not always

translate to passages that require more strength or more emphatic articulation but can also take the form of a contrast providing a quieter or gentler repetition.

Example 9: *Exclamatio*

Turning to movement three, we find an example of the *exclamatio* figure as shown in Example 9. The *exclamatio* is an exclamatory section in music that usually consists of an ascending group of notes distinctly played with special emphasis. In this example, beginning on the pickup to m. 247, the first violins are playing a *pianissimo* melody that the first oboe joins with a similar melody just one measure later. This section is supported by repeating eighth notes in the cellos and with long tones in other voices. This very soft section is abruptly disturbed by a *fff* timpani exclamation at the end of m. 250, followed by the woodwinds with their own repetitive *ff* exclamatory marking in mm. 251–256. Simultaneously, the second violins have a short *fpp* fragment in m. 251 that is echoed by the violas in m. 253 and echoed again by the low strings in m. 255. We can find this same figure again beginning in m. 264.

From the perspective of the audience, the *exclamatio* introduces an expressive element of surprise. In this case, the sudden, loud timpani strike adds a startling quality to the experience. The repeated woodwind ascensions serve to heighten and prolong the effect of surprise and grip the listener's attention.

Consequently, the conductor must retain the written *fff* dynamic for the timpani, along with the *ff* dynamic of the ascending three-note motive in the high woodwinds. These loud notes must portray their exclamatory character above the other voices. Although many conductors will likely follow the written dynamics, it is helpful to identify this figure and gain awareness of its

Example 9. *Exclamatio*: Berwald, *Sinfonie Singulière*, Mvt. 3, mm. 246.4–256

247

Vln. 1 *pp* Ob. 1

Vc.

250

Timp. *fff* W.W. *ff*

Vln. 2 *fpp*

253

Vln. 1 *ff*

Via. *fpp* Vc./B. *fpp*

character so as to avoid the temptation of making adjustments with a softer dynamic, perhaps believing that a *fff* over a *fpp* is written incorrectly or involves too much dynamic contrast.

Example 10: *Interrogatio*

Our last example in movement three is the *interrogatio* figure, which embodies a musical question. One can identify several variations. A common one is when a motive or phrase ends

with an ascending interval higher than the preceding note. A further requirement, however, is that it must have the character of a question. A phrase may end with an ascending interval, like a major scale for example, but lacks the form of a question and therefore would not be considered an *interrogatio*. Scheibe mentions that this figure can contain “numerous successive questions.” It can exist as a rhetorical question that does not need an answer, or as a question that does expect a response. In cases where the question is followed by an answer, it does not necessarily fit the mold of our current day understanding of a period concerning thematic structure; the period form, however, is still a valid form of this figure. Additionally, the *interrogatio* figure can be identified in motives, phrases, and at the end of entire movements.

Example 10 shows an occurrence of this figure. In the third movement, the *interrogatio* occurs from m. 391 to the downbeat of m. 401. As shown in m. 391, the first flute, first oboe,

Example 10. *Interrogatio*: Berwald, *Sinfonie Singulière*, Mvt. 3, mm. 391–412

The musical score is presented in three systems. The first system, measures 391-398, shows the first flute (Fl. 1) and first oboe (Ob. 1) parts with a melodic line of eighth notes, and the violin (Vc.) part with a similar rhythmic pattern. The second system, measures 398-405, shows the continuation of the flute and oboe parts, with a 'gradatio begins' annotation and a 'cresc.' marking. The third system, measures 405-412, shows the continuation of the flute and oboe parts, with a 'cresc.' marking and a final cadence.

and cellos perform moving eighth notes for two measures, and then land on a quarter note in the following measure. This motive repeats again in m. 395. It continues twice more in m. 398 and m. 400, but in those measures, the motive is shortened by one bar. The cello motive finishes on a descending major second, while the motive in the flute and oboe finishes on an ascending major sixth. As each motive finishes, it is met with alternating quarter notes that are played by the violins and violas. As this motive repeats four times between mm. 391–401, the ascending major sixth in the flute and oboe pose the successive questions that Scheibe describes, which serve as good examples of rhetorical questions. Note that the entire ten-measure section constitutes a single question in itself. Because the violins and violas simply play alternating quarter notes after each motive, an answer is never provided. By not answering they act like a ticking clock, conveying a teasing quality, as if provoking the woodwinds to ask the question again. An answer finally appears between mm. 401–412. A *crescendo* begins in m. 401 as all of the strings play successive eighth notes that are supported with a sustained roll in the timpani and with long tones in the winds. In m. 405, the flutes and oboes perform quarter notes, while the remaining winds, with the exception of the third and fourth horns, perform a sustained line. In m. 409 the entire orchestra is now playing as they travel toward the key change that begins the recapitulation.

This answer is actually another figure, the *gradatio*. As the score indicates, it rises furiously into the recapitulation at m. 413. In summary, this *interrogatio* combines all the possible elements of the definition. The figure contains a rising interval in the flute and oboe motive and also a series of successive rhetorical questions. In addition, it contains a ten-measure, large-scale question phrase from m. 391 to the downbeat of m. 401. The twelve-measure answer appears in m. 401 through m. 412.

For the listener, the element of the question evokes an expectation of a response. The listener's attention, therefore, will be focused on what happens next. In the case of successive questions this sense of expectation is prolonged. In this particular *interrogatio*, the successive questions are rhetorical in that they do not receive an answer. The listener's expectation not only continues, but builds. When the answer finally arrives in the form of the *gradatio*, not only is the expectation finally fulfilled, but because of the built-up intensity of the question, the listener also experiences a sense of relief.

In my initial examination of this section, I considered it as transitional material that leads into the recapitulation and nothing more. Upon further review, a rhetorical perspective reveals that this example comprises all the variations of the *interrogatio*. This realization brought new life to this section and led to a number of insights for performance. Calling to mind an image or thought can help a performer convey or sculpt a passage in a way that she or he finds meaningful. In this case, I imagine an inquisitive character and use a light gesture with an animated facial expression. I should also be mindful of performing the larger ten-measure phrase in a way that builds the character of a question, then connects to the answer. The flute and oboe can contribute to this effect by performing their motive and longer phrase with the character of a question in mind.

Example 11: *Antithesis II*

Returning to movement one, we discussed the *antithesis* figure shown in Example 2. I would like to briefly discuss another *antithesis* figure from the same movement that begins in m. 151 through the downbeat of m. 183. In this instance, the main subject brings the second primary

Example 11. *Antithesis*: Berwald, *Sinfonie Singulière*, Mvt. 1, mm. 167–175

theme into focus. Example 11 shows an excerpt of this section that occurs in the development. As seen in mm. 167–170, the second violins and violas perform the second primary theme for four measures. As this theme is developed, it is handed over to the clarinets and bassoons in m. 171, where they perform it through the next four measures. The theme is then handed off once more in m. 175, this time to the first flute and first violin as previously discussed in the *gradatio* figure in Example 6 above. (The reader may notice that the *gradatio* figure from this example also includes an *antithesis* figure, an example of how multiple figures can combine, always adding interest and providing the conductor with ample material to consider.) Also occurring in mm. 167–174, the first violins perform another subject that includes an exciting display of triplets while the low strings play a light *pizzicato* part that changes to *arco* in m. 174.⁸

⁸ The Hansen score has this *arco* location at m. 175, likely moved there by Tor Aulin for the premiere performance. Berwald, however, specifically has this written in m. 174.

Similar to the considerations covered in Example 2, the characteristics of the *antithesis* emphasize that the conductor must carefully balance this entire figure. The triplets in the first violin part could potentially dominate the sound throughout this section, especially since their dynamic marking of *pianissimo* occurred eighteen measures prior. The conductor must keep in mind that the second primary theme in the other sections should achieve a seamless transition as it is handed to different sections that are not only located on different parts of the stage, but also possess different timbres. The conductor should ensure that these exchanges are not overpowered by the relentless triplets in the high strings.

Shown in Example 11 from movement one is another figure. Notice in m. 174, an *anticipatio* is labeled above the last note played by the first violins. This D-natural briefly foreshadows the D-naturals that are played by the flutes and violins on the downbeat of the next measure. This foreshadowing of the *anticipatio*, however, amounts to little more than a brief anticipation with no effect upon performance interpretation. I offer an example of it here to demonstrate why one would ordinarily pass over these ornamental figures in the process of rhetorical analysis, although many occurrences may exist.

Figures Occurring Together

At this point in our discussion, the reader has seen how some figures can coexist with others. These combinations occur not only when a figure directly precedes or follows another figure, but also by occurring at the same time. Looking back at Example 3, we examined a *dubitatio* figure from movement one. Notice the *hyperbaton* figure labeled in the oboe part in m. 110. A *hyperbaton* contains ornamentation where octave displacement is written. This occurs when a note, or a motive, or a phrase is introduced in a particular register, then stated again either directly or shortly after in a different register. This applies to the same instrument, rather than in

situations where similar instruments may naturally be written an octave apart. For example, the octave displacement can occur in a written trumpet part, or when the first violins play a motive that is later repeated in a different register in the second violins, because they are the same instrument. The figure would not apply if the bassoon played a motive that was later repeated by a contrabassoon, nor in passages where the cellos and basses perform in unison. Rather, the *hyperbaton* must first be heard in one register, stating the original position in which it occurs, then heard in another register of the same instrument.

To illustrate, in m. 110 of Example 3, the oboe part plays the C-sharp grace note that leads into D, which is repeated an octave lower. Because this particular *hyperbaton* appears so briefly, it does not carry implications for performance. However, other compositions may have different results. A *hyperbaton* could affect several more notes and may even be written across an entire phrase. In these cases, balance adjustments may need consideration depending on the texture of the composition. For example, when a piano part moves a melody from one hand to the other separated by one or more octaves. Balance considerations also come into play in chamber or large ensemble scoring when other instruments are written against an important melody or countermelody, where the *hyperbaton* is being performed by a soloist or entire section so as not to lose the continuity of the octave displacement.

Example 12: *Ligatura*

Of the remaining figures, movement two contains a *ligatura*, a figure that simply consists of a tie. As seen in Example 12, the second violin part performs a series of 7-6 suspensions in mm. 182–191. In this same phrase, a *retardatio* figure, which Scheibe describes in part as a delayed dissonance that does not have anything in common with the preceding dissonance. Such a figure exists in mm. 182–183 as the A and F# in the first violin and the second violin,

Example 12. *Ligatura*: Berwald, *Sinfonie Singulière*, Mvt. 2, mm. 182–194

respectively, are held over to delay the tonic chord. Another ornamental figure, the *transitus*, defined merely as a passing note, occurs ubiquitously in compositions in general, but for the most part has no particular implications for performance. As a final mention of an ornamental figure, the *variatio*, which similarly describes small-scale characteristics of dissonance, is not apparent in this symphony, and for the most part, one would not generally include it in rhetorical analysis as it merely describes small-scale ornamentation.

Once again, I mention these ornamental figures to show how they differ in character from the expressive figures that are the focus of this analysis. As we saw in the review of literature in chapter two, it is important to select figures appropriate to the specific purposes of each analysis. In the case of performance implication, the expressive figures of Scheibe and Forkel are well suited.

Prior to my first performance of Franz Berwald's *Sinfonie Singulière*, circumstances prevented me completing a thorough musical rhetorical analysis of the symphony. Having now

completed the analysis, I believe I have a number of new insights on how to conduct my next performance. With the benefit of this analysis, I am able to identify and clearly articulate specific ways that a conductor can give full expression to the musical rhetorical figures and allow them to contribute with maximum effect to the character of the symphony as a whole.

In the following chapter, I summarize some of the performance implications found in the above analysis on a more general level to draw out the kinds of insights one can expect to find from a rhetorical analysis. I also include a discussion of some theoretical aspects of musical rhetoric.

Chapter Five: Discussion and Conclusion

Discussion of the Analysis

In the foregoing chapter, I presented a detailed examination of selected musical rhetorical figures from the symphony and considered how the expressive character of the figure shapes my objectives in conducting those passages. In this chapter I will summarize what I have gained from this analysis. In what ways has examining the symphony through the lens of musical rhetorical figures provided additional insight into performing the piece that prior forms of study and analysis had not afforded me? I will focus on the fruits of the analysis in order to highlight some of the insights obtained and I will draw attention to their broader character in order to illustrate the value of rhetorical analysis in other works as well. In the following paragraphs, I discuss several of the figures studied and how such figures might typically enhance the performance interpretation of musical works.

In movement one, the identification of the *suspensio* figure in mm. 1–16, brought my attention to the need to maintain a sense of delay and ambiguity in these measures. I realize that seamlessly connecting the numerous timbre changes across the motives and avoiding uneven exchanges retains the suspense and the listener's attention, while keeping the impact of the figure's expressiveness. I am led to consider such details as altering my conducting gesture in order to minimize any visual distraction. This figure also brings to my awareness the central importance of the repetitive nature of this passage and the sense of uncertainty it is intended to convey. The repetitive quality of this passage takes on an essential, rather than incidental, quality.

My understanding of this passage as a *suspensio* figure yielded several performance insights and caused me to revise some others that I had considered in my initial study of the symphony's structural components and study of the score. Interpretations of textural consistency, dynamic continuity, and conducting gesture all combine and allow me to give this passage the distinctive expression of the *suspensio*. One may expect similar insights from identifying this type of figure in other works.

Viewing the passage in movement one, mm. 73–88 from a rhetorical perspective, brought additional insight when I recognized in it an *antithesis* figure and reflected upon the characteristics of this rhetorical device. My initial interpretation of this *fortissimo* section was to allow the new ideas in the brass fanfare and high strings to dominate. When I conceive the passage as an *antithesis*, however, I understand the new ideas as contrasting subjects to a primary theme, which then must receive special attention. I therefore adjusted my initial ideas for balance to allow the listener to clearly distinguish and recognize it. In this fashion, identifying rhetorical figures lends important insights into how contrasting passages fit together, and results in significant adjustments to balance.

The identification of a two-part *epistrophe* figure in the second and third movements reinforced my reasoning for adjusting the tempo. The melodic ending of mm. 28–50 in the *Adagio* repeats in movement three in mm. 332–355 at the end of a different melody, and together these constitute the *epistrophe*. In my initial score study, I recognized this recurrence as an interesting structural component, and indeed, most descriptions of this work make note of it, often only as an example of the symphony's unconventional nature. But conceived as a musical rhetorical figure, this structure takes on a deeply expressive significance where the listener not only recognizes the *Adagio*, but also responds on an affective level in a similar manner as when

they first heard it. Consequently, I decided to slow the tempo for these measures to more closely align with the character of the *Adagio*. The change in tempo brings out the expressive quality of the *Adagio* melody in a way that is otherwise lost.

Once again, therefore, the recognition of a musical rhetorical figure adds significantly to an interpretation for performance, providing clues to its expressive quality beyond what one can find in the score markings. Through rhetorical analysis, we can view structural elements of a piece as having an expressive purpose, elements which we may have previously noticed, but which did not otherwise suggest any implications for performance.

Another passage that received added appreciation of its expressive quality when seen through a rhetorical lens is the repetitive three-note motive in mm. 46–50 in movement two. This passage is followed by a sudden timpani strike. In my initial interpretation, I ended this section with a slight *ritardando* and *diminuendo*, thereby alerting the listener that a change was about to occur. From a rhetorical perspective, however, I see this passage as a *dubitatio* figure with the repeating motives conveying doubt through a characteristic delay in motion. The repetition then takes on added purpose in the creation of a certain tension, a feeling of hindrance, awaiting a continuation which unexpectedly arrives in the form of a timpani strike. In light of this recognition, I reconsidered the *ritardando* and *diminuendo* since they would signal the end of the doubtful expectation rather than allowing the timpani strike to arrive unannounced and more dramatically.

In discussing further these examples from the foregoing analysis, I hope to have emphasized the significant contributions of viewing a work from a rhetorical perspective. One can recognize the expressive potential of many passages, expressions that the composer may have intended, but which the score notation did not indicate. One can recognize the presence of repeating motives,

recurring themes, and harmonic progressions, and all of these may provide valuable insights into the composition of a musical work. But once this understanding is reached, examining the rhetorical nature of these passages can bring the conductor a step further. What is their expressive potential? Does the composer's construction convey specific expressive intent? Although it is difficult to determine with certainty the composer's intent, I believe the present analysis demonstrates that the expressive nuances offered through an appreciation of rhetorical character contribute substantially to a refinement of performance interpretation.

Revisiting the Value of Musical Rhetorical Analysis

The process of undertaking a musical rhetorical analysis provides the conductor with a valuable way to augment traditional forms of analysis. It allows one to discover additional, expressively engaging aspects of a composition. This process is especially productive for the conductor in that she or he can readily transfer the insights gained to interpretations and apply them directly to shaping the sound of the music, which can have a significant impact upon the experience of the listener. Knowing that a phrase forms a *dubitatio* gives me immediate clues on where my interpretation should focus and toward what objectives I should aim. In contrast, establishing a number of measures through phrasal analysis, for instance, gives me an idea of how a piece is structured, but is of limited practical value in revealing the expressive intent of the music or how to perform it.

Another beneficial aspect of working with rhetorical figures is that they comprise a number of indications for expressive performance under a single label. Having now completed our analysis and discussed these indications in detail, we can further appreciate the statements in the introduction of how rhetorical figures provide a useful conception of nuances for performance and facilitate the communication of this expression to others. In particular, the form of this

communication to an ensemble in a rehearsal setting will depend upon several considerations. In the context of a university student orchestra, where the conductor takes on an important teaching role, few brief moments spent during a certain rehearsals can prove valuable. For instance, if the students are led to grasp the quality and characteristics of a *gradatio* figure, they gain an appreciation of the expressive intent of the passage as a whole rather than simply making a series of unconnected markings in their part as indicated by the conductor. This understanding can facilitate remembering since recalling a single rhetorical figure brings to mind and unifies the reason for the separate markings, which reduces the need for repeated reminders. In addition, a knowledge of rhetorical figures and the availability of rhetorical analysis as a tool for evaluating a work of music, constitutes a worthwhile and useful addition to the general knowledge of the musician, providing the opportunity to connect their knowledge across music subjects. For a professional orchestra, however, the conductor does not assume a teaching role, and with the time constraints of the professional rehearsal environment, adding the concept of a rhetorical figure to the interpretation communicated to the musicians should not be considered.

Regarding the application of rhetorical analysis to different works, we can readily see how the particular structure and meaning of the figure is unique in each composition. In addition, the figure's preceding and following passages will require different creative solutions for highlighting and complementing a clear expression of each figure's central character. Each circumstance will call for a particular nuance and have its own challenges to which conductors can apply their artistic talent and experience to arrive at their own interpretation.

Viewed from this perspective, the process of score study can take on greater interest and practical value, as if hunting for hidden gems within each composition. The hunt for rhetorical figures, within the overall process of score study, adds a significant addition to this process by

lending a framework for discovery accompanied by a historically rich field of interpretive ideas. Searching for the figures, identifying them, and reflecting upon their expressive character offers a path to a more intimate acquaintance with a work of music. One final point is that even performers and conductors quite familiar with performing certain compositions may discover, through the lens of rhetorical figures, opportunities for a renewed creativity through new interpretations and fresh perspectives.

The Significance of Musical Rhetoric

Having established the practical value of musical rhetorical analysis, I would like to briefly consider some more abstract aspects of its significance. To start with, I have mentioned at several points that a central goal for this type of analysis is to describe and bring to an audience the expressive intent of the music. A work such as the *Sinfonie Singulière*, of course, has qualities that add to its expressiveness beyond musical rhetorical figures. By no means do these figures suffice for the full expression of a composition. Rather, they define characteristics that contribute their own unique expressive character. In their definitions, they offer ways of expressing passages that might not otherwise be considered, something that we saw illustrated in the above analysis. Yet, since these figures can influence performance to a significant degree, the additional ideas their discovery provides contribute valuable insights to the conductor.

To further consider expressive intent, I mentioned at the start of the analysis that, in most cases, establishing the composer's true intention when she or he writes a passage containing a musical figure will constitute a matter of speculation. Such is the case in general when interpreting musical works in search of this intention. Regarding the rhetorical figures in particular, however, one can reasonably expect that very few composers were consciously thinking of a *gradatio* or an *epistrophe* when they wrote passages containing them. Nevertheless,

an analysis can identify the figure and allow one to incorporate its particular expressive character when performing the passage. Therefore, although the composer might not have consciously sought to employ a rhetorical figure, she or he did consciously give the music the expressive qualities that the figure describes. Ultimately, as in all matters of interpretation, the performer must subjectively determine to what degree the figure reflects the composer's intent. Using the identification of rhetorical figures to reach a judgment as to the composer's intent is, therefore, equally valid as any form of analysis where subjective judgments must be made.

By way of some final considerations, I would now like to turn the reader's attention to some more theoretical aspects of musical rhetorical analysis that I believe are important for the further development of the subject.

The Scope and Independence of Musical Rhetoric

My study of the history of music and rhetoric, along with exposure to contemporary studies on the subject, have led me to appreciate that musical rhetorical analysis encompasses more than a single methodology. Likewise, the purposes for adopting a rhetorical model for composition and for analysis vary considerably. When considering the merits of rhetorical analysis, therefore, it is important to evaluate the method in relation to its application. For instance, if the purpose is to shed light on the design underlying a seventeenth-century composition, one might focus on the rhetorical design of the compositional structure. An analysis might also focus on small-scale ornamental figures and how they give expression to the vocal text of a liturgical hymn from the late Renaissance. On the other hand, if the purpose is gaining performance insight into a Romantic symphony, as in this present study, the method might rather focus on identifying affective-expressive rhetorical figures. For a general understanding of the scope of rhetorical analysis, therefore, one must consider that it calls for different approaches depending on the topic

at hand. Assuming that it involves only one approach can lead, for example, to the regrettable view that rhetorical analysis holds no relevance for study of contemporary works or that it carries no practical implications for performance.

Given these variations in the application of musical rhetorical analysis, some common notions of the topic as found in contemporary literature warrant further discussion. Theorists from the Renaissance era found aspects of music that lend themselves to comparisons with oratorical rhetoric, from structural components to means of evoking emotional responses. As we have seen in chapter two above, scholars continued to develop and apply concepts of Classical linguistic rhetoric to music. Regarding the musical rhetorical figures in particular, as discussed in chapter two, the *musica poetica* theorists adopted terminology from oratorical rhetoric that seemed, however remotely, to describe musical devices already in use. The definitions of these musical figures developed until, with Scheibe and Forkel, they received the most complete definitions as purely musical devices described without dependence upon oratorical rhetoric. This decisive separation of musical rhetoric from its linguistic forbearer represented a significant step forward for the development of musical rhetoric.

The general understanding of the topic, however, continues to look to concepts rooted in oratorical rhetoric, and turn to them for musical meanings. I would argue, however, that for a viable understanding of the rhetorical nature of music, and hence of musical rhetorical analysis, its conceptualization should only encompass ideas that are truly musical, ideas that have meaning independent of language-based rhetorical concepts. As I commented throughout the review of literature, overdrawn analogies between musical and oratorical rhetoric detract from an appreciation of musical rhetoric's own unique meaning and forms of expression. Moreover, such attachment opens itself to the justifiable objection that the application of rhetoric to music is

misplaced, that without a language-dependent understanding, rhetorical concepts and the notion of musical rhetoric lack viability. On the contrary, however, even from the early days of *musica poetica*, the relationship of oratorical terms to musical ones is no more than metaphorical at best. We must, therefore, resist the persistent temptation to look toward oratorical rhetoric in order to give meaning to its musical counterpart.

A study of the truly musical meaning of terminology from oratorical rhetoric would constitute a worthy contribution of its own and perhaps I will undertake such a study in the near future. However, some basic difficulties in applying concepts of rhetorical discourse to music warrant mentioning in the present context. For example, writers often employ the idea that music is “persuasive” or “convincing” in the same, or similar way, as that of oral discourse. Persuasion in oratory carries the meaning of convincing someone to make a certain decision. In attempting to draw a close analogy, contemporary musicologist Daniel Harrison writes, “If the task of an oration is to persuade an audience of the validity of the speaker’s point of view, the task of a fugue is to persuade an audience that the musical material can make a convincing and successful composition.”¹ But a fugue is a musical composition, not an argument to adopt a point of view. A listener may appreciate the work and be moved by its expressiveness, and thereby, in a metaphorical sense, be persuaded to approve of it. Nonetheless, I believe such strained analogies stand in the way of a well-developed notion of musical rhetoric.

Another common conception is that themes in music can function as argument and refutation in a similar manner that they do in a verbal dispute. But the ideas of argument and refutation refer to logically contrary assertions. In the world of oratorical speech, the objective of

¹ Daniel Harrison, “Rhetoric and Fugue: An Analytical Application,” *Music Theory Spectrum* 12, no. 1 (1990): 5, <https://doi.org/10.2307/746145>.

argument is predetermined. One can ask whether the listener did or did not embrace the sought-after position. True, a musical work can present different contrasting elements that play upon one another, and one might imagine this as an “argument,” perhaps to describe a particularly dramatic contrast. But argument implies contrary positions, mutually exclusive points of view. These are difficult concepts to apply to instrumental music in any critical fashion.

This difficulty aside, common usage of terms like “persuasion,” “argument,” and “refutation” in the musical sphere would indicate that in some way they do connote a degree of musical significance. Indeed, we have perhaps heard them so frequently that in all likelihood, we do not give their meaning a second thought. In our casual conversation, use of such terms presents no difficulty. The problem arises when we use them for purposes of analysis in scholarly publications where terms need a musically applicable meaning if we are to sufficiently understand and communicate the results of the analysis. Moreover, as long as works on musical rhetoric continue to lean upon oratorical rhetoric to explain the former in terms of the latter, an understanding of the truly musical meaning of musical rhetorical analysis will suffer.

But would a separation of musical rhetorical concepts from those of oratorical rhetoric run the risk of emptying musical rhetoric of its meaning as some have suggested?² On the contrary, music undoubtedly has its own meaning, and the subject of its semiosis covers a wide variety of topics. Although a close examination of the semiotics of musical rhetorical figures must wait for a future study, there is one fundamental distinction that will prove helpful for the present discussion. Contemporary musicologist Philip Tagg writes of an important difference between meaning in language versus meaning in music, and that is the difference of denotation versus

² For a thorough discussion of the problems inherent in tying music to oratorical rhetoric, see Brian Vickers, “Figures of rhetoric/Figures of music?,” *Rhetorica* 2, no. 1 (May 1984): 1–44, <https://doi.org/10.1525/rh.1984.2.1.1>.

connotation. The meaning of language consists in verbal sounds representing specific meanings, meanings which are generally accepted and which can be found in dictionaries. Words are said to *denote* the meanings they represent and serve as arbitrary signifiers of those meanings. The sound of a word in one language may denote something entirely different in another, hence, the meaning is conventional, but arbitrary. Music, on the other hand, is said to *connote* its meaning. The sounds of music bring to mind associations with experiences we have had, which in turn, have their own meanings. Unlike the sounds of words, the sounds of music are not arbitrary but connected to their meanings through past experience.³ Moreover, the meaning of music is a product of our ability to combine several separate areas or domains of meaning into one. Philip Tagg calls this combining of meanings a *synaesthesia*. In this schema, linguistic meaning is but one among several areas or domains of meaning that include visual representations, physical motion, body movement, social significance, and emotional response.⁴ Consequently, what music means to us can connote a synthesis of meanings.

In light of the fact that music's meaning is independent of language meaning and of a different kind, we have even further justification to distance the study of musical rhetoric from the rhetoric of language. How might the further development of musical rhetoric and musical rhetorical analysis proceed?

Needs for Further Scholarship

The greatest need, I believe, in advancing rhetorical analysis for performance interpretation is for additional studies that demonstrate its application and show the value of the performance

³ Philip Tagg, *Music's Meanings: A Modern Musicology for Non-Musos* (New York: The Mass Media Music Scholars' Press, 2013), 164–66.

⁴ Tagg, 62–65.

insights gained. In addition, if these studies involve works from the Classical period and later, they can help overcome a tendency to associate musical rhetoric solely with vocal and instrumental works of counterpoint from the late Renaissance and Baroque. As more studies analyze works from a variety of genres, performers and conductors will have greater opportunity to appreciate musical rhetorical analysis and its relevance to their performances.

In addition to publication of practical examples, musical rhetorical analysis would benefit from scholarship that differentiates musical rhetoric from its linguistic namesake. Development of a rhetorical theory and terminology proper to music is something I hope to study further. I believe it is important work if our understanding of the rhetorical nature of music from all eras is to grow and remain relevant. To further establish the independence of musical rhetoric as just discussed, we will need to firmly establish the musical meaning of rhetorical terminology. Theorists can advance ideas concerning the semiotics of rhetorical figures based upon truly musical connotations of rhetorical concepts. These concepts can help define how musical rhetorical analysis approaches the study of musical compositions from an expressive viewpoint, that is, how musical figures can move the emotions of the audience.

Final Summary and Conclusion

I became interested in musical rhetorical analysis from hearing live demonstrations of how recognizing musical rhetorical figures could change the performance of a work. A search of the applicable literature for a process I could apply to discover these figures on my own, however, was unsuccessful. My interest in this unique perspective continued, nonetheless, as did my determination that my performance interpretations would benefit from it. That resolve led ultimately to this dissertation and the desire to establish a method of rhetorical analysis that would fill the gap I encountered in my earlier search. I hope that this initial effort at establishing

a practical method for the discovery of rhetorical figures will be of help to others who are intrigued by the performance implications of musical rhetorical figures.

In this dissertation, I have presented rhetorical analysis as a viable and informative approach to score analysis for the purpose of performance interpretation from the conductor's perspective. I outlined some of the origins and developments of musical rhetorical analysis from the Renaissance through the eighteenth century in order to give a background for understanding how different purposes and methods developed. This background provides a context for understanding how an application of rhetorical analysis is not limited to works of the Renaissance or Baroque periods. I reviewed a number of contemporary studies that adopt a rhetorical perspective for analyzing various musical works, mostly concerning the Baroque period. I developed a method of rhetorical analysis that directly contributes to performance insights, and consequently provides practical value for the performer. Using Berwald's *Sinfonie Singulière* as a subject of this analysis, I identified several musical rhetorical figures that give insights into the expressive qualities of this symphony and discussed the implications these have for performance interpretation.

Understood in the context of affective expression in instrumental music, and utilizing a method that is suitable, musical rhetorical analysis offers performers a creative and practical means to gain additional insights into the expressive qualities of a work. These insights can contribute directly to refining and nuancing one's performance interpretation. Musical rhetorical analysis provides a valuable, fruitful, and exciting means of enhancing performance interpretation.

Appendix

Latin Name	Deutsch	Source	Figure Type	How to Identify	Performance Implications
Antithesis	Gegensatz	Scheibe Forkel	Expressive	Look for opposing affections, contrasting subjects or harmonies, or thematic inversion. This can occur simultaneously or successively. Forkel mentioned this as “new and unexpected changes,” or “sudden modulations.”	Bring out the intended contrasts. Focus on balance and prevent important voices from being covered.
Distributio	Zergliederung	Scheibe Forkel	Expressive	Search for elaboration or dissection of a principal theme; thematic fragmentation; subdivision as in rhythmic diminution.	Bring out the common threads and allow the elaborated changes to be heard, not concealed.
Dubitatio	Zweifel	Scheibe Forkel	Expressive	Search for uncertain tonalities such as indecisive modulation or lingering passages. Both bring about uncertainty as to where the music is going.	Highlight ambiguous tonalities or motion.
Ellipsis	Verbeißen	Scheibe Forkel	Expressive	Look for vigorous sections where passages are unexpectedly interrupted, creating silence. An avoided cadence is another characteristic of this figure.	Where the silence occurs, avoid overstating a long break as the music should continue without creating two separated ideas. Consider bringing out the unexpected cadence if possible.
Epistrophe	Wiederkehr	Scheibe Forkel	Expressive	Look for the ending of a melodic passage that is then repeated at end of another passage.	Consider the original expression of repeated sections and remind the listener how it previously occurred.
Exclamatio	Ausruf	Scheibe	Expressive	Search for small groups of notes that appear with an exclamatory quality. Commonly found as ascending notes.	Make sure the exclamation is highlighted clearly and is distinct from other voices in order to express the intended affection.
Gradatio	Aufsteigen, Steigerung	Scheibe Forkel	Expressive	Look for ascending passages or sequences that increase in volume over a long group of measures. Most effective when these passages travel from a very soft dynamic to a very loud one.	Sustain the crescendo from start to finish and avoid starting too loud or peaking too soon.
Interrogatio	Frage	Scheibe	Expressive	Look for the following: motives or phrases that end with a rising tone (the interval of an ascending second or larger); sections that include rhetorical questions (not needing to be answered); and look for passages that contain a question followed by an answer. Not to be identified with today’s technical description of a “period” (although applicable, is not the only example of how it can occur). Keep in mind that not all passages that end with an ascending interval are <i>interrogatio</i> figures.	Attempt to bring about the character of a question. If an answer exists, ensure that it is heard clearly. Maintain the cohesion between the two sections.
Paronomasia	Verstärkung	Scheibe Forkel	Expressive	Locate repetitive sections that contain new, emphasized additions.	Make the new emphasis distinct by enhancing the expression through a stronger or weaker contrast.
Repetitio	Wiederholung	Scheibe Forkel	Expressive	Search for various repetitive sections. They can be very close in proximity or far apart in a composition. Those that are found to be in combination with the <i>paronomasia</i> are the most favored.	Consider how a repetitive section can be performed differently than its previous occurrence. If combined with a <i>paronomasia</i> , emphasize the new additions.
Suspensio	Aufhalten	Scheibe Forkel	Expressive	Look at the beginning of a composition and determine if it is written in a way that evokes delay through detours.	Consider ways to perform this figure in order to help create suspense for the listener.
Anticipatio		Scheibe	Ornamental	Look for areas where an anticipation occurs in a phrase.	If the note is written with a longer value, therefore giving the listener time to hear it, consider making the anticipated note clearly audible before the resolution. Not to be performed too softly or overbearing.
Hyperbaton	Versetzung	Scheibe	Ornamental	Notice areas where a few notes or longer phrases are repeated in a voice, but in a different octave. Where thick orchestration occurs, do not confuse, for example, with a flute playing a passage that is repeated by the violins an octave higher or lower. Also, do not confuse with instruments that sound an octave apart.	Potential minor balance concerns between octaves. Take special consideration, especially with longer passages.
Ligatura	Bindung	Scheibe	Ornamental	Locate areas where a tie exists and makes use of dissonance by shifting the beat.	May need to consider adjusting balance, depending upon how this is written in a composition.
Retardatio		Scheibe	Ornamental	Look for the suspension of a note from a previous chord that continues in the following chord.	May need to consider adjusting balance, depending upon how the dissonance occurs.
Transitus	Durchgang	Scheibe	Ornamental	Search for passing notes.	No special performance implications necessary.
Variatio		Scheibe	Ornamental	Look for embellished areas in a melodic line that uses additional notes of the same pitch that create dissonance. Scheibe defines the same as Bernhard’s and Walther’s version of <i>multiplicatio</i> . (See Chapter 3 for details.)	Depending upon where this falls in the music, there could be the potential for adding slight stretching.

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