

CHARLES IVES AND DEMOCRACY: ASSOCIATION, BORROWING,
AND TREATMENT OF DISSONANCE IN HIS MUSIC

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Acknowledgements

This introduction is just put in, now and later, to be more polite.
—Charles Ives, *Memos*¹

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¹ Charles Ives, *Memos* (New York: W. W. Norton & Company, Inc., 1972), 26.

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Preface

Everyone should have the opportunity of not being over-influenced.
—Charles Ives, *Essays Before a Sonata*¹

I have been asking questions about Ives and his music since taking an undergraduate special topics course on Ives in 2007 at Ithaca College. Since then I have benefited not only from being exposed to a variety of opinions on Ives and his music, but also from encountering several different methodologies at different institutions. Having worked with both musical theoretical and musicological experts on Ives, I learned to ask questions not only about the structure of Ives's music, but also about meaning and historical and biographical contextualization. The double nature of this dissertation reflects my past training and subsequent interests; it is a blend of historical and theoretical approaches and queries. This dissertation is neither solely music theory nor musicology; it is a marriage of the two fields, reflecting an opinion I have come to believe: that musicology and music theory are essentially “the same field approached through different methods, and I see my own [research] task as hopeless unless I use both of them.”²

When I started this project, I began with different questions about Ives and his music, questions mostly related to the meanings of recurring borrowings throughout his compositional output. While researching these questions, I completed several months of archival work in MSS 14, The Charles Ives Papers, in the Irving S. Gilmore Music Library of Yale University. During my time working on The Charles Ives Papers, I found

¹ Charles Ives, *Essays Before a Sonata* (New York: W. W. Norton & Company, Inc., 1999), 94.

² J. Peter Burkholder, “Music Theory and Musicology,” *The Journal of Musicology* 11, no. 1 (Winter 1993): 11–23. The quotation is from p. 12.

myself becoming fascinated by manuscripts that I had not even known existed. I became especially interested in the manuscripts of “Sneak Thief,” an unpublished song that was probably written in October 1914, and in the crude marginalia that lined its manuscripts.

Reading Ives’s unpublished marginalia first sparked my interest in and curiosity about Ives’s treatment of dissonance. I began rereading primary source materials, especially the *Memos*, *Essays Before a Sonata*, *Selected Correspondences*, and *Charles Ives Remembered*, which contains oral accounts of Ives’s life. It is from many readings of these sources, as well as my study of Ives’s manuscripts and the other documents in the Charles Ives Papers that I have produced the theories and ideas found in this dissertation. My beliefs that dissonance acts as a constructive force in Ives’s music and that Ives’s dissonantly-set musical borrowings can act as the fruitful basis of an analytical methodology to help explain and develop the listening experiences of modern analysts were drawn from recurring statements in Ives’s writings and reappearing musical structures in his compositions. I found that such statements and musical structures could be categorized in meaningful ways and with constructive implications for experiencing, thinking about, and analyzing Ives’s music.

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CHARLES IVES AND DEMOCRACY: ASSOCIATION, BORROWING, AND
TREATMENT OF DISSONANCE IN HIS MUSIC

I interpret meanings in Charles Ives's uses of musical borrowings through the perspective of his treatment of dissonance. Drawing on archival research and primary documents, I study two aspects: first, how one might reconstruct his thoughts on connections between democracy and dissonance ("Association"), and second, how one might understand his musical dissonances constructively in terms of analysis and experience for the present-day listener ("Treatment"). Ives's writings that discussed features of dissonance—especially extramusical or expressive associations—are ubiquitous, and his writings support the main theoretical ideas of this study. I theorize that, for Charles Ives, dissonance was evocative expressively and extramusically, and that the compositional makeup of his works reflects this aesthetic orientation.

Many of Ives's references to dissonant musical structures fall into a web of associations that I describe as "Democratic." In writings that discussed "Democratic" dissonances, Ives associated aspects of dissonance with strength, freedom, and/or democratic principles. By contrast, he regarded music whose dissonant potential was underutilized as lacking the capacity to evoke strength and freedom. Ives also associated aspects of consonance and/or late nineteenth-century musical theories regarding tonal music with autocracy, slavery, and/or "German rules" during and after the Great War. In addition to reconstructing Ives's associations of dissonance, I explore the ways in which Ives treated "Democratic" dissonances musically, and describe how modern listeners might constructively utilize these dissonance treatments for analysis and experience.

“Democratic” dissonances manifest in Ives’s music that was written or revised during and after World War I, in the guise of tonal passages that Ives may have marked or camouflaged by the “addition” of dissonant musical structures for their political and ethical affect. In my work, I specifically examine passages that feature tonal musical borrowings, which can be compared to consonant, tonal harmonic progressions and melodic lines, as shown through sketch study and my own recompositions. Dissonant notes interact with and alter these underlying consonant, tonal harmonic progressions and melodies, and different kinds of alterations musically shape the affective qualities and compositional design of Ives’s music.

Marianne Kielian-Gilbert, Ph.D.

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Chapter 1

Unanswered Questions

It is conceivable that what is unified form to the author or composer may of necessity be formless to his audience.

—Charles Ives, *Essays Before a Sonata*¹

1.0 Unanswered Questions about Charles Ives's Musical Borrowings

In his highly influential book *All Made of Tunes: Charles Ives and the Uses of Musical Borrowing*, J. Peter Burkholder exhaustively described Ives's uses of preexisting music in his compositions.² Burkholder accomplished two important undertakings in *All Made of Tunes*; first, he identified and catalogued previously unknown borrowings in Ives's works. Second, he created a useful taxonomy that classified Ives's borrowings by function and deployment. Burkholder identified and defined fourteen different procedures for Ives's musical borrowings in *All Made of Tunes*. A focus on these procedures comprised the remainder of his book, as Burkholder described and illustrated each with extensive musical examples.

Burkholder's groundwork was—and remains—of great value to the community of Ives scholars. *All Made of Tunes* identified a multitude of new borrowings, and clarified which were employed and how throughout Ives's output. Never before had so many procedures for these borrowings been identified, and newly applied terminology for Ives's borrowings procedures—such as cumulative setting, patchwork, paraphrasing, and quodlibet—greatly simplified discussion of Ives's “quotations,” which had been riddled

¹ Charles Ives, *Essays Before a Sonata, The Majority, and Other Writings* (New York: W. W. Norton & Company, 1999), 23.

² J. Peter Burkholder, *All Made of Tunes: Charles Ives and the Uses of Musical Borrowing* (New Haven: Yale University Press, 1995).

by a myriad of contrasting and confusing vocabularies that were particular to different scholars. Additionally, after *All Made of Tunes*, interest in Ives's music rose, as the increased number of publications about Ives and his music after 1995 attests.

However, like most influential books, *All Made of Tunes* has raised numerous questions. In the last chapter of his book Burkholder asked some of the most significant questions about Ives's musical borrowings, such as: why does he borrow? Why does he borrow so frequently? What purposes do his borrowings serve? What might his borrowings mean? Is there a purpose to Ives's musical borrowings beyond an extramusical program or the illustration of a literal soundscape? Why does the rate at which Ives borrowed musical material change throughout his career?

These are the types questions that I have been pondering since first reading *All Made of Tunes*. Though Burkholder briefly addressed most of these questions in the book's final pages, they remain for the most part still mostly unanswered by Ives scholars.³ Of these questions, one especially has dominated my thoughts: what might Ives's borrowings mean? Again and again I wonder this and related questions: what might Ives's musical borrowings have meant to Ives? What are the larger historical, cultural, and/or biographical significances of these borrowings? How do present-day

³ Perhaps influenced by his previous studies as a composer, Burkholder addressed questions such as "why did Ives borrow?" primarily from a practical compositional standpoint. For example, Burkholder pointed out that Ives's approach to composition seems "to have been in essence a process of elaboration," and that existing pieces of music were the "most fruitful sources of inspiration" for this process (*All Made of Tunes*, 417). Additionally, "borrowed music provided a way to write music of exceptional individuality that nonetheless had strong ties to tradition," linking Ives with the "mainstream" desires of late Romantic and early modernist composers, who, according to Burkholder, wanted both to be innovative and to maintain a place within a canonical musical tradition (418).

listeners experience Ives's borrowings? How can these borrowings suggest or be used as a fruitful basis of analysis?

Though these questions can never completely be answered, there is still value in an attempt. In this dissertation, I begin to examine meanings in Ives's musical borrowings through the perspectives of one compositional device: treatment of dissonance.⁴ During the research stage of this dissertation I became especially interested in passages with borrowings that included dissonant musical structures. I was intrigued by the contrasts found in such passages: frequently I found consonant, tonal musical borrowings juxtaposed with dissonant, post-tonal settings. Sometimes such passages were set with text, including texts that Ives wrote himself; however, the content of these texts did not seem to match the mood evoked by the dissonant music. These contrasts were puzzling; why not set tonal borrowings in a tonal soundscape? Why not set texts about positive emotions or the beauty of the natural world with consonance? Why did Ives choose to employ these juxtapositions of elements repeatedly? And, again, most significantly: what might these dissonantly set borrowings mean?

1.1 Terminology

A listener's experience of a work depends on their knowledge of a body of particular compositions, their level of expertise as a listener, and the connections they make between aspects of a work and people, places, things, concepts, qualities, and/or feelings. In this dissertation I work with ideas of association, contextualization,

⁴ What "dissonance" means in the music of Ives (within the context of this dissertation) is explored in Chapter 3. For the most part, I limit my focus to musical structures that are "dissonant" relative to the conventions of "consonance" within tonal music.

compositional procedure, musical feature, treatment of dissonance, and claims of representation to help explain listeners' experiences of Ives's works. In this section I clarify the meaning of these ideas, and in sections 1.2 and 1.3 I illustrate them through examples of Ives's writings and his music.

Association

Ives often related a compositional procedure and/or musical feature with more than one person, place, thing, concept, quality and/or feeling, and careful study of his writings usually reveals a web of different associations. In this study, the term “association” refers to these connections. A present-day listener may also have personal associations, though in this study I usually focus on those that Ives specifically made in his written descriptions. An analyst can find Ives's associations in his writings—both in published writings, such as the *Essays Before a Sonata* and the *Memos*, and in unpublished writings such as manuscript marginalia.⁵

The language that Ives utilized in his writings was idiosyncratic; such language is sometimes difficult to evaluate and therefore may be subject to a variety of interpretations. An analyst working with the associations Ives articulated in his writings will need to paraphrase, explain, and translate Ives's ideas; such an analyst may also consider drawing on additional historical and biographical contextualization in their commentaries.

⁵ Most of Ives's references to dissonance in his writings can be found in abbreviated incipits in Appendix 1.

Contextualization

In this study the term “contextualization” refers to an analyst’s situating the likely historical and biographical sources for Ives’s associations within a larger cultural context. An analyst may contextualize Ives’s associations with primary and/or secondary sources outside of Ives’s writings, and/or they may contextualize with additional writings by Ives. Though both association and contextualization involve the selection and interpretation of sources by an analyst who chooses to highlight one or more aspects of those sources to support a hypothesis or argument, these terms serve different purposes in this study. Association describes the connections Ives made in his writings to related ideas, while contextualization denotes information gathered by present-day analysts to frame these associations (even when these contextualizations include other associations).

Compositional Procedure

“Compositional procedure” refers to the description of a musical structure in a composition. Compositional procedures may or may not be process-oriented. An analyst may choose to describe compositional procedures independently, without referencing associations or contextualization; however, they may also choose to interpret compositional procedures as reflecting or emerging from associations or contextualization, as I do in this study.

Musical Feature

The broad term “musical feature” describes an aspect of a work that is more general than a compositional procedure. Some examples of musical features include key,

dynamics, tempo, and timbre, all of which are the outgrowth of particular compositional procedures.

Treatment of Dissonance

In this study, the term “treatment of dissonance” describes Ives’s compositional procedures that incorporate dissonance. What the term “dissonance” might mean in the music of Ives is explored in Chapter 3; additionally, in Chapter 3 “dissonance” is contextualized with the ideas and writings of other modernist composers. Like his compositional procedures, Ives’s treatment of dissonance may be interpreted as reflecting and/or emerging from his associations and/or aspects of contextualization, a process for which I argue in this study; however, it is also possible to describe his treatment of dissonance independently. An analyst can discuss treatment of dissonance within different contexts, either explicit (in Ives’s music) or abstract (in Ives’s writings). An example of an explicit discussion would utilize a work’s notes, rhythms, and secondary musical parameters as evidence for a hypothesis or argument. An example of an abstract discussion would cite Ives’s writings without directly referring to a composition’s score.

Representative Claim

A representative claim occurs when an analyst interprets certain compositional procedures (including treatment of dissonance), musical features, and/or a passage from a composition as standing in for people, places, things, concepts, qualities, and/or feelings. An analyst may construe associations, contextualizations, treatment, affects, and effects in support of a representative claim. Claims of representations are interpretive—they form when an analyst makes a deliberate reading of a compositional procedure, musical

feature, and/or passage. For the purpose of this study, analytical interpretations will be regarded as representative claims; such a claim made by Ives in his writings will be referred to as an association in this study.

1.2 Case Study: Ives's Associations in *Thanksgiving*

An excerpt from Ives's writings and a passage of his music will illustrate some differences between association, contextualization, compositional procedures, musical features, treatment of dissonance, and claims of representation. Ives wrote the following passage in his *Memos* about the *Thanksgiving and Forefathers' Day* movement of the *Holiday's Symphony* (hereafter referred to as *Thanksgiving*):⁶

The Thanksgiving movement in this set is, in a way, an exception, because, when it was first written ... [it] was quite experimental harmonically and, to a certain extent, rhythmically (Dr. Griggs said the chord, C major and D minor over it, gave something of the Forefathers' strength [that] a triad would not do), but heard today with the other movements in this set, it would seem quite conservative. But in considering the case of the Thanksgiving music as it is, a kind of paradox seems to appear. Dissonances, or what seemed to be dissonances at the time, had a good excuse for being, and in the final analysis a religious excuse, because in the stern outward life of the old settlers, pioneers and Puritans, there was a life generally of inward beauty, but with a rather harsh exterior. And the Puritan 'no-compromise' with mellow colors and bodily ease gives a natural reason for trying tonal and uneven off-counterpoints and combinations which would be the sound of sterner things—which single minor or major triads or German-made counterpoint did not (it seemed to me) come up to. This music must, before all else, be something in art removed from physical comfort.

Table 1.1 organizes Ives's associations in this passage between the compositional procedures found in *Thanksgiving* and people, things, concepts, qualities, and/or feelings.

⁶ Charles Ives, *Memos*, ed. John Kirkpatrick (New York: W. W. Norton & Company, Inc., 1972), 130.

Compositional Procedure and/or Musical Feature	Association(s)
“Experimental harmonically and ... rhythmically”	
“The chord, C major and D minor over it ... a triad would not do”	Concept, quality: Forefathers’ strength
“Dissonance”	Concept: Religion (“religious excuse”) Qualities: Stern, old, inward beauty, harsh exterior People: Settlers, pioneers, Puritans
“Tonal and uneven off-counterpoints and combinations”	Things, qualities: Sterner things
“Single minor or major triads or German-made counterpoint”	Things, qualities: Not stern things
“This music”	Concept, quality, feeling: Removed from physical comfort

Table 1.1: Associations that Ives made with particular compositional procedures and/or musical features in a passage in his *Memos* that described the *Thanksgiving* movement of the *Holiday’s Symphony*.

In this passage Ives characterized the identity of a particular group of people—American forefathers (also called “settlers,” “pioneers,” and “Puritans”)—within the context of some of *Thanksgiving*’s compositional procedures. For Ives, certain “experimental” procedures of *Thanksgiving*, including harmonic and rhythmic experimentalism, superimposed harmonic constructions (e.g., a chord comprised of both a C major and D minor triad), dissonance, and “tonal and uneven off-counterpoints and combinations” are associated with this group of people. The reader should note that Ives associated positive aspects of the forefathers’ identity including their “strength,” “inward beauty,” and “no-compromise attitude” with these compositional procedures. In other words, the “experimental” compositional procedures described in this passage were not associated with detrimental characteristics of American pioneers, but instead with their constructive attributes. Additionally, this passage exemplifies some of the idiosyncratic language that Ives often utilized in his writings, demonstrating the need for scholarly interpretation and

explanation. For example, what Ives meant by harmonic and rhythmic experimentalism, dissonance, and “tonal and uneven off-counterpoints and combinations” is not immediately clear.

An analyst could choose to contextualize Ives’s associations with other passages in his writings. In a different passage of the *Memos*, Ives described the opening of the *Postlude for a Thanksgiving Service* written for organ, from which the first section of *Thanksgiving* was partly derived.⁷ Example 1.1 depicts a transcription of the first five measures of the unpublished *Postlude*.⁸

⁷ According to Ives, the *Postlude* was composed in 1897. Ives wrote a *Memo* on the sketch of the *Postlude* that states: “Postlude for Thanksgiving Service Center Church Nov 24: 1897.” However, Sinclair notes (following Kirkpatrick) that November 24 of that year was a Wednesday, throwing Ives’s dating of the work into question. See Sinclair, *A Descriptive Catalogue of the Music of Charles Ives* (New Haven: Irving S. Gilmore Music Library of Yale University, 2012), 285. Additionally, Burkholder notes (following Sherwood 1994) that the paper on which the *Postlude* is composed was only available from 1899. Burkholder suggests that the surviving manuscript of the *Postlude* may be a revision of the version that Ives played in the 1897 Thanksgiving Service. See *All Made of Tunes*, 456n50. The only surviving sketch of the first page of the *Postlude* (f5081 in MSS 14, The Charles Ives Papers in the Irving S. Gilmore Music Library of Yale University) can be seen in the 1991 Peer edition of *Thanksgiving*. See Charles Ives, ed. Jonathan Elkus *Thanksgiving and Forefathers’ Day* (New York: Peer International Corporation, 1991), v.

⁸ Sinclair created this transcription, which can be found in his *Descriptive Catalogue*, 285.



Example 1.1: Transcription of the first five measures of the unpublished *Postlude for Thanksgiving Service*. Reproduced with permission from Yale University Press.

A comparison with Example 1.2, which shows a full score of mm. 1–5 of *Thanksgiving*, reveals the similarities between the *Postlude* and *Thanksgiving*. The main difference between the two works lies in the addition of a measure in *Thanksgiving*; m. 3 of the *Postlude* is expanded by a measure in *Thanksgiving*, so that the musical material heard in m. 4 of the *Postlude* is heard in m. 5 of *Thanksgiving*. In his *Memos*, Ives made several different associations with the *Postlude*:⁹

The *Postlude* started with a C minor [major] chord with a D minor chord over it together, and later major and minor chords together, a tone apart. This was to represent the sternness and strength and austerity of the Puritan character, and it seemed to me that any of the major, minor, or diminished chords used alone gave too much a feeling of bodily ease, which the Puritans did not give into. There is also in this some free counterpoint in different keys, and two rhythms going together. There is a scythe or reaping Harvest Theme, which is a kind of off-beat, off-key counterpoint.

⁹ Ives, *Memos*, 39. Though Ives described the *Postlude* as beginning with a C minor chord in this passage, his actual sketch (the beginning of which is reproduced and transcribed in Example 1.1) contains a C major harmony. It is possible that Ives misremembered the opening of the *Postlude* in his *Memos*, which were written between 1931 and 34—over thirty years after its composition.

The opening of *Thanksgiving* starts in a similar manner to the *Postlude* (“a C minor [major] chord with a D minor chord over it”), as will be seen shortly, though the quality of the initial C triad in *Thanksgiving* is major. Table 1.2 organizes Ives’s associations found in the above passage.

Compositional Procedure and/or Musical Feature	Association(s)
“C minor [major] chord with a D minor chord over it” and other “major and minor chords together, a tone apart”	Qualities: Sternness, strength, austerity, character People: Puritans
“Major, minor, or diminished chords used alone”	Concept, quality, feeling: feeling of bodily ease
“Free counterpoint in different keys”	
“Two rhythms going together”	
“Off-beat, off-key counterpoint”	Thing, concept: scythe or reaping Harvest theme

Table 1.2: Associations that Ives made with particular compositional procedures and/or musical features in a passage that described the *Postlude for a Thanksgiving Service*, from which *Thanksgiving* was derived.

Table 1.2 illustrates four important points. First, this table demonstrates that even the addition of a singular contextualization (in this case another excerpt of Ives’s writings) can greatly complicate and/or add to our understanding of Ives’s associations.

Second, Table 1.2 shows that some of Ives’s associations in the second excerpt quoted here are similar to those in the first excerpt, as seen in in Table 1.1. Both excerpts include mention of the Puritans, sternness, and the concept of eschewing physical comfort (i.e., “bodily ease”). This suggests a potential consistency to Ives’s associations; though the passages quoted above appear apart in the published *Memos*, they both describe a similar web of associations that Ives apparently was thinking about. However, there are new associations in the second excerpt as well—such as that of a “scythe or

reaping Harvest theme” in conjunction with “off-beat, off-key counterpoint”—further complicating how the term “counterpoint” in both excerpts might be interpreted.

Third, Table 1.2 adds to our knowledge of how Ives constructed Puritan (and pioneer, forefather) identity, both in his writings and potentially in sound. As noted previously, Ives identified many constructive Puritan traits in these excerpts, including their austerity, character, strength, religious nature, sternness, inward beauty, and harsh exteriors. From these passages we may surmise that Ives thought of the Puritan pioneers as strong, rugged individuals, who were capable of bearing great trials. In both passages Ives associated these constructive character traits with dissonant musical structures, and he also noted that major, minor, or diminished chords—triadic and relatively more consonant musical structures—were not capable of properly expressing these traits or trials, since they gave a feeling of “bodily ease.” An analyst can now begin to make potential assumptions about how these traits might have been depicted in some of Ives’s music, according to his descriptions. Put simply, some dissonant passages of music—opposed by Ives with tertian triadic harmonies in his writings—might have been representative of the “forefathers” positive character traits. An analyst could even go one step further, presuming that some of Ives’s music constructed from tertian triadic harmonies may have been representative of non-constructive character attributes.

Fourth, Table 1.2 along with Table 1.1 demonstrate Ives’s tendency to discuss compositional procedures (including treatment of dissonance) in an abstract manner—i.e., they are described only in writing and not with musical examples. These excerpts of text reveal the difficulty of interpreting the compositional procedures that Ives described in his writings. Such compositional procedures discussed in this passage include

harmonic and rhythmic experimentalism, dissonance, “tonal and uneven off-counterpoints and combinations,” single minor, major, or diminished triads, “German-made counterpoint,” a C minor [major] chord with a D minor chord over it, other major and minor chords a tone apart, “free counterpoint in different keys,” “two rhythms going together,” and “off-beat, off-key counterpoint.” Some of these procedures are potentially easier to interpret than others; for example, it is likely that Ives was describing a major, minor, or diminished triad as a present-day analyst would think of these musical structures. However, others including Ives’s descriptions of “dissonance,” harmonic and rhythmic experimentalism, “tonal and uneven off-counterpoints and combinations,” and “off-beat, off-key counterpoint” require interpretation using examples of passages from *Thanksgiving* or other compositions by Ives.

1.3 Case Study: Treatment of Dissonance in *Thanksgiving*

An analyst could interpret Ives’s written description of a compositional procedure such as that of “uneven off-counterpoints” (or “off-beat, off-key counterpoint”) by pairing his descriptions with his compositional practices in a movement such as *Thanksgiving*, which was likely written c. 1914–19.¹⁰ Example 1.2 contains measures 1–5 of *Thanksgiving*.¹¹

¹⁰ As is true of many of Ives’s works, the date of composition of *Thanksgiving* is not completely clear. According to Ives (in his *Memos* 149 and 160), *Thanksgiving* was written c. 1904. As previously mentioned, *Thanksgiving* is based upon an organ *Postlude* that was likely composed earlier than 1904, but the first sketches for *Thanksgiving* date between c. 1907 and 1914 and later sketches between c. 1913 and 1916, while the score-sketches date to c. 1914 and 1919 (see *All Made of Tunes*, 456n50). Also see Sinclair, *A Descriptive Catalogue*, 54 for more information.

¹¹ From Charles Ives, *Thanksgiving and Forefathers’ Day* ed. Jonathan Elkus (New York: Peer International Corporation, 1991). Reprinted by Permission. © Copyright. International Copyright Secured.

Adagio maestoso, ♩ = about 50-60

Flutes 1, 2
Oboes 1, 2
B♭ Clarinets 1, 2
Bassoons 1, 2
F Horns 1, 2, 3, 4
B♭ Trumpets 1, 2, 3, 4
Trombones 1, 2, 3
Tuba
Violins 1, 2
Violas
Violoncellos
Contrabasses

Adagio maestoso, ♩ = about 50-60

Example 1.2: The first five measures of *Thanksgiving*.

This excerpt could exemplify “off-” counterpoints in several different ways. Ives took a course in “counterpoint” with Horatio Parker as an undergraduate at Yale, a course that almost certainly would have included the study of eighteenth-century tonal species counterpoint.¹² Ives juxtaposed two different types of counterpoint in his descriptions of

¹² See Appendix 6 (pp. 180–84) of Ives, *Memos*.

Thanksgiving in the *Memos*: “tonal and uneven off-counterpoints.” In the context of this description, it seems likely that “uneven off-” counterpoint means a counterpoint slightly “off”—i.e., altered, different, or displaced—from an eighteenth-century tonal species counterpoint. One way that I read “uneven off-” in this sentence is as standing in for “altered-tonal” or “non-tonal,” and I interpret “off-counterpoint” (being “non-tonal” or “altered-tonal”) as likely sounding dissonant in comparison to traditional tonal eighteenth-century counterpoint. This interpretation is supported by Ives’s contrast between “off-counterpoint” and “German-made counterpoint,” which likely was referring to procedures of eighteenth-century tonal counterpoint as taught by Horatio Parker and other German-trained professors and teachers of music. Additionally, I also read “uneven off-counterpoints” as a counterpoint that is temporally “uneven” or “off”—i.e., counterpoint that is displaced temporally in some way from what might be expected. The association of “off-beat...counterpoint” in the second passage above supports this interpretation. One might choose to interpret “uneven off-counterpoint” in both ways in *Thanksgiving*, as I do shortly.

Example 1.3 depicts an outer voice reduction of the first four measures of *Thanksgiving*, which highlights potential “off-counterpoint” in this passage.¹³

¹³ The following discussion prioritizes an outer voice reduction of mm. 1–4. The addition of the inner voices thickens the texture of this passage and would further complicate this analysis.



Example 1.3: Outer voice reduction of mm. 1–4 of *Thanksgiving*.

This passage, which could be thought of as an example of counterpoint in the traditional sense, is strikingly dissonant when compared with procedures of eighteenth-century tonal counterpoint. One way to demonstrate this dissonance is by an intervallic tally of successive vertical sonorities between the bass and upper line.¹⁴

M2 M2 | P5 P4 P5 A6 M7 | M6 M7 | M7 M2

From a purely intervallic stance (not considering the excerpt’s potential key or lack of key), very few of the intervals in this passage would be permissible in a second species exercise, which this reduction most closely resembles. Exceptions include the major sixth in the third measure and potentially the perfect fifths in the second measure, but even the latter are jarring to due the F♯. By this comparison with permissible intervals in a second species exercise, one might interpret an “uneven off-counterpoint” in this passage—i.e., a “non-tonal” intervallic progression in the context of second species eighteenth-century counterpoint.

¹⁴ For ease of legibility, all harmonic sonorities are written as simple—not compound—intervals. Additionally, intervallic distance is measured by size and quality (in the manner of traditional tonal contrapuntal pedagogy), instead of by number of semitones. This choice of intervallic measurement serves to link this intervallic framework with a functionally tonal harmonic progression.

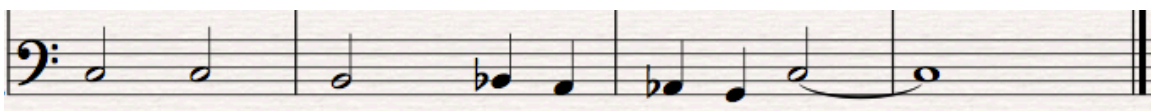
A second method of demonstrating the degree of dissonance in this passage would be to analyze it within the context of one or more keys and compare the passage's actual outer voice reduction with tonal contrapuntal models that can be derived in several steps from the actual musical surface of the passage. A listener might initially hear a conflict between a potential D tonality and a C tonality in this passage (the conflict which Ives also described in his associations): the C tonality in the violas, cellos, basses, and brass (with the exception of the first horn doubling of the violins in m. 2), seen in the lower staff in Example 1.3, and the D tonality in the violins and woodwinds, seen in the upper staff in Example 1.3. I will demonstrate two ways to hear this passage: first by hearing the bottom line as “consonant” and comparing the top line with a contrapuntal model in C, and second by hearing the top line as “consonant” and comparing the bottom line with a D tonality model.

The lower staff of the outer voice reduction from Example 1.3 strongly resembles a chromatic descending tetrachord from Do to Sol in C major/minor, as seen isolated in Example 1.4a.



Example 1.4a: Lower staff of Example 1.3.

In Example 1.4.b I have added “sol”—a G₂—in the third measure to complete the implied descending chromatic tetrachord.



Example 1.4b: “Sol” has been added into Example 1.4a.

This bass line is very common in tonal music and it often implies the following tonal chord progression:

$$I \mid V^6 \quad V_2^4/IV \quad IV^6 \mid iv^6 \text{ (or +6 chord)} \quad V^{(7)} \mid I$$

An analyst can now demonstrate a way to hear the top line of counterpoint as dissonant in comparison to the bottom line of counterpoint when the outer voice reduction is thought of in a C tonality with the bass line found in Example 1.4b and the implied harmonic progression discussed above.

A musical score for the song 'The Rose Tree'. It features a treble and bass staff. The treble staff has a key signature of one sharp (F#) and a common time signature (C). The melody is written in a simple, folk-like style. The bass staff provides a harmonic accompaniment. The score is divided into four measures by vertical bar lines. The first measure starts with a treble clef and a common time signature. The second measure has a key signature change to one sharp. The third and fourth measures continue the melody and accompaniment. The score ends with a double bar line.

C: I V_5^6 $V_2^{4/IV}$ IV^6 iv^6 V^7 I

Example 1.5: The bass line of Example 1.4b is combined with the treble line of Example 1.3 and with an implied Roman numeral analysis.

Since the notes in the top line in Example 1.5 do not fit within the implied harmonies—i.e., they are “off” from them—one could adjust some of these notes to fit the implied harmonic progression of the C tonality bass line.

First, the upper line is rendered in the key of C major (via the removal of accidentals) and its registers are normalized.



Example 1.6: The upper line of Example 1.5 is rendered in the key of C major (i.e., its accidentals are removed) with its registers normalized.

In Example 1.7 below, the D5 in m. 1 has been lowered a whole step to a C5 so that it fits within a tonic harmony. Additionally, the G5 on the fourth beat of m. 2 has been lowered a whole step to F5—and its rhythm has been altered—so that this beat fits within a subdominant harmony.



C: I V₅⁶ V₂⁴/IV IV⁶ iv⁶ V⁷ I

Example 1.7: Notes in mm. 1–2 of Example 1.6 lowered by a whole step to fit the underlying implied tonal harmonic progression.

In Example 1.8, the D5s and C5s in mm. 3–4 are lowered by a whole and half step respectively to fit the implied harmonies. Additionally, the B4 in mm. 3–4 are raised by a half step to fit the implied tonic harmony.



C: I V_5^6 V_2^4/IV IV^6 iv^6 V^7 I

Example 1.8: Notes in mm. 3–4 of Example 1.7 lowered by a whole or half step or raised by a half step to fit the underlying implied tonal harmonic progression.

In Example 1.9 I have added some additional voices to complete the implied tonal harmonic progression.



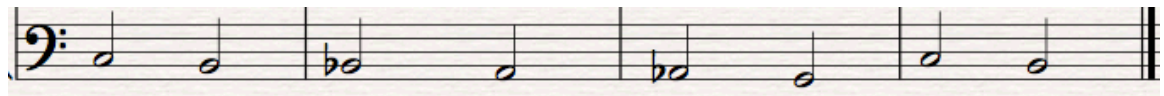
C: I V_5^6 V_2^4/IV IV^6 iv^6 V^7 I

Example 1.9: Additional voices added to those in Example 1.8 to complete the implied tonal harmonic progression.

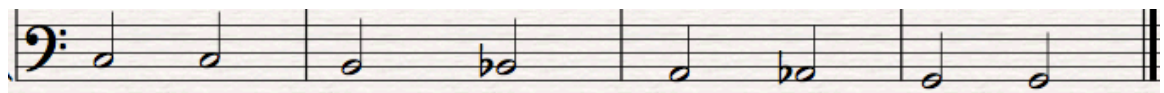
Examples 1.4–1.9 show one way that an analyst can demonstrate a method for hearing the top line of counterpoint in Example 1.3 as dissonant or “off” in comparison to the bottom line of counterpoint (thought of here as the “consonant” line) when the outer voice reduction is thought of in a C tonality. After the top line of counterpoint in Example 1.3 was made diatonic in C major, notes outside of a C tonality were transposed by a whole or half step so that they fit within the implied tonal harmonic progression. An

analyst can thus judge the top line of Example 1.3 as one example of “uneven off-counterpoint;” the top line is often one note “off” (i.e., a half or whole step above or below) the implied tonal harmonic progression of the bass line’s C tonality.

The tonal contrapuntal model in Example 1.9 also illustrates a temporal way that this passage may be interpreted as an example of “uneven off-counterpoint”—the harmonic rhythm of Example 1.9 is unexpected and jarring. The first phrase of *Thanksgiving* is 3.5 measures; the woodwinds begin a new phrase with their entrance on beat 3 of m. 4, at which point the work’s initial bass line begins to repeat (see Example 1.2). The phrase length of 3.5 measures is unexpected; one might expect the model to be three measures in length, as seen in Example 1.10a, or four measures in length, as seen in Example 1.10b.



Example 1.10a: The rhythm of the bass line in Examples 1.4–1.9 altered so that the phrase repeats at the beginning of the fourth measure.

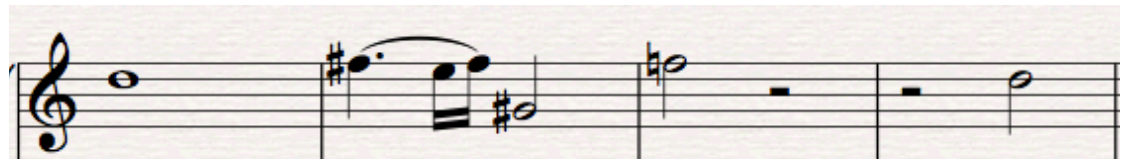


Example 1.10b: The rhythm of the bass line in Examples 1.4–1.9 altered so that the phrase repeats at the beginning of the fifth measure.

Hence “uneven off-counterpoint” might be interpreted as the unexpected harmonic rhythm of the opening four measures of *Thanksgiving*. Ives’s sketch of the *Postlude* (which can be seen in Example 1.1), the precursor of *Thanksgiving*, demonstrates that in its earlier version, the opening 3.5 measures were three measures in length. This sketch helps to account for why the 3.5 measure phrase sounds jarring—it was originally a half-measure shorter.

The first staff of music is written on a treble clef. It begins with a whole note G4. The second measure contains a half note A#4 and a half note B4 beamed together. The third measure contains a half note A#4 and a half note G#4 beamed together. The fourth measure contains a whole note F#4. The fifth measure contains a whole rest. The sixth measure contains a whole rest. The seventh measure contains a whole note E4.

A listener could hear this melody as implying an underlying tonal harmonic progression, as can be seen in the following example.



Example 1.11b: Example 1.11a with one possible implied tonal harmonic progression.

Though initially this progression might seem quite unusual, the \flat III harmony in m. 3 can be understood as a deceptive resolution from the previous V^7/V harmony. A dominant harmony heard during the upper line's rest in m. 3 could complete the uncommon yet tonally permissible progression.

22

seen here; the actual bass line of the excerpt is “off” when the passage is thought of in a D tonality.

1.4 The Significance of Associations and Treatment of Dissonance

What is the significance of hearing the opening of *Thanksgiving* in the different ways outlined above? In this section I will discuss several ways in which different hearings of the same passage like those above may be productive for present-day listeners—for understanding a work’s short-term structure, for understanding a work’s long-term structure, to increase one’s enjoyment of a work, to guide a performance, and—the most productive in my opinion—for forming nuanced interpretations of meaning. These productive results foreshadow those discussed in the analytical chapters of this dissertation.

First, it is productive to hear the harmonies in mm. 1–4 of *Thanksgiving* as potential derivations from different tonal contexts because it helps one to understand how a short passage or excerpt of a difficult work might be structured, construed, and/or constructed. Though many scholars cite Ives’s associations with the movement—including his description of the simultaneous C and D triads at its onset—none yet have demonstrated how present-day listeners might attempt to hear this conflict in the opening of *Thanksgiving*.¹⁵ I have shown several different ways to hear the beginning of this movement, both in a D tonality and a C tonality, and I demonstrated how the outer voices at the beginning of the movement might be understood as dissonant (with each other) or

¹⁵ A few examples of scholars who cite Ives’s associations about *Thanksgiving* from his *Memos* include Jan Swafford, *Charles Ives: A Life with Music* (New York: W.W. Norton & Company, 1996), Frank R. Rossiter, *Charles Ives and His America* (New York: Liveright, 1975), and Henry Cowell and Sidney Cowell, *Charles Ives and His Music* (New York: Oxford University Press, 1955).

consonant (against a particular harmonic background) when heard simultaneously, depending on one's tonal orientation.

Hearing this conflict between D and C tonalities might also help one understand the long-term structure of a work. The dichotomy between D and C as key areas manifests throughout *Thanksgiving*, and this dichotomy is not resolved in the movement's final chord, which can be interpreted as D major and C major triads heard simultaneously. This conflict might elicit a strong impulse in an analyst to hear this movement narratively: to hear manifestations of these key areas as a conflict that won't—or can't—be resolved.

Understanding the opening of *Thanksgiving* as a conflict between different key areas and having a means by which to hear individual lines of counterpoint as consonant or dissonant (depending on one's tonal orientation) may also increase a listener's enjoyment of a difficult movement like *Thanksgiving*. Certainly this is true of some of my undergraduate music students, for several of whom I played this passage and asked them to write down descriptions of the music that came to mind. Responses ranged from “cacophonous” to “havoc!” and a number of these same students initially stated that they did not like listening to the passage. However, after thinking about how they might hear the passage in terms of C and D tonalities, these students reported an increased enjoyment of the excerpt, and one student was moved to listen to the entirety of the movement on their own. Analysis is a valuable mode of aesthetic engagement, since it often increases satisfaction and enjoyment in a listener.

Understanding the opening passage of *Thanksgiving* as a conflict between a C and D tonality might also help to guide a performance of this movement. If the conflict

between these tonalities frames the entire movement as I have suggested, then a conductor might choose to emphasize it at the movement's onset. One way to do this would be to instruct the D tonality and C tonality instruments to play at roughly the same dynamic levels, requiring a precise balance of different timbres. An example of a recording that is well balanced and therefore more successful in this regard is by the Dallas Symphony Orchestra,¹⁶ while a recording that is less successful in this regard is by the San Francisco Symphony.¹⁷ In the latter recording the horns overpower the rest of the orchestra, rendering the C tonality more prominent at the work's beginning.

Finally, hearing a conflict between tonalities in the opening passage of *Thanksgiving* provides an opportunity for forming nuanced interpretations of meaning within this movement. I will put forth two brief interpretations for *Thanksgiving*, each of which pertains to an analyst interested in different aspects of listening and contextualization. First I will discuss an interpretation of potential meaning for a present-day listener/scholar most interested in contemporary theories and not as interested in historical or biographical contextualization; and second, I will discuss an interpretation of potential meaning for a present-day listener/scholar predominantly interested in Ives's associations and their contextualization.

A present-day listener/scholar interested in contemporary theories of music and meaning could interpret this passage within a present-day theory of musical narrative

¹⁶ Dallas Symphony Orchestra, *Ives, Copland, Rachmaninoff*, released on November 9, 1992, Vox 2008, compact disc.

¹⁷ San Francisco Symphony, *Keeping Score: Revealing Classical Music. Ives: Holiday's Symphony and Copland: Appalachian Spring*, released on January 12, 2010, published by the San Francisco Symphony, compact disc.

such as that proposed by Byron Almén.¹⁸ I have already briefly suggested that the conflict between the movement's C and D tonalities could be interpreted from a narrative perspective. Using Almén's terminology outlined in *A Theory of Musical Narrative*, a present-day listener might choose to hear the juxtaposed C and D tonalities at the movement's opening as an "order-imposing hierarchy," though this particular hierarchy is one that upholds conflict. Throughout the movement, different musical episodes could be heard as transgressors that fight to overthrow the original hierarchy, but the initial conflict between key areas refuses to—or perhaps cannot—resolve. At the movement's end the hierarchy of conflict triumphs over its transgressor, and the work ends with a juxtaposition of C and D tonalities similar to its opening. Thus, a present-day listener might choose to hear this movement as a token of Almén's Romantic narrative archetype,¹⁹ and could utilize additional metaphors to enhance their reading.

A present-day listener predominantly interested in Ives's associations and historical and biographical contextualization might hear this passage as audibly representative of one or more people, places, things, concepts, qualities, and/or feelings that Ives described in his writings. In his *Memos* Ives described a musical identity for early American settlers—the "Puritans," "pioneers," and "forefathers"—that was musically complicated by dissonance and superimposed harmonic structures. According to Ives, dissonances in *Thanksgiving* "had a good excuse for being...a religious excuse, because in the stern outward life of the old settlers, pioneers and Puritans, there was a life

¹⁸ See Byron Almén, *A Theory of Musical Narrative* (Bloomington: Indiana University Press, 2008).

¹⁹ In Almén's Romantic narrative archetype the hierarchically dominant material usually represents an "idealized character" (*A Theory of Musical Narrative*, 117). For this reason, Almén might not accept *Thanksgiving* as a token of this narrative archetype, since a hierarchy upholding conflict might not exemplify this idealization.

generally of inward beauty, but with a rather harsh exterior.”²⁰ To Ives, early American settlers were conflicted: their interiors were beautiful, but their exteriors were not. Additionally, they valued a “no-compromise” attitude, and the “tonal and uneven off-counterpoints” of *Thanksgiving* reflected these “stern” values because a “single minor or major triad or German-made counterpoint” was incapable of such expression in this context.

Hence the opening of *Thanksgiving* could be heard as representative of this Ivesian construction of early American identity, as Ives invites us to do in his writings. Such a hearing might contrast with the invitations of other present-day scholars, who discuss the dissolving of tonality in early modernism in a negative manner, though not necessarily in relation to the music of Ives.²¹ Such scholars hypothesize that the dissolving of tonality in the late nineteenth-and early twentieth-centuries could be heard as a disturbing phenomenon.

Though I would not argue that *Thanksgiving* is tonal, passages—such as the opening four measures—could be heard as derived from either a C or D tonality depending on one’s tonal orientation. One could hear this passage as a “traumatic” dissolving of tonality. However, Ives’s associations with the movement as outlined in Section 1.2 are overwhelmingly constructive. In other words, one could argue that Ives’s

²⁰ Ives, *Memos*, 130.

²¹ For example, in *Conventional Wisdom*, Susan McClary interprets tonality as a cultural byproduct of the eighteenth-century: “But as cultural priorities came to focus almost obsessively on progress, rationality, intelligibility, quests after goals, and the illusion of self-contained autonomy, eighteenth-century musicians came to concentrate on this single basic procedure [that of tonality]” (68). Shortly thereafter McClary discusses the advent of twentieth-century music, stating that “if faith in tonality had not been so palpable, the responses to its various subsequent unmaskings would not have been so traumatic” (108). See McClary, *Conventional Wisdom* (Oakland: University of California Press, 2001).

descriptions of dissonance in his writings invite present-day listeners to hear the opening of *Thanksgiving* as a positive construction of early American identity.

A present-day analyst might also argue for additional claims of representations, even personal representations that they themselves hear. For example, I hear the dissonant, harmonically superimposed opening of *Thanksgiving* as potentially representative of democratic ideals. In a democratic government, all people are ideally involved in making decisions about its affairs, usually through voting (either for representatives or within the context of a direct democracy). One could choose to hear the C and D tonalities juxtaposed at the start of this movement not as jarring, but instead as representative of such a type of governing—multiple tonalities might indicate the opinions of multiple groups of people trying to coexist. After all, the earliest European American settlers—those described in Ives’s written associations of *Thanksgiving*—were the founders of one of the first democratic nations.

Additionally, there is evidence that Ives may have heard *Thanksgiving* as potentially representative of democratic ideals as well. Sometime between 1935 and 1942 Ives constructed a list of his musical compositions titled: “List: Music and Democracy!”²² On this list *Thanksgiving* appears as “Thanksgiving | Forefathers Day-towards Freedom! | Hope, Faith & Freedom.” I conclude with conductor and Ives scholar James Sinclair that it is difficult not to interpret this document as a “list of Ives’s musical works that relate, however obliquely, to the general subject of democracy in America.”²³ Thus it is likely

²² Sinclair, *Descriptive Catalogue*, 671.

²³ *Ibid.*, 672.

that Ives also connected *Thanksgiving* with democracy in some manner, possibly in one of the ways that I have outlined above.²⁴

1.5 Dissertation Synopsis

In the previous pages I have described several different ways in which hearing *Thanksgiving* from different tonal orientations can be productive for present-day listeners. In the chapters that follow, I seek to analyze other works by Ives—those that include musical borrowings—in a similar manner. In Chapter 2 (“Musical Borrowings in Ives’s Reception History and Relevant Literature”), I detail a history of how scholars have discussed musical borrowings in the works of Ives in the past, concluding that Ives’s borrowings have been used as a justification for the successfulness of his works for almost a century. Additionally, I situate my own research, showing how it both extends and diverges from scholarly history, and how it fits within the context of more present-day studies on Ives’s borrowings.

In the first part of Chapter 3 (“A Theory of Treatment of Dissonance in the Music of Charles Ives”), I situate Ives’s writings on dissonance in relation to those of his contemporaries, both in Europe and the United States. In the second half of this chapter, I explain some methodologies for construing dissonant passages of Ives’s music in connection with tonal recompositions. These examples are additionally complicated by the consideration of different approaches to the presence of one or more musical borrowings in analyzed passages and their potentially conflicting tonal orientations.

²⁴ It should be noted that notions of “democracy” are distinctive to different people and their milieus. Though the governing of the United States was similar in the 1930s and 1940s to its governing today, it was nonetheless not governed exactly the same, and Ives may not have been thinking of “democracy” in an identical manner that a present-day American might understand it.

Chapter 4 (“The Interpretive Context of World War I and ‘Democratic’ Dissonances”) describes the historical context surrounding the use of what I have termed Ives’s “Democratic” web of associations. In this chapter, I detail Ives’s written associations between dissonance, strength, and freedom from musical rule-following, and between consonance, weakness, and the rules of outdated musical practices. I also show that Ives sometimes extended these associations to particular means of political governing, the leaders and nations that exemplified these political systems, and certain political acts. I demonstrate that these associations are consistently valenced as constructive or non-constructive, and that Ives often portrayed dissonance as liberating and honorable, often in these instances contrasting it with a consonance that he characterized as oppressive and trustworthy. Finally, I situate Ives’s “Democratic” web of associations within a larger biographical and historical context, reexamining Ives’s relationship with his music professor Horatio Parker.

Chapters 5 (“‘Democratic’ Dissonances: ‘Sneak Thief’”), 6 (“‘Democratic’ Dissonances: *From Hanover Square North*”), and 7 (“‘Democratic’ Dissonances: Revisions”) provide some analyses of works containing what I call “Democratic” dissonances—dissonances in some works and revisions that could be heard as “added” to tonal frameworks that incorporate musical borrowings. Chapters 5 and 6 explore a few works written during World War I, such as “Sneak Thief” and the third movement of the *Orchestral Set No. 2*, while Chapter 7 considers a few works revised later such as the *Symphony No. 2* and the song “He is There!”

The Epilogue (“Epilogue: Conclusions”) offers a few brief conclusions to the present work. This chapter outlines the contributions of this dissertation, and summarizes

the listening strategies presented in previous chapters. Additionally, possible expansions for future work are described. This Epilogue is followed by several Appendices. Appendix 1 (“Ives’s Writings on Dissonance and Consonance”) presents a semi-comprehensive list of Ives’s references to dissonance and consonance in his published and unpublished writings. Appendix 2 (“Appendix 2: Musical Manuscripts and Permissions”) contains a list of musical examples and permissions utilized in this dissertation, including a list of folios from MSS 14, The Charles Ives Papers in the Irving S. Gilmore Music Library of Yale University. Appendix 3 (“Appendix 3: ‘List: Music and Democracy!’”) reproduces a transcription of Ives’s ff2793–94 from MSS 14, The Charles Ives Papers in the Irving S. Gilmore Music Library of Yale University. A Glossary is provided after Appendix 3, with definitions of terminology used throughout the dissertation, which is followed by a Bibliography.

Chapter 2

Musical Borrowings in Ives's Reception History and Relevant Literature

Expression, to a great extent, is a matter of terms, and terms are anyone's. The meaning of 'God' may have a billion interpretations if there be that many souls in the world.

—Charles Ives, *Essays Before a Sonata*¹

2.0 Introduction

Musical borrowing—the deliberate incorporation of pre-existing musical material into a composition—is one of the most familiar stylistic features in Charles Ives's music.² Ives borrowed from a wide variety of sources, including hymns, patriotic songs, popular songs and instrumental works, college songs, and classical music.³ He employed these borrowings throughout his entire compositional career, from the 1887 *Holiday Quickstep* for theatre orchestra or band, whose last strain is modeled on the trio of David W. Reeves's *Second Regiment Connecticut National Guard March*, to one of Ives's last works, “Johnny Poe,” for male chorus and orchestra (c. 1925–27), which borrowed from the Princeton song “Old Nassau.”⁴ Borrowings can be found throughout every genre of

¹ Ives, *Essays Before a Sonata*, 8.

² For a general definition of musical borrowing, see *Grove Music Online*, s.v. “Borrowing,” by J. Peter Burkholder, accessed February 11, 2014, <http://www.oxfordmusiconline.com/>. The term “musical borrowing” was not widespread until Burkholder's employment of it in *All Made of Tunes*. Prior to *All Made of Tunes*, scholars usually described musical borrowings as “references,” “derivations,” or “quotations.”

³ A fairly comprehensive list of identified musical borrowings in Ives's music can be found in Clayton W. Henderson, *The Charles Ives Tunebook*, second ed. (Bloomington: Indiana University Press, 2008).

⁴ See J. Peter Burkholder, *All Made of Tunes*, 14–16 (*Holiday Quickstep*) and 365 (“Johnny Poe”) for a list of musical borrowings in these works. For information on their dating, see Sinclair, *A Descriptive Catalogue*, 120–21 (*Holiday Quickstep*), and 351–52 (“Johnny Poe”).

music that Ives composed, including orchestral, band, keyboard, works for solo vocalists or choirs, and chamber works.

Ives's musical borrowings have played an important role in his reception history, but they have also been at the heart of numerous Ivesian controversies, such as the dating of his works, arguments for or against the promotion of his compositions, and discussions about appropriate analytical methods and approaches for his music. Consequently, a thorough assessment of this scholarship is vital for any book-length study of Ives's borrowings, the present dissertation included. Such a review allows for the contextualization and situation of this dissertation with past scholarship, showing how my work is both similar to and different from older studies of Ives's borrowings.

In this chapter, I explore the ways in which musical borrowings have been discussed in the past ninety years of Ives scholarship. Until the 1970s, critics and scholars primarily employed Ives's uses of preexisting musical material to promote Ives's music (discussed in "2.1 The Significance of Musical Borrowings in Ives's Early Reception History"), duplicating many of the same reasons for the promotion of his music for decades.⁵ In the 1970s, scholars continued this promotion; however, they also began to more thoroughly explain Ives's music, by utilizing studies of his musical borrowings to demonstrate that his works were unified or coherent (examined in "2.2 The Significance of Musical Borrowings in Ives's Later Reception History"). This trend towards technical analysis reflected a larger movement towards formalism within music scholarship as a whole. Beginning in the 1990s, studies that emphasized unity, which rarely included

⁵ Scholars also described Ives's use of preexisting musical material for the opposite—to argue against the successfulness of his music, though this was rarer.

critical engagements, tended to contrast with those that focused on interpretation within Ives's music.⁶

After exploring the relationships between my work and the works of earlier scholars that discussed Ives's uses of preexisting music, I turn to engagement with present-day studies of Ives's borrowings (which are examined in "2.3 Recent Studies of Ives's Musical Borrowings"). This dissertation both draws on and breaks from such studies, which include catalogues of identifications of Ives's borrowings, classification systems for them, and studies that speculated on why Ives might have borrowed. A familiarity with primary sources—especially Ives's own writings about his compositions—is imperative, as excerpts from these writings will be discussed numerous times in subsequent chapters. This chapter contains an overview of these sources (described in section "2.4 Primary Sources Studies").

The present work should be considered a music critical or interpretive study, and contextualization with other such studies is vital. Interpretive studies of Ives's music are relatively rare, but those that exist, especially essays by J. Peter Burkholder and Matthew McDonald, have influenced this dissertation's methodologies and analytical goals (explored in "2.5 Interpretive Studies of Ives's Music"). Finally, I situate this dissertation with a study by Timothy Johnson that is relevant to and foreshadows the methodologies presented in Chapter 3 of this dissertation (in section "2.6 A Methodologically Relevant Study").

⁶ Please note that a reader uninterested in the historical significance of musical borrowings in Ives's reception history may choose to skim or to skip sections 2.1 and 2.2 without significantly disrupting the continuity of this chapter.

2.1 The Significance of Musical Borrowings in Ives's Early Reception History

In sections 2.1 and 2.2, I argue that Ives's musical borrowings have been widely employed throughout his reception history as a means of promoting his music.

Additionally, I hope to demonstrate how the present study both diverges and extends from this history. First, I hope to show how this dissertation differs from these historical studies, especially with regards to goals. In general, early Ives scholars remained uninterested in describing a listener's experience of a work, or in forming specific interpretations of Ives's musical borrowings—the two primary goals of this study. Instead, such scholars emphasized promoting Ives's music, perhaps in response to derogatory statements made by early critics. Second, I demonstrate the ways in which this dissertation reflects tendencies and attitudes of early Ives scholars. For example, some early scholars shared my belief that Ives's musical borrowings could be used as the fruitful basis of interpretation for his music, especially with regard to expressive or narrative investigations, though they themselves did not attempt to create such an interpretive study.

One goal of the present study is to provide listening strategies for interpreting Ives's compositions that incorporate borrowings. In doing this, I hope to facilitate increased enjoyment of Ives's music, both by introducing new ways to hear musical borrowings, and by offering fresh explanations for their existence and their dissonant settings. Despite these aims, it is not my intention to demonstrate that musical borrowings make Ives's music more successful than the music of others—i.e., better composed, more valuable, or more worthy of study than music by other twentieth-century modernist composers.

My goals seem to differ from those found within historical Ives scholarship, especially in essays dating from the 1920s through the 1960s.⁷ For the most part, these studies seemed to employ discussions of musical borrowings to promote Ives's music. The goal of the majority of these studies, whether tacit or explicit, was to secure Ives's place in the classical canon.⁸ This goal was probably spurred by early criticisms of Ives's music, which were often quite derogatory, sometimes to the point of tactlessness.⁹ Around 1970, opinions among critics about the promotion of Ives's music shifted positively, but scholarly discourses surrounding his music sometimes maintained an attitude of defensiveness as late as the turn of the twentieth century.¹⁰

⁷ In general, I engage with English sources, which make up the vast majority of scholarship on Ives. American authors wrote most of these sources, though I did also examine a few German and Italian studies.

⁸ Even those who call on Ives's musical borrowings as a means of criticism potentially did so to prevent his canonization. For example, in an early essay, Elliott Carter described Ives's musical borrowings as "naïve," "trivial," and "incapable of 'express[ing] serious thoughts,'" coming to the conclusion that Ives's "canonization is a little premature." See Carter, "The Case of Mr. Ives," *Modern Music* 16 (1938–39), 172–76; reprinted in *Collected Essays and Lectures, 1937–1995*, ed. Jonathan W. Bernard (Rochester, NY: University of Rochester Press, 1997), 89–90. Though more research needs to be undertaken which examines the relationship between Carter and Ives, Andrew Mead briefly explores their interactions by examining Carter's writings. See Mead, "Review: Elliott Carter, *Collected Essays and Lectures*," in *Theory and Practice* 27 (2002): 99–114, especially 106–7.

⁹ Several studies regarding Ives's reception history have noted this. For examples, see Ronald Nick Bukoff, "Charles Ives, a History and Bibliography of Criticism (1920–1939)" (PhD diss., Cornell University, 1998), 6–23, and 38–94, and David C. Paul, *Charles Ives in the Mirror: American Histories of an Iconic Composer* (Chicago: University of Illinois Press, 2013), 7–71.

¹⁰ One example can be found in reactions to Maynard Solomon's relatively recent suggestion that Ives might have purposely altered his compositions years after they were composed in order to appear more modern to present-day musicologists. Solomon's essay was met with many rebuttals defending Ives, including Philip Lambert, "Letter to the Editor," *Journal of the American Musicological Society* 42, no. 1 (Spring 1989): 204–9; Carol K. Baron, "Dating Charles Ives's Music: Facts and Fictions," *Perspectives of New Music* 28, no. 1 (Winter 1990): 442–50; Gayle Sherwood, "Questions and Veracities: Reassessing the Chronology of Ives's Choral Works," *Musical Quarterly* 78, no. 3 (1994):

Before the completion of Clayton Henderson's dissertation in 1969, no book-length study on Ives's musical borrowings had been disseminated.¹¹ Prior to this year, passages in studies that mentioned Ives's musical borrowings were almost always brief—often a sentence or two, and rarely more than a few paragraphs. Such excerpts that featured discussions of Ives's borrowings were typically found in fairly short (four- to fifteen-page) magazine articles or chapters from books that served as an introduction to Ives's life and more famous compositions. Authors of these works, which appeared from the mid-1920s through the late 1960s, generally pointed to one or more of the following five reasons that Ives's uses of musical borrowings enhances his music:

1. The use of musical borrowings is ingenious.¹²
2. Musical borrowings provide a means of conveying expressive content.¹³

429–47; David Nicholls, "Unanswerable Questions/Questionable Answers," *Music and Letters* 75, no. 2 (1994): 246–52; J. Peter Burkholder, "Letter," *Journal of the American Musicological Society* 54, no. 2 (2001): 424–28; and Drew Massey, "The Problem of Ives's Revisions, 1973–1987," *Journal of the American Musicological Society* 60, no. 3 (2007): 599–645. A concise summary of these reactions can be found in Paul, *Charles Ives in the Mirror*, 190–97.

¹¹ See Clayton Henderson, "Quotations as a Style Element in the Music of Charles Ives" (PhD diss., Washington University, 1969). One master's thesis, which some might consider book-length, did pre-date Henderson's work. This thesis was by Kenneth Robert Mays, "The Use of Hymn Tunes in the Works of Charles Ives" (master's thesis, Indiana University, 1961).

¹² One example can be found in Olin Downes, "Music: Pro-Musica Society," in *New York Times*, 30 January 1927, 28; reprinted in *Charles Ives ad His World*, ed. J. Peter Burkholder, (Princeton: Princeton University Press, 1996), 295. Downes wrote that the "kick" in Ives's music, for which musical borrowings are responsible, makes his music "... genuine, if ... not a masterpiece." Another example is found in John Becker's "Charles E. Ives," *Etude* 74 (July–August 1956), who wrote that the "tunes of old hymns ... folk tunes and popular songs ... [are] interwoven, contrasted and used in most ingenious and humorous ways."

¹³ Henry and Sidney Cowell harness this reasoning in their book *Charles Ives and his Music* (147): "Ives, however, uses musical reminiscence as a kind of stream-of-consciousness device that brings up old tunes with the *burden of nostalgic emotion*."

3. Musical borrowings are reflective of Ives's originality or individuality.¹⁴
4. Musical borrowings make Ives's music more American, because he borrows primarily from American "folk" music.¹⁵
5. Musical borrowings connect Ives to the Classical tradition, because previously canonized composers also engaged in the practice of borrowing.¹⁶

These snatches of hymns, minstrel songs, college songs, fiddle tunes, and so on, sewn through the fabric of his music, are never left as quotations only." Emphasis added.

¹⁴ One example of this reasoning is also found in the writings of Henry Cowell, who called Ives's use of quotations a "characteristic of his original approach" in his article "American Composers. IX. Charles Ives," *Modern Music* 10 (1932–33), 27. Another example is found in the writings of Becker, who, after describing Ives's incorporation of a variety of borrowed materials, stated that Ives "dared ... to blaze new trails and to open up new vistas in music that will furnish an inexhaustible supply of resources for the composers of the present." Found in "Charles E. Ives," 46.

¹⁵ For example, in 1948 Nicolas Slonimsky wrote: "Alternating with agonized discords, Ives writes tunes of tender simplicity. Ives's melodies are unmistakably American, church-hymn American, or ballad-like American, or barn-dance American. Perhaps in this combination of homely reminiscence and complex rhythm and harmony, lies the secret of the uniqueness of Ives. This is also the reason why, despite so few performances, the music of Ives has become a source of irresistible attraction to the new generation of American composers." See Nicolas Slonimsky, "Bringing Ives Alive," *Saturday Review* (August 28, 1948), 45 and 49; reprinted in *Charles Ives and His World*, 49. Yet another Ivesian biographer, Paul Rosenfield, described Ives's use of borrowings as "... an almost national experience, the relations between the essences affinitive to the American people past and present." and as having "... evolved from ... the American tradition." See Rosenfield, "Ives," in *Discoveries of a Music Critic* (New York: Harcourt, Brace, 1936), 315.

¹⁶ A typical example is found in Paul Moor's 1948 article in *Harper's Magazine*: "The practice of 'quoting' musical material, as Ives has done in many of his works, has good precedent. Beethoven used the sounds of country bands in his pastoral Symphony; many composers have interpolated the folk music of their various countries into their works; Arnold Schoenberg, in his Second String Quartet, even found use for 'Ach, du lieber Augustin!' In Ives, a thoroughly American composer if there ever was one, nothing could seem more logical than his use of such autochthonous material as 'Bringing in the Sheaves' and 'Whoopie Ti-yi-yo, Git Along Little Dogies [sic].'" See Paul Moor, "On Horseback to Heaven: Charles Ives," *Harper's Magazine* 197 (September 1948): 65–73. Reprinted in *Charles Ives and His World*, 408–22; the quotation can be found on pp. 417–18. In this excerpt, Moor linked Ives not only with Beethoven, a cornerstone of the musical canon, but also with Schoenberg, a more recent addition. These canonic connections not only justified Ives's practice of musical

It was common for early Ives studies to evoke more than one of these reasons in promotion of Ives's music. For example, a master's thesis by Robert Mays from 1961 explained that Ives's use of quoted hymn tunes makes him a "rugged individualist," and that his adoption of these tunes, which "he regarded ... as popular or folk music" is an example of "American Nationalism"; furthermore, hearing these hymns enhances the "feelings of the listener through association."¹⁷ These reasons were listed in close proximity in this thesis, presumably to facilitate an increase in appreciation of Ives's music.

I believe that scholars prior to 1970 utilized the reasons listed and described above primarily as a means of promoting Ives's music, potentially in response to early critics who were sometimes harsh and derogatory in reviews. Though I am not arguing against present-day critics in this study, my work does reflect some of the reasoning found within these historical studies. For example, I (like the Cowells and Mays, described above) believe that Ives's musical borrowings provide a means for conveying expressive content, and I agree with these scholars that this is due at least in part to listener associations (described as "nostalgic emotion" for the Cowells and as "association" for Mays).

Other early scholars also remarked on either the expressive effects of Ives's musical borrowings, or on their narrative potential—another feature of musical

borrowings, but they also reinforced Moor's statements of support for Ives's music. Other scholars linked Ives to Mahler (for an example see Lou Harrison, "On Quotation," in *Modern Music* 23, no. 3 [Summer 1946], reprinted in *Charles Ives and His World*, 166–9, especially pp. 166–7). For an example of literary canonic connections with Emerson, Joyce, and T. S. Eliot, see Cowell and Cowell, *Charles Ives and His Music*, 147.

¹⁷ See Mays, "The Use of Hymn Tunes in the Works of Charles Ives," 114–5.

borrowings that contributes to my interpretations of Ives's works. Prior to the 1970s, however, a musical borrowing's narrative potential was often implied only indirectly, either through comparisons with authors of literature, literary metaphors, or via a description of borrowings as a type of conversational object.

It is clear from these historical sources that listeners have found that musical borrowings convey expressive meanings and narrative potential for at least eighty years. One example of an early essay that described the expressive effects of Ives's musical borrowings is "Charles Ives: The Man and His Music," which was written in 1933 by Henry Bellamann. According to Bellamann, "so many of these old tunes were almost conversational pieces of exchange and as such must be considered for their reference value and power to evoke emotional context."¹⁸ In this passage, Bellamann not only recounted the ability of Ives's musical borrowings to "evoke emotional context," but he also described them as "conversational pieces of exchange," implying that they are cultural objects about which everyday discourse would have been common. According to some Ives scholars, Bellamann, who was a close friend of Ives, can be considered an authoritative source on the composer's opinions. For example, Burkholder wrote that Bellamann "may be assumed to be voicing Ives's own opinions about his music and his beliefs, for he had direct and frequent personal access to the composer, and Ives saw ... [Bellamann's] articles after ... publication and apparently ... raised no objections [to their contents]."¹⁹

¹⁸ Henry Bellamann, "Charles Ives: The Man and His Music," in *The Musical Quarterly* 19, no. 1 (Jan. 1933): 45–58. The quotation is from p. 50.

¹⁹ J. Peter Burkholder, *Charles Ives: The Ideas Behind the Music*, (New Haven: Yale University Press, 1985), 20–21. A specific article to which Burkholder referred in

Other early writers echo Bellamann's descriptions. In 1946, Lou Harrison likened the entrances of Ives's borrowings with "the entrances of important characters [in a story]," and compared them with the literary quotations of James Joyce.²⁰ Additionally, he claimed that Ives's borrowings reflected a "broader reference scheme" and that they may be a "key to meaning" in his music.²¹ Another example can be found in the work of Henry and Sidney Cowell. In their 1955 book on Ives, *Charles Ives and His Music*, they likened Ives's incorporation of borrowings with the adoption of quotations by a multitude of famous authors, including Emerson, Chaucer, Joyce, and T.S. Eliot.²²

To summarize, until the 1970s, scholars and critics usually cited Ives's musical borrowings as a means of promoting Ives's music. I have found that for almost fifty years—from the 1920s to 70s—articles and short essays on Ives essentially duplicated the same five reasons that Ives's musical borrowings made his music more successful or valuable. Additionally, we will soon see in section 2.2 that scholars continued to utilize most of these reasons in scholarship written between 1970 and 2000. These reasons can be succinctly recapped: the use of musical borrowings is ingenious, borrowings provide a means of conveying expressive content, borrowings are reflective of Ives's originality or individuality, borrowings make Ives's music more American, because he borrows primarily from American "folk" music, and/or borrowings connect Ives to the Classical tradition, because previously canonized composers also engaged in the practices of

this quotation is that which I have cited above from the January 1933 issue of *The Musical Quarterly*.

²⁰ See 167–68 of Lou Harrison's "On Quotation," in *Modern Music* 23, no. 3 (Summer 1946): 166–9.

²¹ Ibid., 169. Unfortunately, Harrison does not define "meaning" in this short essay; he simply states that "sensitive minds" seek it (169).

²² See Henry Cowell and Sidney Cowell, *Charles Ives and His Music*, 147.

borrowing. Though it is not absolutely clear why early Ives scholars felt the need to promote his music via the citation of his borrowing practices, it may have been due to harsh and derogatory statements about Ives's music made by early critics.

Additionally, early Ives scholars also remarked on the expressive effects or narrative potential of Ives's musical borrowings. It is clear that present-day listeners and scholars are not the first to suggest that Ives's musical borrowings could contribute to an interpretative study of Ives's music, though no early scholar actually engaged in such a study. The present work takes as a point of departure the idea that Ives's musical borrowings can convey expressive and narrative content, drawing from the long history of scholars who also believed this.

However, the goals of the present study are also quite different from those of early Ives scholars. In short, I am interested in music analysis: explaining how a musical work might be constructed, describing a listener's experience of a work, and forming interpretations of Ives's compositions that contain musical borrowings. Such goals are different from those of early scholars, who appeared to be reacting to early derogatory statements regarding Ives's compositions and who, in general, did not engage in musical analysis. Though early scholars suggested that Ives's musical borrowings contained the potential for expressive or narrative investigations, they did not seek to undertake such interpretive examinations themselves.

2.2 The Significance of Musical Borrowings in Ives's Later Reception History

Prior to 1970, most Ives scholarship consisted of short magazine articles, generalized biographies, introductions to his music, and the occasional thesis or dissertation. However, Ives scholarship—in the form of books, dissertations, or longer

essays in professional music journals—exploded with growth when interest in Ives and his music suddenly spiked around his birth centennial, 1974. From this time until the early 2000s, scholars continued to use Ives’s musical borrowings to promote and explain his music. In my study of literature written between 1970 and 2003, I have found that scholars continued to utilize the five reasons described in section 2.1 for this promotion and explanation. Especially common was the continuation of arguments that stated that Ives’s borrowings make his music more valuable because they enhance its “American” quality, either because his source tunes are American in origin,²³ or—cited much more

²³ Predictably, interest in Ives as a specifically “American” composer peaked in the mid-1970s when Ives’s birth centennial and the United States’ bicentennial happened to coincide within a few years. However, sources from the 1970s through the mid-2000s have cited Ives’s musical borrowings as confirmation of the “Americanness” of his music. For examples, see Colin Sterne’s “The Quotations in Charles Ives’s Second Symphony,” *Music & Letters* vol. 52, no. 1 (January, 1971), 39–45, (“They [Ives’s musical borrowings] are a nostalgic evocation of a particular American scene ...”, 45); Rosenfeld, “Ives,” 315–25, (“The forces conveyed by his [Ives’s] music are deeply, typically American ... Ives has indeed felt the spiritual and moral forces of America past and present ... through American folk music,” 319); Christopher Norris, “American Pioneer,” *Music and Musicians* vol. 23, no. 2 (October 1974), 36–41; Rosalie Sandra Perry, *Charles Ives and the American Mind*, (Kent, OH: The Kent State University Press, 1974); Frank R. Rossiter, *Charles Ives and His America*, (London: Gollancz, 1976); Christopher Ballantine, “Charles Ives and the Meaning of Quotation in Music,” *The Musical Quarterly* 65, no. 2 (April, 1979): 167–84, (“... what is being symbolized [by Ives’s musical borrowings] seems to have much do to with ... American life,” 176); John C. Crawford and Dorothy L. Crawford, “Charles Ives,” in *Expressionism in Twentieth-Century Music*, (Bloomington: Indiana University Press, 1993), 204–28, (“Ives felt anyone recognizing ‘Nearer My God, To Thee’ ... [recognized] such communally shared deeply rooted American traditions,” 227); Burkholder, *All Made of Tunes*, 421–25, (“Rather, his music was American because he sought to communicate the experience of Americans like himself, especially their experience of and emotional involvement with the music of their everyday life,” 424); Thomas Clarke Owens, “Charles Ives and His American Context: Images of ‘Americanness’ in the Arts” (PhD diss., Yale University, 1999), (“The American overtones of these ideas are augmented by borrowed material with specifically American associations,” 273); and Denise Von Glahn, *The Sounds of Place: Music and the American Cultural Landscape*, (Boston: Northeastern University Press, 2003), (“Ives’s use of place in his music reveals a web of personal and historical

frequently in post-1960s scholarship—because they reflect his “Transcendentalist” philosophical ideas.²⁴ A second common reason that continued to be cited was that his musical borrowings connected him with the Classical tradition, because other canonized composers also engaged with the practice of borrowing.²⁵ At the same time, a new reason

interconnections that ‘place’ him directly in the mainstream of American culture,” book cover).

²⁴ Scholarly connections between Ives and Transcendentalism did appear before the 1970s (for example, see Sidney and Henry Cowell’s *Charles Ives and His Music*; also see Paul, *Charles Ives in the Mirror*, 86–8 for a concise summary), but such connections especially flourished when discussions were connected to his musical borrowings in the 1970s and 80s. Arguments of this sort were especially popular before J. Peter Burkholder’s *Charles Ives: The Ideas Behind the Music*, in which Burkholder argues that Ives became influenced by the Transcendentalist movement later in his career than was previously thought. For examples of the former, see Henderson, “Ives’s Use of Quotation,” *Music Educators Journal* 61, no. 2 (October 1974): 24–8, (“Ives usually intended his pre-existent music to be a vehicle for his [Transcendentalist] philosophical tenets,” 26); Rosalie Sandra Perry, *Charles Ives and the American Mind*, (“A distinguishing characteristic of Ives’s music ... is his use of popular songs, hymns, and the like ... his Transcendentalist hero Thoreau [who] centered his interest almost exclusively on the popular and sentimental ballads of the day seems no coincidence,” 21–2); Garry E. Clarke, *Essays on American Music*, (Westport, CT: Greenwood Press, 1977), (“Several specific areas of Ives’s musical thought reveal some of the transcendental qualities of his work. The first of these is Ives’s use of quotation,” 118); and Henderson, *The Charles Ives Tunebook*, first edition, 1990, (“Quotation was also used as a vehicle for Ives’s [Transcendentalist] philosophical thoughts,” xii).

²⁵ These arguments remained a popular way to introduce a discussion of Ives’s musical borrowings in scholarship of the 1970s and 80s, culminating in works of the mid-1990s such as books by John C. Crawford and Dorothy L. Crawford, Burkholder, and Geoffrey Block. For examples, see Charles Wilson Ward, “Charles Ives: The Relationship Between Aesthetic Theories and Compositional Processes” (PhD diss., the University of Texas at Austin, 1974), (“The use of previously composed music in composition was not a new technique when Ives employed it. Renaissance composers frequently used popular songs ... Bach often adapted his own compositions to new settings ... Stravinsky and others found new inspiration in music from other eras,” 155); Leslie Orrey, *Programme Music*, (London: Davis-Poynter, 1975), (“Like Vaughan Williams, and like Bartók, Ives found his chief inspiration in the music on his own doorstep,” 175); Mary Ellison, “Ives’ Use of American ‘Popular’ Tunes as Thematic Material,” in *South Florida’s Historic Ives Festival 1974–76*, (Miami: Charles Ives Centennial Festival, 1976), (“Ives was of course not the first composer to quote existing music in his works. Beethoven, Brahms, Mahler, Debussy, and many others have had recourse to such borrowing time and again,” 31); Henderson, *The Charles Ives Tunebook*,

involving Ives's musical borrowings began to be cited as a means of promoting and explaining his music.²⁶ This reason amassed great popularity, and reflected larger developments in music academia in the 1970s, 80s, and 90s:

6. Ives's musical borrowings make his music more coherent, because they unite his works thematically or motivically.²⁷

This scholarly trend towards studies that emphasized technical analysis based mostly (or solely) on musical features and whose goal was (explicitly or implicitly) to demonstrate musical unity reflects a well-known larger movement in music scholarship from approximately 1970 to 2000.²⁸

first edition, 1990, ("The quotation of someone else's music is, of course, not new. The Renaissance parody Mass and the German partiality for the quodlibet are examples that readily come to mind," x); John C. Crawford and Dorothy L. Crawford, "Charles Ives," 1993, ("Rebelling, as did Stravinsky and Bartók ... Ives went to the same source they did—common folk—for the materials of his unique musical language," 204); Burkholder, *All Made of Tunes*, 1995, ("most of the ways in which Ives used existing music are familiar techniques common to many composers, including some of the most fundamental procedures of the European tradition," 3); and Geoffrey Block, *Ives: Concord Sonata*, (New York: Cambridge University Press, 1996), ("he [Ives] was certainly not the first extensive musical borrower. In fact, Ives's predecessors both in Europe and America borrowed classical and folk music material or modeled their compositions on earlier masters far more than they acknowledged," 47).

²⁶ This trend towards citing purely musical reasons in promotion of Ives's music has been previously discussed in studies of Ives's reception history. For example, Paul wrote, "Beginning in the late sixties, several musicologists, most of them younger, set about scrutinizing the nature of Ives's practice of leavening his work with borrowed music—marches, parlor songs, hymns, and the like. They were not all in agreement, but the consensus drafted toward the idea that Ives's borrowings could be accounted for on musical grounds, a function of structural and stylistic concerns." See *Charles Ives in the Mirror*, 171.

²⁷ This numbering reflects a conceptual continuation of the list from pp. 38–9. However, this reason is listed in section 2.2 instead of section 2.1 because it is utilized primarily in post-1960s scholarship.

²⁸ As Patrick McCreless has noted, the Society for Music Theory (formed in 1977) "distinguished itself in its early years by a commitment to speculative theory and to musical analysis—especially [theories such as] Schenkerian analysis for tonal music, and pitch-class-set and twelve-tone analysis for the relevant twentieth-century musics," all of

Reason six described above was possibly first used in *Charles Ives and His Music*, which was written in 1955 by Henry and Sidney Cowell.²⁹

These snatches of hymns, minstrel songs, college songs, fiddle tunes, and so on, sewn through the fabric of his music, are never left as quotations only; certain fragments soon develop a life of their own, and some aspect of their *musical structure is always made the basis of the piece's subsequent behavior*.

This remark described musical borrowings as the basis of a unified thematic and/or motivic “musical structure” in Ives’s works. The Cowells foreshadowed the common use of this line of reasoning in later scholarship. In 1969, Henderson adopted it in his dissertation, “Quotation as a Style Element in the Music of Charles Ives.”³⁰ Henderson’s dissertation, whose main subject was Ives’s musical borrowings, marked a turning point in Ives’s reception history. Henderson’s tome of 388 page was one of the first studies that dealt solely with Ives’s musical borrowings, marking a shift in research interest that continues to the present day, a shift from which this study has benefited.³¹ The structural importance of musical borrowings in Ives’s music was of central importance to Henderson. Early in his dissertation Henderson wrote, “Questions concerning the

which reflect this valuation on musical coherence. See *Grove Music Online*, s.v. “Society for Music Theory,” by Patrick McCreless, accessed May 4, 2014, <http://www.oxfordmusiconline.com/>.

²⁹ Cowell and Cowell, *Charles Ives and His Music*, 147. Emphasis added.

³⁰ This PhD diss. was completed in 1969 through Washington University.

³¹ This shift in research interest has not escaped criticism. Kyle Gann, an American composer, critic, and part-time scholar of twentieth-century music described this shift with harsh scrutiny in a recent Blog entry. Gann stated, “I’ve wondered for decades why academics so often remind me of a flock of birds, in that when one changes direction, they all do, instantly ... they [academics] responded [to Burkholder’s book on Ives’s musical borrowings, *All Made of Tunes*], ‘Oh—we’re doing borrowings now! So the way to research Ives is to find all his borrowings. Consider me on board [tone is sarcastic from context of article].” See “Things Composers Can Do,” in *PostClassic*, <http://www.artsjournal.com/postclassic/2015/01/things-composers-can-do.html> [accessed January 25, 2015]. Gann recommends that present-day scholars accept Burkholder’s work as “encyclopedic” and move on to researching other topics.

structural importance [of musical borrowings] ... heretofore mostly ignored in Ives research—must be answered.”³²

Such questions concerning the structural importance of musical borrowings arose again and again in subsequent 1970s Ives scholarship. One example can be found in an article by Gordon Cyr from 1971.³³

Commentators have overlooked the *unity* which Ives finds within this abundance [of musical borrowings]. In this oversight, they have fostered a public image of Ives as a kind of musical chef, whose sundry *specialties de cuisine* are mere minor variants of one basic favorite, into which, blindfolded, the composer-cook tosses in all condiments within reach, regardless of their compatibility.

Another example can be found in “Ives’ Use of American ‘Popular’ Tunes as Thematic Material,” in which Mary Ellison defined the main concern of her 1977 article: “The one argument to be developed in this paper is that the quoted material used by Ives is, in most cases, related to the general melodic structure of the composition.”³⁴ Still other examples abound.³⁵

³² Henderson, “Quotation as a Style Element,” 2.

³³ Emphasis is Cyr’s. See Gordon Cyr, “Intervallic Structural Elements in Ives’s Fourth Symphony,” *Perspectives in New Music* 9, nos. 1–2 (1971): 291–303. The quotation is found on p. 303.

³⁴ Ellison, “Ives’ Use of American ‘Popular’ Tunes,” 31.

³⁵ See Sterne, “The Quotations in Charles Ives’s Second Symphony,” (1971), which emphasized that any work by Ives is “a unified one ... however many musical fragments were collected and ordered to give substance to it,” 45; Henderson, “Ives Use of Quotation” (1974), (“Today, some evaluations of Ives’s music are based on its programmatic element, even though many of the borrowed materials in these works are no longer recognized. As more of these sources are forgotten, the ultimate value of Ives’s music will be in its musical merit alone,” 28); Norris, “American Pioneer” (1974), which focused on the “very strong and meticulous formal structure” (37) of Ives’s works; and Garry E. Clarke’s *Essays on American Music* (1977), (“Ives ... knew exactly what he was doing, and his music is the work of a well-trained and calculating mind. Even the most ‘chaotic’ passages are planned carefully,” 129).

Scholars continued to advocate for the unified nature of Ives's works in order to promote and explain Ives's music in the 1980s and 90s.³⁶ Perhaps the culmination of this valuation of unity in Ives's music was achieved in the work of Philip Lambert, who is one of the more prolific music theorists of Ives scholarship. In his book *The Music of Charles Ives*, Lambert discussed the goals of his work.³⁷

How, then, can we characterize that area of Ives's work that has been known as experimental, using language that forsakes initial motivations for the actual ideas and methods he uses to pursue his artistic goals? The common thread in these works is a reliance on pattern and logic in the formation and development of musical ideas. The structures typically display distinctive compositional designs based on schemes involving pitches, chords, rhythms, metrical structures, formal units, expressive markings, instrumentations, and the like. It is music that can be rigidly organized, exactly contrived, formulaic. It is not experimental but *systematic*.

One can make several important points about this passage. Lambert emphasized that Ives's musical structures form "pattern[s]" and are composed logically with "distinctive compositional designs" that are "exactly contrived" and "formulaic." In other words,

³⁶ For example, in her 1986 article, "A Technique for Melodic Motivic Analysis in the Music of Charles Ives," Lora L. Gingerich wrote about her essay's goal: "how the development of melodic motives relates to and affects the structure of the entire work—is the ultimate goal of the analysis, but it is not possible to reach that stage without a complete understanding of how the individual motives are related." See Lora L. Gingerich, "A Technique for Melodic Motivic Analysis in the Music of Charles Ives," *Music Theory Spectrum* 8 (Spring, 1986): 75–93. The quotation is found on p. 75. Another example of this assigning of priority to music-structural organization is found in the work of Allen Forte. In his 1992 article, "The Diatonic Looking Glass, or an Ivesian Metamorphosis," Forte parsed a borrowed hymn, "Nettleton," into groups of different motives and examined their transformations in two works, his primary intention being to demonstrate musical coherence. See Allen Forte, "The Diatonic Looking Glass, or an Ivesian Metamorphosis," *The Musical Quarterly* 76, no. 3 (Autumn, 1992), 355–82. Demonstrating musical coherence is also one of the goals of Burkholder, who occasionally does so in *All Made of Tunes*: "In most instances, Ives's original musical ideas and the forms that his music takes *grow organically* out of the way in which he uses his sources." See Burkholder, *All Made of Tunes*, 11. Emphasis added.

³⁷ Philip Lambert, *The Music of Charles Ives* (New Haven: Yale University Press, 1997), 4. Emphasis added.

Lambert consistently emphasized the “systematic” nature of Ives’s music—its coherence, which he demonstrated via motivically and thematically unified passages of music.

Virtually all of Lambert’s work on Ives reflected this attitude. *The Music of Charles Ives* was based on Lambert’s 1987 dissertation, “Compositional Procedures in Experimental Works of Charles E. Ives,” which displayed similar valuations on coherence, logic, and unity.³⁸ Another example can be seen in “Ives’s ‘Piano-Drum’ Chords,” in which Lambert demonstrated that Ives simulated drum sounds that were logically and cohesively structured.³⁹ Similarly, Lambert demonstrated the coherence of unified musical structures in Ives’s compositional procedures that drew on interval cycles, aggregate structures, counterpoint, and other harmonic structures.⁴⁰ Additionally, *Ives Studies*, a multi-authored collection of essays that Lambert edited, reflected this attitude.⁴¹

To summarize, scholarly and music-analytical interest in Ives and the quantity of analytical scholarship greatly increased after 1970. From the 1970s until the present day, scholars have continued to utilize Ives’s musical borrowings to promote and explain Ives’s music, often duplicating the reasoning of earlier scholars. Additionally, a new

³⁸ Philip Lambert, “Compositional Procedures in Experimental Works of Charles E. Ives” (PhD diss., Eastman School of Music of the University of Rochester, 1987).

³⁹ See Philip Lambert, “Ives’s ‘Piano-Drum’ Chords,” in *Intégral* 3 (1989): 1–36.

⁴⁰ See Philip Lambert, “Interval Cycles as Compositional Resources in the Music of Charles Ives,” *Music Theory Spectrum* 12, no. 1 (1990): 43–82; Philip Lambert, “Aggregate Structures in the Music of Charles Ives,” *Journal of Music Theory* 34, no. 1 (1990): 29–55; Philip Lambert, “Ives and Counterpoint,” *American Music* 9, no. 2 (1991): 119–48; and Philip Lambert, “Toward a Theory of Chord Structure for the Music of Ives,” *Journal of Music Theory* 37, no. 1 (1993): 55–83.

⁴¹ See especially Robert P. Morgan, “‘The Things Our Fathers Loved’: Charles Ives and the European Tradition,” pp. 3–26, and Philip Lambert, “Ives’s *Universe*,” pp. 233–62, in *Ives Studies*, ed. Philip Lambert (New York: Cambridge University Press, 1997).

reason arose for the promotion and explanation of his music: Ives's musical borrowings make his music more coherent because they unite his works thematically and/or motivically. This shift reflected larger developments in music academia—especially in music theory—in the 1970s, 80s, and 90s, as music theorists increasingly developed analytical accounts of Ives's (and other modernist composers') musical works.

The present study both extends and diverges from Ives scholarship written between the 1970s and early 2000s. Beginning with Henderson in 1969, scholarly interest shifted towards serious study of Ives's musical borrowings, and the number of essays in music journals and books about this topic greatly increased. My work has benefited from this shift in research interest, as prior scholars have laid much of the groundwork for this dissertation in books that identify and catalogue Ives's borrowings (discussed in more depth in section 2.3). At the same time, present-day music theorists began to harness Ives's musical borrowings as the focus of their musical analysis. Such theorists clearly shared my belief that Ives's musical borrowing are worthy of analytical attention, and that they can help to describe a present-day listener's experience of a work.

However, this dissertation also diverges from Ives scholarship written between the 1970s and early 2000s. Beginning in the 1970s, music theorists who studied Ives's music were often interested in demonstrating coherence in his compositions. One way they did this was by harnessing his musical borrowings as evidence, showing that they help to unite his works thematically and/or motivically. As a music theorist, I enjoy reading such studies, but I am troubled by the fact that this interest in musical coherence seemed to dominate musical theoretical work on Ives until the 2000s. It is possible that some scholars in the 1970s–90s believed that coherence and unity alone provided the

rationale for Ives's practices of musical borrowings, and that they did not think that interpretive or historical studies of his borrowings were necessary. This is one way in which the present study—and most of my other work as well—diverges from these historical studies. I do not believe that musical coherence and unity alone provide the main rationale for Ives's musical borrowings. Instead, I think that present day listeners and scholars can greatly benefit from both interpretive analytical studies of his musical borrowings and historical studies that contextualize this practice.

2.3 Recent Studies of Ives's Musical Borrowings

In this dissertation, I engage with several present-day research concerns regarding Ives's uses of musical borrowings. Several such branches of the borrowings literature will be discussed here: studies that served mainly to identify Ives's musical borrowings, works that primarily classified Ives's musical borrowings, and works that speculated on why Ives might have composed with pre-existent music.

A few works focused primarily on the identification of borrowed melodies in Ives's compositions. One of the most comprehensive lists of borrowings is found in Clayton Henderson's *The Charles Ives Tunebook*, which has been published in two editions and which listed borrowed melodies by genre—hymns, patriotic songs and military music, popular songs, college music, instrumental tunes, and classical music.⁴² This useful book contains incipits of the melodies, their texts, author information, and a list of works that borrow from each melody. Henderson's book built significantly on the scholarship of two other musicologists. In the book's first edition Henderson primarily extended John Kirkpatrick's work in *A Temporary Mimeographed Catalogue*, which

⁴² See Henderson, *The Charles Ives Tunebook*.

contained an “Index of Tunes Quoted,” that listed Ives’s borrowings by the same styles as Henderson (hymns, patriotic songs) and detailed in which compositions the borrowings may be found.⁴³ Henderson’s second edition also drew from James Sinclair’s *A Descriptive Catalogue of the Music of Charles Ives*, which contained lists of borrowings within an extensive catalogue of Ives’s compositions.⁴⁴ The second edition also drew from Burkholder’s *All Made of Tunes* as well. Additionally, Sinclair’s *Catalogue* contained information about dating, publication, premiere, and recordings for each of Ives’s works.

Other scholars, Henderson included, have formed classification systems of Ives’s musical borrowings. In his dissertation titled “Quotation as a Style Element in the Music of Charles Ives,” Henderson categorized Ives’s musical borrowings as “thematic,” “structural,” or “descriptive,” based upon how the quotation functioned in Ives’s compositions.⁴⁵ Burkholder greatly expanded descriptions of Ives’s practices of musical borrowings in *All Made of Tunes*, increasing the number of borrowings procedures to fourteen—modeling, variations, paraphrasing, setting with a new accompaniment, cantus firmus, medley, quodlibet, stylistic allusion, transcription, programmatic quotation, cumulative setting, collage, patchwork, and extended paraphrase.⁴⁶ These important studies—both those that categorize and those that identify Ives’s musical borrowings—

⁴³ John Kirkpatrick, *A Temporary Mimeographed Catalogue of the Music Manuscripts and Related Materials of Charles Edward Ives, 1874–1954* (New Haven: Library of the Yale School of Music, 1960); the index can be found on pp. 264–67.

⁴⁴ See Sinclair, *A Descriptive Catalogue*, which can be accessed online: <http://drs.library.yale.edu/fedora/get/music:mss.0014.1/PDF>. Sinclair’s *Catalogue* is also used as a finding guide for MSS 14, The Charles Ives Papers in the Irving S. Gilmore Music Library of Yale University.

⁴⁵ Henderson, “Quotation as a Style Element in the Music of Charles Ives.”

⁴⁶ See Burkholder, *All Made of Tunes*, 3–4.

have laid the groundwork for my dissertation, which discusses passages with musical borrowings that have already been discovered, chronicled, and categorized. I take these identified borrowings as a point of departure for my analyses, and do not make reexamining the validity of these identifications a priority in this study.

All Made of Tunes has been influential to the present study in several other ways. First, this dissertation can be viewed as a response to some of the questions that Burkholder lays out in the final chapter of this book; these questions provided one of the starting points of this analytical study. Especially significant are Burkholder's questions about interpreting Ives's borrowings ("what do they mean"?), though he did not seek to exhaustively answer such questions from a music theoretical perspective.⁴⁷ Another way in which *All Made of Tunes* has influenced this study is via its means of notation. Burkholder used a side-by-side format when comparing Ives's settings of musical borrowings and an original melody for ease of legibility. He also often adopted the practice of transposing the original melody to whatever key Ives was utilizing for ease of comprehensibility. Though I do not utilize Burkholder's exact notational style in this dissertation, I do incorporate the idea of side-by-side comparisons of Ives's settings of borrowings (and/or their setting) with original melodies or recompositions frequently; like Burkholder, I also transpose original tunes in relation to a particular musical setting for ease of comprehensibility to present-day readers.

Other studies besides those by Henderson and Burkholder speculated on why Ives might have employed musical borrowings in his works. These include works by Dennis

⁴⁷ Though Burkholder does not seek to exhaustively answer such questions from a music theoretical perspective, he does offer several explanations of meanings throughout *All Made of Tunes*, including programmatic, expressive, and narrative explanations.

Marshall, who believed that Ives drew on particular borrowed melodies for motivic unification.⁴⁸ A second such work is by David Thurmaier, who described musical borrowings and temporal phenomena to be at the heart of an Ivesian musical aesthetic that does not necessarily emphasize unity and coherence.⁴⁹ Burkholder wrote a third, in which he demonstrated that Ives may have incorporated musical borrowings to highlight the connections between his works with those of the European canon, which had been shaped by musical borrowings for hundreds of years.⁵⁰ Several scholars connected Ives's employment of musical borrowings with attempts to recapture the past, such as James Hepokoski, who believed that musical borrowings in Ives's music are used as an attempt to recover the experience of childhood.⁵¹ Lucie Fenner also made such an attempt in her exploration of the connections between musical borrowings and the memorialization of events in Ives's life.⁵² Other essays have connected Ives's uses of borrowed tunes with particular opinions, including one by Mark D. Nelson, who drew parallels with tenets of Transcendentalism.⁵³ Two other essays of this type are by Alan Houtchens/Janis Stout and Rebecca Lynne Brandt, who likened particular musical borrowings with Ives's

⁴⁸ Dennis Marshall, "Charles Ives's Quotations: Manner or Substance"? *Perspectives of New Music* 6, no. 2 (1968): 45–56.

⁴⁹ David Thurmaier, "Time and Compositional Process in Charles Ives's Holidays Symphony" (PhD diss., Indiana University, 2006).

⁵⁰ J. Peter Burkholder, "'Quotation' and Emulation: Charles Ives's Use of His Models," *Musical Quarterly* 71, no. 1: 1–26.

⁵¹ James Hepokoski, "Temps Perdu," *Musical Times* 135 (1994): 746–51. See also David Metzger's essay "Childhood and nostalgia in the works of Charles Ives" (15–46) in *Quotation and Cultural Meaning in Twentieth-Century Music* (New York: Cambridge University Press, 2003).

⁵² Lucie Fenner, *Erinnerung und Entlehnung im Werk von Charles Ives* (Tutzing, Germany: Hans Schneider, 2005).

⁵³ Mark D. Nelson, "Beyond Mimesis: Transcendentalism and Process of Analogy in Charles Ives' 'The Fourth of July,'" *Perspectives of New Music* 22, nos. 1–2: 353–84.

“ambivalent” attitude towards war.⁵⁴ There are many studies that also pertain to the musical borrowings of other composers that may be of interest.⁵⁵

Please note that I do not want the present study to overturn the many and varied interpretations of these scholars. I believe that a plurality of readings is vital to the health of any composer’s study, and I simply wish to acknowledge the interpretations of scholars before me. Though I have sometimes come to different interpretive conclusions about particular works than past scholars, the field of Ives scholarship continues to participate in active debates and lively discussions. Additionally, this dissertation places value on multiple readings or hearings of the same work for a plurality of interpretive gains, as already demonstrated in the *Thanksgiving* analysis found in Chapter 1.

2.4 Primary Source Studies

As seen in Chapter 1, I contextualize my analyses in this dissertation with verbal statements by Ives, taken from his writings, correspondences, and his papers and manuscripts, both unpublished and published. Additionally, Appendix 1 presents a semi-comprehensive list of incipits detailing Ives’s references to dissonance and consonance in his published and unpublished writings. In this section I provide a brief overview of these

⁵⁴ Alan Houtchens and Janis P. Stout, “‘Scarce Heard Amidst the Guns Below’: Intertextuality and Meaning in Charles Ives’s War Songs,” *The Journal of Musicology* 15, no. 1: 66–97; and also Rebecca Lynne Brandt, “Transcendentalism and Intertextuality in Charles Ives’s War Songs of 1917” (master’s thesis, University of North Texas, 1998).

⁵⁵ Descriptions of most of these can be found in *Musical Borrowing: An Annotated Bibliography*, edited by Burkholder, which has over 1800 entries listing various works that include mention of musical borrowings. See “Musical Borrowing: An Annotated Bibliography,” J. Peter Burkholder, ed., accessed February 20, 2014, <http://www.chmtl.indiana.edu/borrowing>. These studies concern a wide range of repertory, from medieval monophony to present-day pop or film music. Many make a historical point, such as a demonstration of influence, a chronological tracing of the different borrowings within a single work, or a description of a certain borrowing technique in works of a particular time period, composer, or style.

sources, including information about their dating and the types of materials that they incorporate.

The first pertinent source is Ives's *Memos*, a collection of autobiographical writings written 1931–34.⁵⁶ Ives wrote the *Memos* to explain the genesis of and programmatic associations with some of his compositions, as well as to answer questions about their dating and his compositional thought process. Ives scholar John Kirkpatrick edited the *Memos*, and his goal in editing was aimed “primarily at a readable continuity.”⁵⁷ Unfortunately, according to Kirkpatrick, Ives “was not dictating them [the essays in the *Memos*] for publication, but [wrote them] only as a fund of data to be drawn on when needed—also to get things off his chest in a private way,” and despite Kirkpatrick's editing, the essays in the *Memos* are littered with errata.⁵⁸ Even comprehensible passages make non-contextualized references to people, events, and places, though Kirkpatrick footnoted background information frequently. In addition to Ives's essays, the *Memos* contain numerous appendices, including lists of Ives's works, lists of editions of the *114 Songs*, and other unpublished notes by Ives about a variety of compositions.

A second important primary source discussed in this dissertation is Ives's *Essays Before a Sonata, The Majority and Other Writings*, selected and edited by Howard Boatwright.⁵⁹ The *Essays Before a Sonata* were written by Ives to accompany the *Concord Sonata* to help explain his programmatic associations, compositional process and genesis, and some of his philosophical ideas. These essays described Ives's opinions

⁵⁶ See Ives, *Memos*.

⁵⁷ *Ibid.*, 19.

⁵⁸ *Ibid.*, 21

⁵⁹ See Ives, *Essays Before a Sonata*.

not only regarding Transcendentalism, but also about politics and a wide range of musical phenomena and styles. The *Essays* also include a selection of Ives's other writings, some previously unpublished. They contain the essays "Some 'Quarter-Tone' Impressions," the "Postface to *114 Songs*," a few letters written by Ives, the essay "Stand by the President and the People" (written during World War I), "The Majority," "Concerning a Twentieth Amendment," "A People's World Nation," and "The Amount to Carry." Not all of these writings contain mention of Ives's compositions, or even music at all; many of them were political or philosophical in nature.

A third important primary source is Ives's published correspondences, found in *Selected Correspondence of Charles Ives*, edited by Tom C. Owens.⁶⁰ This volume, which is illustrated extensively with photographs, contains letters written by Ives as well as the responses and letters he received from others between 1881 and 1954—a time period that spans almost all of Ives's life. As is true of Ives's other writings, music is not always the forerunner of topics in this collection; many of Ives's letters pertain to other subjects, including politics, family, finances, business, health, and travel. Owens attempted to include the letters most pertinent to Ives's music, and included chapters with letters discussing many of Ives's compositions.

Finally, I undertook archival research in the Charles Ives Papers in the Irving S. Gilmore Music Library of Yale University.⁶¹ The collection contains almost all of Ives's original manuscripts and revisions, his correspondences and other writings (some still unpublished), his photographs, scrapbooks, diaries, concert programs, collections of

⁶⁰ Charles Ives, *Selected Correspondence of Charles Ives*, ed. Tom C. Owens (Berkeley: University of California Press, 2007).

⁶¹ MSS 14, The Charles Ives Papers in the Irving S. Gilmore Music Library of Yale University.

concert reviews, collections of writings about Ives, and Ives's scores of music by other composers, amongst other items. The most pertinent items in this collection that I examined were Ives's musical manuscripts. In addition to finding many interesting and valuable unpublished marginalia, I worked with previously unpublished compositions such as "Sneak Thief" and "Take-off on 'Surprise Symphony.'" Some of Ives's compositions only include later or final drafts; others, however, such as the third movement of the Orchestral Set No. 2, contain many drafts, from first genesis through a finalized version. From some such manuscripts I have reconstructed aspects of Ives's compositional process that have led to some of the ideas in this study.

2.5 Interpretive Studies of Ives's Music

Though interpretive studies of Ives's music are not numerous, a few such studies by two scholars—J. Peter Burkholder and Matthew McDonald—have influenced this dissertation. Much has been said on the nature and definition of interpretive music studies, often referred to as studies in "music and meaning," or more rarely "music criticism" by present-day theorists.⁶² Broadly, interpretation is a branch of music theory and analysis that pertains to explaining or describing one or more "meanings" of a musical composition—whether those meanings are historical (those that a composer or

⁶² For an introduction to the subject, see *Approaches to Meaning in Music*, ed. Byron Almén and Edward Pearsall (Bloomington: Indiana University Press, 2006). Shorter introductions can be found in Jenefer Robinson, "Introduction: New Ways of Thinking About Musical Meaning," in *Music and Meaning*, ed. Jenefer Robinson (Ithaca, NY: Cornell University Press, 1997), 1–20; Nicholas Cook, "Theorizing Musical Meaning," in *Music, Performance, Meaning* (Aldershot: Ashgate Publishing, 2007), 213–40; Kofi Agawu, "Music Analysis Versus Musical Hermeneutics," in *The American Journal of Semiotics* 13, nos. 1–4 (Fall 1996): 9–24; and Robert Hatten, "Grounding Interpretation: A Semiotic Framework for Musical Hermeneutics," in *The American Journal of Semiotics* 13, nos. 1–4 (Fall 1996): 25–42.

historical listeners might have engaged with, made, or described) or more recent (those that a present-day listener and/or analyst can engage with, make, or describe). Examples of potential “meanings” include narrative meaning (very broadly, applying a formal system of recurring archetypes to a musical work), expressive meaning (describing the expressive states a composition suggests), or programmatic meaning (where elements of a work are assigned an association by a composer and said associations are communicated to an audience through program notes or another means).⁶³ Scholarly approaches to describing these “meanings” are many and varied, but may include topic theory, theories of musical narrative, studies in expressive meaning, theories of gesture or embodiment, or semiotic studies.⁶⁴

One such interpretive Ives study is Burkholder’s “Stylistic Heterogeneity and Topics in the Music of Charles Ives,” which examined different topics in Ives’s music in order to show that Ives’s contrasting styles fit more appropriately within the tradition of topical analysis than within Larry Starr’s concept of “stylistic heterogeneity.”⁶⁵ Building on the work of Leonard Ratner, Burkholder described topics as references to particular “styles” of music in Ives’s works—those that evoke associations with other styles or genres of music.⁶⁶ By this definition, a topic is different from a borrowing; a borrowing alludes to a specific source melody, while a topic captures a more general musical style. Burkholder identified a wide range of topics in Ives’s music, including “operetta patter song,” “stylized Foster parlor song,” “barbershop quartet singing,” “American hymn,”

⁶³ This list is not meant to be exhaustive.

⁶⁴ Certainly there are more approaches to studies of interpretation in music than those listed here; this list is also not meant to be exhaustive.

⁶⁵ See J. Peter Burkholder, “Stylistic Heterogeneity and Topics in the Music of Charles Ives,” *Journal of Musicological Research* 31 (2012): 166–99.

⁶⁶ *Ibid.*, 175–77.

“minstrel songs,” “marches,” “fiddle tunes,” and “Baroque counterpoint,” as well as topics memorializing the styles of Brahms, Wagner, and Tchaikovsky, among others.⁶⁷

In his “Stylistic Heterogeneity” essay, Burkholder described Ives’s topics as having the potential for being “recognizable styles with specific [listener] associations [that] may convey expressive meanings.”⁶⁸ While Burkholder’s analyses do explore this potential, they mostly focused on how Ives’s use of topics help to delineate formal or temporal features. Additionally, Burkholder discussed the ideas that topics—or musical borrowings—can convey listener associations and that they can be interpreted are central assumptions of this study. My work takes these notions as points of departure, and my analyses build from the idea that general (topical) or specific (borrowings) stylistic allusions carry associations both for present-day listeners and for composers—associations that warrant interpretive analysis.

A second influential and broader essay is “A Simple Model for Associative Musical Meaning,” also by Burkholder.⁶⁹ In this essay, he presented a model for the process that present-day listeners use to make connections between a recognizable snippet of music (such as a musical borrowing or a topical allusion) and their personal associations with that specific work or style of music. Burkholder described this process in five steps.⁷⁰

1. Recognizing familiar elements.
2. Recalling other music or schema that make use of those (or similar) elements.

⁶⁷ Ibid., 178–82.

⁶⁸ Ibid., 166.

⁶⁹ J. Peter Burkholder, “A Simple Model for Associative Musical Meaning,” in *Approaches to Meaning in Music*, 76–106.

⁷⁰ Ibid., 79. See pp. 78–80 for a more complete description of each step.

3. Perceiving the associations that follow from these first associations.
4. Noticing what is new and how familiar elements are changed.
5. Interpreting what all this means.

Though seemingly simple, I believe this model effectively captures one compelling way that a present-day analyst might conceptualize how they make associations when listening to an unfamiliar composition. A listener may hear a familiar element in a work, such as a borrowing, and they may recall the original melody or other works that borrow the same tune. They might then make additional associations based on that borrowing (e.g., church or religion if the borrowed melody were a hymn, or perhaps a feeling of spirituality). They may realize that a setting of a borrowing has been altered, which may help to spark an interpretation of a passage. Of course, Burkholder noted that these steps can happen out of order and that in real time any number of the steps can occur simultaneously.

Although I do not go through the steps of this process in detail in the analytical chapters of this dissertation, this methodology succinctly captures a process by which I went about forming interpretations. I usually began with recognizing borrowings, and with associating those borrowings both with their original melody and with other settings. I made webs of associations based on those borrowings, both for Ives (from his writings), from other historical sources (such as newspapers, recordings, and articles), and for my own personal associations. I noticed which elements Ives altered in his settings of these borrowings, and used those alterations as a point of departure for my interpretations.

A final influential interpretive study by Burkholder is titled “Rule-Breaking as a Rhetorical Sign.”⁷¹ In it, he described the effects of “rule-breaking” of composers from the last three hundred years on listeners, and claimed that “deliberate and musically unnecessary breaking of rules makes passive listening impossible and forces the listener to interpret what is happening as a dramatic and meaningful event.”⁷² It is a central assumption of my study that compositions with unexpected or startling dissonances (those dissonances that sound as if they are breaking the “rules” of consonance or tonality) demand a listener’s attention and interpretation, as Burkholder suggested in this essay.

Several interpretive studies of Ives’s music by Matthew McDonald have also influenced this dissertation. One such study is McDonald’s essay titled “Ives and the Now.”⁷³ In this essay, McDonald drew on theories of memory and film by Siegfried Kracauer (1889–1966), a German film theorist who was a contemporary of Ives, to show the process of musical representations of fragmented memory in two different readings of the song “The Things Our Fathers Loved”—a “linear” and a “non-linear” hearing/reading. In these analyses, McDonald interpreted the song’s succession of musical borrowings in narrative terms, while also discussing the song’s expressive parameters, text and musical relationships, and temporal dimensions.⁷⁴ Additionally, McDonald considered Ives’s milieu, situating his analyses in relation to modernist ideas

⁷¹ See J. Peter Burkholder, “Rule-Breaking as a Rhetorical Sign,” in *Festa Musicologica: Essays in Honor of George J. Buelow* (Stuyvesant, NY: Pendragon Press, 1995), 369–89.

⁷² *Ibid.*, 376.

⁷³ See Matthew McDonald, “Ives and the Now,” in *Music and Narrative Since 1900*, ed. Michael L. Klein and Nicholas Reyland (Bloomington: Indiana University Press, 2013), 285–307.

⁷⁴ See *ibid.*, 286–95.

about time and temporality, especially those that were shaped by film, such as those by Freud, Proust, and film theorist and historian Mary Ann Doane.⁷⁵ According to McDonald, the past—or memories of the past—threaten to overwhelm the song, calling “attention to time’s passing,” and serving “as harbingers of mortality.”⁷⁶ McDonald concluded by contextualizing his analyses with Ives’s anxieties about the modern world, as documented in Ives’s published writings.

This work of McDonald and my study have similar goals and methodological parallels, though our interpretive conclusions about “The Things Our Fathers Loved” differ, since McDonald focuses more on aspects of temporality and less on musical borrowings. We both aim to interpret Ives’s works that have musical borrowings, and we employ similar interpretive approaches. Each of us creates narrative analyses about Ives’s works, and our narratives include a plurality of different—and potentially contrasting—readings. Additionally, McDonald and I both situate Ives within his milieu and within cultural ideas that were helping to shape his world. We also both consider Ives’s compositions within the context of Ives’s own writings. Overall, the methodological resonances between McDonald and myself are numerous.

A second influential interpretive study by McDonald is his recent book, *Breaking Time’s Arrow: Experiment and Expression in the Music of Charles Ives*.⁷⁷ *Breaking Time’s Arrow* is structured in two parts, each consisting of three chapters.⁷⁸ Part 1 focuses

⁷⁵ Rebecca Leydon utilizes a similar approach in “Debussy’s Late Style and the Devices of the Early Silent Cinema,” *Music Theory Spectrum* 23, no. 2 (2001): 217–41.

⁷⁶ *Ibid.*, 300.

⁷⁷ Matthew McDonald, *Breaking Time’s Arrow: Experiment and Expression in the Music of Charles Ives* (Bloomington: Indiana University Press, 2014).

⁷⁸ See Chelsey Hamm, “Book Review: *Breaking Time’s Arrow: Experiment and Expression in the Music of Charles Ives* by Matthew McDonald,” *Indiana Theory Review*

on three dualities that McDonald identifies in the music of Charles Ives: God/Man, Composer/Individual, and Intuition/Expression. Each chapter in Part 1 centered on interpretive analyses of two works, which are roughly arranged in chronological order. Part 2 examine issues of narrativity, temporality, and form, with three in-depth analyses that loosely emphasize the same three dualities of Part 1.

Though McDonald utilized a variety of approaches to interpretation in this book, one of his most common methods is to incorporate a dialogic underpinning in his readings. Although he does not explicitly draw on the terminology of James Hepokoski and Warren Darcy's *Elements of Sonata Theory*, McDonald often sought to establish Ivesian conventions and to read passages in relationship to those conventions.⁷⁹ For example, in his second chapter, McDonald made observations about how Ives attains melodic closure.⁸⁰ Another example occurs in Chapter 3 where McDonald interpreted Ives's evocation of certain harmonic collections.⁸¹ Additionally, throughout the book there are numerous references to particular key affects that Ives established throughout his output. The advantage of such dialogic readings is hermeneutic gain: because McDonald has begun to establish particular recurring procedures for Ives's oeuvre, he can suggest reasons that Ives adheres to or departs from these practices, leading to rich and rewarding analyses.

My analytical goals in this study closely parallel McDonald's. In *Breaking Time's Arrow*, McDonald's convincing and well-crafted analyses asked fresh questions of Ives's

31, Nos. 1–2 (2014).

⁷⁹ See Hepokoski and Darcy, *Elements of Sonata Theory*, who use the terms “norms” and “deformations.”

⁸⁰ Matthew McDonald, *Breaking Time's Arrow*, 44.

⁸¹ *Ibid.*, 74.

music that probe beyond a desire to demonstrate unity or logic. McDonald asked *why* Ives's music is structured the way it is from a musical theoretical perspective, and seeks to respond to this question with interpretive speculations. I ask similar questions in this dissertation, and I also pursue such questions by posing a range of interpretations for my analytical observations. Additionally, McDonald is comfortable with a plurality of readings, as am I, and neither he nor I wish to "demonstrate the absolute authority" of our interpretations.⁸² Finally, I have been influenced by McDonald's utilization of a wide variety of interpretive analytical approaches, as well as his dedication to the historical and biographical contextualization of his interpretations.

2.6 A Methodologically Relevant Study

There are relatively few studies that discuss Ives's music—or his musical borrowings—mostly in terms of tonality or tonal associations as I do in this dissertation. One example of this type of study is by Steven Lynn Sundell. In his thesis, Sundell included an exploration of how a "feeling of tonality" is created in Ives's music that utilizes layering techniques, though he did not seek to model this "feeling" with extensive tonal recompositions as I do in this dissertation.⁸³ A second example by Lambert includes a discussion of the effect of hearing different "tonal strands" in various voices in Ives's works that utilize a contrapuntal texture, though again Lambert does not utilize extensive

⁸² Ibid., 24.

⁸³ See Steven Lynn Sundell, "Charles Ives' Use of Simultaneity to Conflict and Blur Tonality: The Projection of Multiple Layers of Music in 'Putnam's Camp' and Related Sources," (master's thesis, the University of Wisconsin-Madison, 1973), 11. Sundell cited Ives's musical borrowings as one musical parameter that could establish the feeling of a tonal center in a listener.

tonal recompositions.⁸⁴ A third work by Matthew Damien Gillespie included a description of the combination of tonal and atonal elements in Ives's music and a description of how such elements lie on a "continuum of tonal coherence, in which the sense of functional tonality appears and recedes," though Gillespie usually listed such elements and did not seek to model them within specific tonal frameworks.⁸⁵ Burkholder wrote a fourth such work, though his main goal differs substantially from my own: Burkholder sought to provide an argument for Ives's connection to the classical tradition by means of his exploration of tonal elements such as the use of tonal centers, tonic-dominant polarities, and functional harmonic progressions and resolutions in some of his works.⁸⁶

However, one relevant study by Timothy Johnson focused on the tonal nature of Ives's musical borrowings; additionally, this study also connects with my methodologies presented in Chapter 3. In his article, "Chromatic Quotations of Diatonic Tunes in Songs of Charles Ives," Johnson observed that Ives usually incorporated borrowed melodies that were essentially "unaltered"—melodically and rhythmically—despite complicated and new musical settings.⁸⁷ However, Johnson also observed that Ives occasionally

⁸⁴ See Lambert, "Ives and Counterpoint." Lambert also inferred that Ives had a "solid command of the language of tonal counterpoint" (128) in this essay.

⁸⁵ See Matthew Damien Gillespie, "A Continuum of Tonal Coherence: Pitch Organization in 'General William Booth Enters into Heaven' by Charles Ives and 'Chiaroscuro' for Chamber Ensemble" (PhD diss., the University of Pittsburgh, 2014). The quotation is from p. iii.

⁸⁶ See J. Peter Burkholder, "The Critique of Tonality in the Early Experimental Music of Charles Ives," *Music Theory Spectrum* 12, no. 2 (Autumn, 1990): 203–23.

⁸⁷ Timothy Johnson, "Chromatic Quotations of Diatonic Tunes in Songs of Charles Ives," *Music Theory Spectrum* 18, no. 2 (Autumn, 1996): 236–61. See p. 237.

chromatically altered the tonal tune itself, without transforming it beyond recognition.⁸⁸

Additionally, Johnson hypothesized a compositional purpose for this technique: “Thus, by preserving essential features from the original tune while modifying some of its pitches, Ives can evoke the associative and nostalgic qualities of a tune without being encumbered with its diatonic orientation.”⁸⁹

In the rest of his essay, Johnson explored the ways in which Ives altered his borrowed tunes chromatically, dividing his analysis into three approaches: those of “intervallic relationships, diatonic links, and refracted diatonicism.”⁹⁰ “Intervallic relationships” examined how the original tune is altered intervallically—that is, how many half steps are comprised in each melodic interval of the original tune compared with how many half steps are between each melodic interval of Ives’s alteration of the same tune. Example 2.1 depicts the notation that Johnson drew on to depict intervallic relationships between an original tune and Ives’s chromatic alteration of it:

⁸⁸ Ibid., 237. Johnson noted that Burkholder referred to this technique as “paraphrasing” in his article “‘Quotation’ and Emulation: Charles Ives’s Uses of His Models,” 2–3.

⁸⁹ Johnson, “Chromatic Quotations,” 237.

⁹⁰ Ibid., 238.



Example 2.1: An example of Johnson’s notation for intervallic relationships. Taken from Johnson’s Example 1b.⁹¹

The top line of this example contains the hymn melody “Nettleton.” Below this melody, Johnson has bracketed melodic intervals and labeled them by number of half steps. In the lower line, Johnson reproduced Ives’s alteration of the hymn melody, and also bracketed melodic intervals and labeled them by number of half steps. By laying out the original hymn and its alteration side-by-side, Johnson invited the reader to compare the original hymn and Ives’s alteration, noting where the melodic intervallic differences occur.

Johnson called a second means of analyzing Ives’s chromatic alterations of musical borrowings “diatonic linking.” When depicting diatonic linking, Johnson showed how Ives’s version of a tune explored more than one distinct diatonic key area with tones common to both key areas. Example 2.2 depicts an example of diatonic linking:

⁹¹ Ibid., 241. Timothy Johnson, “Chromatic Quotations of Diatonic Tunes in Songs of Charles Ives,” *Music Theory Spectrum* 18, no. 2 (Autumn, 1996): 236–61. Example 1b (p. 241) is reproduced by permission of Oxford University Press and the Society for Music Theory.



Example 2.2: An example of Johnson’s notation for “diatonic linking.” Taken from Johnson’s Example 1c. Note that some of the notes in D \flat major are spelled enharmonically.⁹²

In this example, Johnson demonstrated that Ives’s alteration of the hymn melody “Nettleton” can be heard in two different key areas: E \flat and D \flat major (with some notes spelled enharmonically), as indicated by the top brackets. The bottom brackets with the number “6” indicate half steps, showing that Ives frequently exploited the interval of a tritone when moving between key areas within a singular borrowing of a melody.

Johnson’s final method of analyzing Ives’s chromatic alterations of musical borrowings is called “refracted diatonicism.” Refracted diatonicism referred to the idea that while Ives may alter the pitch content of a borrowing chromatically, the scale-step functions inherent in the original tune remain the same. Example 2.3 depicts an example of Johnson’s notation of refracted diatonicism:

⁹² Ibid., 241. Timothy Johnson, “Chromatic Quotations of Diatonic Tunes in Songs of Charles Ives,” *Music Theory Spectrum* 18, no. 2 (Autumn, 1996): 236–61. Example 1c (p. 241) is reproduced by permission of Oxford University Press and the Society for Music Theory.



Example 2.3: An example of Johnson’s notation for “refracted diatonicism.” Taken from Johnson’s Example 1d.⁹³

In the top line of the example, Johnson reproduced the original melody of “Nettleton,” while in the bottom line of the example he presented Ives’s alteration of the melody. Above each melody Johnson placed the same scale degrees, showing that—at some level—the scale-degree function of each note remains the same, despite Ives’s chromatic alterations. In Johnson’s opinion, “the precise diatonic nature of the original tune pervades the chromatic quotation through the reflection of the scale-step numbers of the original tune.”⁹⁴

My work in this study builds upon Johnson’s essay. In his three means of analysis, Johnson sought to compare altered, chromatic versions of musical borrowings with diatonic prototypes. This is essentially the methodology that I utilize in this dissertation; I understand passages with musical borrowings as variations on an underlying tonal framework. However, Johnson and I differ in our comparisons between borrowed materials and Ives’s music; in his short article, Johnson primarily compared Ives’s alterations of a borrowing to the original melody. In this dissertation, I compare

⁹³ Ibid., 241. Timothy Johnson, “Chromatic Quotations of Diatonic Tunes in Songs of Charles Ives,” *Music Theory Spectrum* 18, no. 2 (Autumn, 1996): 236–61. Example 1d (p. 241) is reproduced by permission of Oxford University Press and the Society for Music Theory.

⁹⁴ Ibid., 242.

Ives's alterations of a borrowing to an original melody, but I also relate the source tune to Ives's musical setting, the musical setting to the source tune, and the musical setting to underlying tonal conventions. In order to do this, I offer potential recompositions of some of Ives's settings, which Johnson does not seek to do. Additionally, Johnson chooses to situate his listeners melodically—that is, he compares singular melodies with diatonic prototypes. I situate my listeners both melodically and harmonically at different points in my analyses. Additionally, I highlight both contrapuntal and temporal relationships between different lines of music, while Johnson does not.

Another way in which Johnson has influenced my work in this study is with his styles of notation. I often incorporate examples in a similar format to Johnson's side-by-side comparisons of an original melody and an Ivesian alteration of the same melody.⁹⁵ I find such notation to be very useful when attempting to demonstrate similarities and/or differences between an original melody and its alteration, or between a setting and its recomposition. Additionally, I draw on Johnson's bracketing of key areas and of intervals in the analysis chapters of this dissertation.

Johnson also incorporated historical and biographical contextualization throughout his essay. Though it is not the sole (or even the main) basis of his analytical methodology, Johnson drew on historical and biographical information to help explain various compositional devices of Ives, to provide situation and a potential motivation for some of Ives's behaviors, and in support of some of his analytical ideas. For example, in his essay Johnson employed historical and biographical information to help explain why Ives might have copiously borrowed from diatonic melodies, why he might have

⁹⁵ Johnson may have been influenced by Burkholder's similar style of notation in *All Made of Tunes*.

borrowed from so many hymns in particular, why Ives might have revised some of his songs, why Ives may have been inspired to write some of his songs, or as a justification for presenting his methodology for demonstrating “refracted diatonicism.”⁹⁶ Johnson’s favorable attitude towards historical and cultural situation, which I have experienced both through his writings and through personal interactions, has influenced my work on this dissertation. All of my analyses are contextualized with biographical and/or historical contextualizations as a means of explaining compositional devices, to situate Ives’s behaviors, and in support of my analytical ideas.

However, one way in which Johnson and I differ is in our analytical goals. Johnson primarily sought to provide a means of explaining a few of the compositional techniques that Ives incorporated in his music. For the most part, he did not offer interpretations of the works that he analyses, except within the context of literal text painting, though he did acknowledge that Ives’s borrowings can evoke associations and emotions in present-day listeners.⁹⁷ Instead, his goal was to combine “these analytical strategies [intervallic relationships, diatonic links, and refracted diatonicism] to describe essential features of their chromatic quotations.”⁹⁸ Johnson himself stated his goal: to “describe” Ives’s composition techniques of chromatic quotations. He did not seek to necessarily model present-day listener experiences or to employ musical borrowings as a source of analysis beyond straightforward text/musical relationships. Regardless, the

⁹⁶ Johnson, “Chromatic Quotations,” 236–53.

⁹⁷ For example, Johnson analyzes a widening of a melodic interval by Ives as “unexpected,” and states that it “adds fire to the ‘song of fervent prayer’ described in the corresponding text [of the song] as the melody soars high above the opening strain on these words.” See Johnson, 244–45. The quotation is from *ibid.*, 237.

⁹⁸ See *ibid.*, 257.

work of Johnson, Burkholder, and McDonald, have provided the groundwork for this study.

In the first part of Chapter 3 (“A Theory of Treatment of Dissonance in the Music of Charles Ives”), I situate Ives’s writings about dissonance with those of his contemporaries, including Arnold Schoenberg and Henry Cowell. In the next part of this chapter, I introduce what I call Ives’s “Democratic” web of associations, before presenting some methodologies for construing dissonant passages of Ives’s music in connection with tonal recompositions. Finally, I describe some of the premises that underlie my work, as well as a few salient analytical goals.

Chapter 3: A Theory of Treatment of Dissonance in the Music of Ives

"For instance, in picturing the excitement, sounds and songs across the field and grandstand, you could not do it with a nice fugue in C."

—Charles Ives, Memos¹

3.0 Introduction

I began Chapter 1 by asking some of the questions that this dissertation seeks to answer about Ives's dissonantly set musical borrowings: what might these have meant to Ives? What are their larger historical, cultural, and/or biographical significances? How do present-day listeners experience them? How can they suggest or be used as a fruitful basis of analysis? And how might present-day listeners interpret them? Chapter 3 begins to pose possible responses to these questions by examining the concept of "dissonance" in relation to Ives and outlining some methodological premises and goals. First, I explore how I use the term "dissonance" in relation to Ives's music (in section "3.1 Dissonance and Ives"). For the most part, I limit my focus to musical structures that are "dissonant" relative to the conventions of "consonance" within tonal music. This is likely close to the conception that Ives might have had of "dissonance" as well, as I show with excerpts from Ives's writings. Next, I situate the construct of dissonance within some beliefs held by Ives's contemporaries, both in Europe (in section "3.2 Contextualization: Dissonance and Schoenberg") and the United States (discussed in section "3.3 Contextualization: Dissonance and Cowell").

I continue by exploring the relationships between Ives's music and democratic principles (in section "3.4 'Democratic' Dissonances"). In this section, I hypothesize that Ives sometimes associated dissonance with strength and freedom from rule following.

¹ Ives, *Memos*, 40.

Additionally, this association also had a political dimension, as dissonant musical structures were sometimes associated with democratic principles (explored more thoroughly in Chapter 4).² I also briefly outline Ives's associations between the rules of consonance and tonal harmony with weakness, traditional musical practices, "German" rules, and the reign of Kaiser Wilhelm II, and relate the constructive and non-constructive attributes that Ives often described in conjunction with these associations.

In the following section I present some analytical methodologies (in "3.5 Methodologies"), which aid the production of my analytical observations in the remainder of this dissertation. These methodologies show how dissonantly set borrowings can be understood by comparing these borrowings and their settings with tonal recompositions that can be derived in a variety of ways. This results in a plurality of hearings depending on how a listener chooses to orient their hearing, and these hearings can produce different readings and interpretations. I conclude Chapter 3 by explicitly describing several assumptions that underlie these methodologies (in "3.6 Premises"), before closing with an explanation of both the analytical goals of this work and what I hope to achieve from my analyses (in "3.7 Analytical Goals and Significance").

3.1 Dissonance and Ives

I have not yet directly addressed how I consider the term "dissonance" in this dissertation. Indeed, "dissonance" could be defined from a variety of different perspectives: philosophical, perceptual, historical, energetic, or scientific, to name a few. I define and apply the concept of dissonance relative to the concept of "consonance"

² See footnote 24 of Chapter 1 or the glossary for a description of how I utilize the term "democracy" in this study.

within tonal music. That is, the term “dissonance” is defined perceptually and relatively within the confines of tonal, common practice music, and in relation to what is considered “consonant” in such music in present-day music theory.

Other recent studies, such as the following by Arnold Whittall, echo this perspective.³

The quality inherent in an interval or chord which, in a traditional tonal or modal context, seems satisfactorily complete and stable in itself. In traditional contrapuntal and harmonic theory, consonant intervals comprise all perfect intervals (including the octave) and all major and minor 3rds and 6ths, but what constitutes a consonant sonority is not strictly laid down and has varied over time.

In other words, Whittall defined consonance within a traditional tonal context as an interval or chord that “seems ... complete and stable.” In actuality, this definition combines both a perceptual and a historical component; perceptually, the chord or interval must “seem” to be stable to a listener—i.e., it is perceived as such either because of cultural upbringing, the science of acoustics, or both. Historically, Whittall recognized that what is considered “consonant” has “varied over time” and, presumably, by place and culture as well.

Whittall continued to define dissonance relative to consonance—i.e., as its “opposite.”⁴

The opposite of consonance is dissonance (or discord): the quality of tension inherent in an interval or chord which, in a traditional tonal or modal context, involves a clash between adjacent notes of the scale and creates the expectation of resolution on to consonance by conjunct motion, as when the 7th in a dominant 7th chord (in C major, the F, which is dissonant with the G) moves to a note within the consonant tonic major triad (E, in the case of C major). The term is ambiguous to the extent that

³ See *Grove Music Online*, s.v. “Consonance and Dissonance,” by Arnold Whittall, accessed December 27, 2015.

⁴ Ibid.

one chord held to demand resolution on to consonance, the diminished 7th ... is not strictly dissonant, since it contains no pitches a major or minor 2nd apart.

In this description, “dissonance” is also defined tonally—as a “clash between adjacent notes of the [tonal] scale” that “creates the expectation of resolution on to consonance by conjunct motion.” By Whittall’s own admission the term is “ambiguous” since there is no definitive ranking of the degree to which particular musical structures are “dissonant” in tonal music. Additionally, Whittall pointed out that his definition is not all encompassing. Indeed, according to Whittall some perceived “dissonant” musical structures, such as diminished seventh chords, do not feature a “clash” between adjacent notes.

Other recent studies such as a dissertation by David Smey reiterate a similar logic.⁵

Speaking generally, dissonance refers to the extent that a tone or combination of tones sounds relatively harsh, unpleasant, noise-like, unclear, or unstable. The term often means different things in different contexts—David Huron has identified thirteen distinct phenomena that might fall under this conceptual category. Consonance, on the other hand, seems to traditionally correspond to a subjective “pleasantness” and stability. For the bulk of the following discussion we will assume that consonance is defined simply as the absence of dissonance.

Like Whittall, Smey also defined dissonance as relative to consonance, calling consonance the “absence of dissonance.” Smey provided a variety of descriptions for the term, stating that listeners perceive dissonance as “relatively harsh, unpleasant, noise-like, unclear, or unstable.” However, he did not attempt to define the term beyond the description presented here, and did not include any specific historical qualifiers (though he did mention that context can influence what is considered dissonant).

⁵ David Smey, “A Derivation of the Tonal Hierarchy from Basic Perceptual Processes” (PhD diss., Graduate Center at the City University of New York, 2014): 36–7.

Whittall and Smey each present a fairly narrow definition of dissonance, one which would not include all of the ways in which I utilize the term “dissonance” in this dissertation. In my analytical chapters (5–7), I describe at least five different sorts of musical structures as “dissonant.”⁶

1. Melodic dissonances (e.g., embellishing tones).
2. Harmonic dissonances (e.g., dissonant notes within a chord that could be read as a tertian harmony).
3. Temporal dissonance (e.g., displacement dissonances, rhythmic “insertions,” meter changes).
4. Contrapuntal dissonance (i.e., compared to a tonal framework).
5. Bitonal passages (i.e., individual lines are consonant [compared to a tonal framework], but are dissonant when heard together).

Since the definitions presented by Whittall and Smey do not incorporate all of these possibilities (e.g., neither mention any sort of temporal properties), I have not adopted them directly.

My definition of “dissonance” also incorporates Ives’s associations with the term, some of which are described shortly (see also Appendix 1). After carefully studying Ives’s writings that mention the terms “dissonance” or “consonance” I have come to the conclusion that Ives does not use these terms consistently in his writings. My studies of

⁶ Though these are the dissonant musical structures that I discuss as “dissonant” in the present work, other music theorists have suggested that present-day music theorists utilize this term in various other (complicated) ways. For example, Blair Johnston has stated that “dissonance” is often understood by present-day music theorists to mean either a vertical combination of tones, one tone that is unstable in relation to another tone, one tone that is unstable in a context, a deviance in a contextual norm, or as a temporal disruption of a schema. Personal correspondence received from Blair Johnston, received on December 8, 2016.

his associations seem to indicate that Ives's understanding of "dissonance" was enormously broad, and applied to a wide variety of musical structures, including melodic, harmonic, temporal, contrapuntal, and bitonal. This conclusion is consistent with my previous list of musical structures to which I apply the term "dissonance" in this document.

My definition of "dissonance" is broad enough to incorporate all of these musical structures. Additionally, it is defined perceptually and relationally, and is described within the confines of tonal, common practice music and what is considered "consonant" in such music by present-day music theorists. I define dissonance and consonance in the following manner for the purpose of this work:

1. Consonance is a quality in an interval or chord that, in a traditional tonal context, is perceived as relatively stable. This stability is the result of its perceived independence from a need to resolve; i.e., a tonal listener would likely regard said interval or chord as a "less" tensional entity that does not seem to actively seek a more stable pitch or pitches.
2. Dissonance is a quality in an interval or chord that, in a traditional tonal context, is perceived as relatively unstable. This instability is the result of its perceived dependence on a need to resolve; i.e., a tonal listener would likely regard said interval or chord as a "more" tense entity that does seem to actively seek a more stable pitch or pitches.

To summarize: this definition of dissonance is relative to the concept of "consonance" within tonal music. In this dissertation, "dissonance" is defined both within the confines of tonal, common practice music, and in relation to what is considered "consonant" in

such music in present-day music theory. My definition is primarily perceptual and relational, and is based on the qualities of intervals or chords perceived by tonal listeners who are versed in what is considered “consonant” in present-day music theory.

A few examples of “dissonant” and “consonant” musical structures within the context of this definition are in order. An interval may be considered “consonant” in tonal music (major/minor tonality) if its quality is perfect (fourths sometimes excluded), or if its size is a third or a sixth. An interval is generally considered “dissonant” if its quality is augmented or diminished, or if its size is a second or a seventh. A second example can be found in tertian harmonies. In present-day music theory, a tertian chord containing three pitch classes may be considered “consonant” in tonal music if its quality is major or minor and it is not found in inversion. An augmented or diminished triad is considered “dissonant” relative to these consonant musical structures.

However, this definition, like those of Whittall and Smey, does not seek to provide an absolute means for ranking a degree of dissonance within musical structures. I believe that present-day music theorists would agree on some such rankings; for example, I believe that most theorists would agree that a dominant seventh chord in a Mozart symphony would be somewhat “dissonant” since a tonal listener would expect its chordal seventh to resolve. However, in comparison to a dissonant musical structure in twentieth-century music—such as a cluster chord—most present-day music theorists would agree that said dominant seventh chord is “less” dissonant. This sort of thinking may be useful in a clear-cut example such as this, but I do not wish to construct a hierarchy of dissonant musical structures in this dissertation.

I will now turn to two short examples from Ives's writings to demonstrate that Ives might have sometimes thought of "dissonance" in a fashion similar to the definition utilized in this study—i.e., as relative to the concept of "consonance" within tonal music and the musical structures that were considered "consonant" in such music by contemporaneous scholars, though Ives does not always mention "resolution" in his writings on dissonance. The purpose of this discussion is to show how this definition of dissonance is historically influenced. If Ives's definition of "dissonance" is similar to that used in this study, then my methodology that follows from this definition may be considered appropriate both for so-called "historical" and present-day listeners. In the paragraphs that follow, I will discuss a few examples of Ives's writings; however, an exhaustive discussion is outside of the scope of this dissertation. A reader interested in more examples than those provided may refer to incipits of most of Ives's references to dissonance and/or to dissonant musical structures in his writings, which I have organized in Appendix 1.

One example is from the *Memos*: "[I] would throw in 7ths on top of triads in [the right hand] and a sharp 4th [F[#]] against a Doh-Soh-Doh in the left hand ... this would give a dissonant tinge to the whole that the Musical Courier man was not quite used to, and to him it seemed unusual."⁷ In this excerpt, Ives described consonant, tonal musical structures including triads and the intervals of a perfect fifth and/or fourth ("Doh-Soh-Doh"). However, Ives also described a complication of these consonant musical structures, stating that they would gain a "dissonant tinge" by the addition of sevenths to the triads or a [#]4 above the bass "in the left hand." In this example Ives defined musical

⁷ Ives, *Memos*, 34.

structures with a “dissonant tinge” in relation to consonant tonal structures, similar to how dissonance is defined in this dissertation.

A second example is in order. A few pages later in the *Memos* Ives wrote the following:⁸

In this example, what started as boy’s play and in fun, gradually worked into something that had a serious side to it that opened up possibilities—and in ways sometimes valuable, as the ears got used to and acquainted with these various and many dissonant sound combinations. I remember distinctly after this habit became a matter of years, that going back to the usual consonant triads, chords, etc. something strong seemed more or less missing.

In this passage Ives contrasted “various and many dissonant sound combinations” as the opposite of “consonant triads, chords, etc.”—consonant products of tonality. It seems likely that Ives was thinking of specifically tonal musical structures because he had described a tonic triad with an added $\sharp\hat{2}$, $\hat{7}$, and/or $\sharp\hat{1}$ in the same passage just a few sentences earlier. In this example Ives again described “dissonant sound combinations” in relation to consonant, tonal recompositions, similar to how I approach dissonance in this study.

3.2 Contextualization: Dissonance and Schoenberg

European modernist composers such as Arnold Schoenberg, Anton Webern, Alban Berg, Igor Stravinsky, Béla Bartók, and Paul Hindemith, among others, all developed the relative independence of dissonant musical structures to a greater extent than their Romantic predecessors. I use the term “modernist” to denote a set of shared aesthetic sensibilities and musical characteristics that can frequently be found in the music of these composers in the first few decades of the twentieth century. Such musical

⁸ Ibid., 43.

characteristics include fragmentation, the use of unconventional and dissonant sonorities, an eschewing of tonality, an abstention from recognizable and traditional metric and rhythmic regularities and patterns, the addition of untraditional instruments and sound effects, the use of extended or abbreviated compositional forms, and innovative orchestral combinations.⁹ Aesthetic sensibilities include a break from conventional expectations about musical beauty, meaning, and musical expression, a penchant for empirical experimentation, an embracing of the new and innovative, and the desire to express intense personal emotions. Leon Botstein has described modernism as having “demanded the shattering of expectations, conventions, categories, boundaries, and limits,” and accurately portrayed modernism as a condemnatory response to “mass society and the expansion of the audience for music and culture as responsible for the decline in standards, the corruption of taste, and the encouragement of artistic mediocrity masquerading as the modern.”¹⁰

New and older conceptions of dissonance were central tenets of modernist music. European modernist composers strove to break from or extend tonal conventions and expectations of consonance, and did so by transforming tonally-conventional musical structures into dissonant ones. Although the writings of any of the aforementioned composers could potentially be used as a case study for modernist composers’ opinions on dissonant musical structures—and most mentioned dissonance treatment in their writings—Arnold Schoenberg will serve as an example for comparison. Schoenberg was

⁹ See *Grove Music Online*, s.v. “Modernism,” by Leon Botstein, accessed June 2, 2015, for more comprehensive lists of musical characteristics and aesthetic sensibilities of modernism.

¹⁰ Ibid.

a contemporary of Ives, also born in 1874, and Schoenberg and Ives both extensively considered how best to both advance and break from traditional tonal conventions.

For Schoenberg, dissonance was not the antithesis of consonance; instead, he viewed dissonance as having evolved and extended from consonance. In an essay from 1941 he wrote, “The ear had gradually become acquainted with a great number of dissonances and so had lost the features of their ‘sense-interrupting effect.’ One no longer expected preparations of Wagner’s dissonances or resolutions of Strauss’s discords ... and Reger’s more remote dissonances.”¹¹ To Schoenberg, dissonance was freed, or “emancipated” when utilized as a generative or structural construct, as he first wrote in the *Theory of Harmony* in 1911. Whittall has summarized Schoenberg’s views regarding this matter: “Everything in Schoenberg’s understanding of the evolution of music up to his own time, and his own work, encouraged him to follow those aspects of nineteenth-century Viennese theory that supported the right of each and every dissonance to an independent harmonic context.”¹² To Schoenberg, dissonance had a right to exist in present-day music, and to be liberated from traditional tonal conventions and rules. Additionally, dissonance was in and of itself an *extension* of tonality—a natural evolutionary byproduct of music itself.

Schoenberg’s writings illustrate one purpose of dissonance for modernist composers: dissonance could be used as a means of deliberately breaking with the past,

¹¹ Arnold Schoenberg, “Composition with Twelve Tones (1)” in *Style and Idea*, ed. Leonard Stein, trans. Leo Black (London: Faber and Faber, 1975), 216–17. Quotation is from p. 216.

¹² See Whittall’s essay, “Totality and the Emancipated Dissonance: Schoenberg and Stravinsky,” in *Models of Musical Analysis: Early Twentieth-Century Music*, ed. Jonathan Dunsby (Cambridge, MA: Blackwell Publishers, 1993), 1–19. Quotation is from p. 1.

and/or as a means of progressing towards the musical future. This purposeful rupture with the past results in inverting conventions and expectations of tonality. However, the break is not necessarily done for extramusical or expressive purposes; instead, it can simply be a manifestation of the modernist aesthetic, the desire to be liberated from or to extend tonal conventions and rules.

One example of this purpose of dissonance can be heard in Schoenberg's *Suite for Piano*, Op. 25, which is a serial work for solo piano written between 1921 and 1923. This well-known composition employs traditional forms from a Baroque instrumental suite, such as a gavotte, minuet and trio, and a gigue, linking the work with the formal conventions of traditional tonality.¹³ At the same time, the work breaks with the past by utilizing serial progressions instead of functionally tertian harmonies, and has what is perceived as a dissonant musical surface: i.e., intervals and chords that are not considered "consonant" within a tonal context. This break, however, can also be viewed as an extension of the past. For example, Whittall believed that the particular row forms Schoenberg utilized in the *Suite* functioned as an outgrowth of tonal principles. According to Whittall, "the choice of transpositions at the sixth semitone—the tritone—may seem the consequence of a desire to hint at 'tonic-dominant' relationships."¹⁴ By hinting at such a relationship, Schoenberg was both linking the work with tonal conventions of the past and was breaking with these conventions, advancing tonality in

¹³ Later in this chapter I discuss a tonal recomposition that Schoenberg made of a work by Handel. Schoenberg's approach to his tonal recomposition varies greatly from his approach to including tonal elements in Op. 25, as will be elaborated upon shortly.

¹⁴ Arnold Whittall, *Music Since the First World War* (London: Dent, 1977), 122.

the teleological sense in the process.¹⁵ I believe that other works by Schoenberg could be considered to exemplify other functions of dissonance previously described.¹⁶

As a modernist composer, Charles Ives's music shares many of the musical characteristics and aesthetic sensibilities of his modernist contemporaries, including Schoenberg. Although much of Ives's music is tonal, a substantial number of works eschew tonality and incorporate non-tonal, dissonant musical structures. It is clear from Ives's writings that he—like Schoenberg—was also attempting to break from conventional musical expectations, especially with regards to beauty, meaning, and musical expression. Additionally, Ives and Schoenberg both hoped to advance and develop tonal music by inventing new and dissonant musical structures to be utilized as future compositional possibilities. Like Schoenberg, dissonance served specific purposes to Ives, such as those previously considered.

3.3 Contextualization: Dissonance and Cowell

American Ultramodernist composers such as Carl Ruggles, Ruth Crawford, Charles Seeger, Lou Harrison, Leo Ornstein, Vivian Fine, and Henry Cowell, among others, also developed the relative independence of dissonant musical structures to a greater extent than their Romantic predecessors. The musical characteristics and aesthetic sensibilities of these American Ultramodernist composers were similar to those of their European modernist contemporaries. Historians do not usually consider Ives as part of

¹⁵ See also Burkholder, "Schoenberg the Reactionary," in *Schoenberg and His World*, ed. Walter Frisch (Princeton: Princeton University Press, 1999), 162–94.

¹⁶ For example, the dissonant musical structures in the *Das Buch der hängenden Gärten*, Op. 15 (1908–9) could be heard as evoking musical tension and instability, while several songs in *Pierrot Lunaire*, Op. 21 (1912), such as "Mondestrucken," could be heard—constructively or non-constructively—as examples of text-painting.

the Ultramodernist circle of composers, though he was in regular contact with many of its leaders and creators, including Henry Cowell, Leo Ornstein, and Charles Seeger.¹⁷

Additionally, Ives lived in the midst of the Ultramodernist movement, with regards to both date and location. American Ultramodernism is generally credited as evolving in the mid-1910s in New York City through the activities of Ornstein and his supporters.¹⁸

According to John D. Spilker, teleological innovation lay at the heart of the Ultramodernist movement.¹⁹

Around 1915 a number of intellectuals in America used the term “new” to differentiate developments in a variety of fields: “the new politics,” “the new woman,” “the new psychology,” “the new art,” and “the new theater.” However, there was more to modernism than the identification of something “new” as opposed to something “old.” The substance of modernism involved the recognition of the historical wave of progress and the desire to develop something that would represent the leading edge of that trajectory.

Like Schoenberg and their European counterparts, American Ultramodernists were attempting to break from conventional musical expectations, and also hoped to advance, develop, and evolve tonal music by inventing new musical structures. Additionally, dissonance was a central tenet in these evolutionary advancements, according to Spilker.²⁰

Dissonance played a central role in a number of modernist musical styles, but perhaps never more intentionally than in the specific compositional technique known as dissonant counterpoint, which displayed irreverent

¹⁷ Ives’s surviving correspondence attest to this. See Charles Ives, *Selected Correspondence of Charles Ives*, ed. Tom C. Owens, which preserves some of Ives’s correspondence with these composers.

¹⁸ See John D. Spilker, “‘Substituting a New Order’: Dissonant Counterpoint, Henry Cowell, and the Network of Ultra-modern Composers” (PhD diss., The Florida State University, 2010), 3.

¹⁹ Ibid., 2.

²⁰ Ibid., 3.

innovation by reversing the rules of traditional counterpoint in order to present a systematized theory of dissonance.

Though the writings of many Ultramodernist composers could be used as a case study for their opinions on dissonant musical structures, Henry Cowell will serve as an example for comparison. Though Cowell, born in 1897, was over twenty years Ives's junior, Ives and Cowell shared a decades-long friendship that began in 1927 when Cowell wrote to Ives in 1927 asking him to subscribe to his new publication *New Music*.²¹ Additionally, Cowell and Ives—like Schoenberg—extensively considered how to best advance and break from traditional tonal conventions in their writings. It is also known that Ives had access to Cowell's theoretical ideas, as he owned a copy of Cowell's music theory treatise *New Musical Resources*.²²

An examination of Cowell's concept of dissonant counterpoint will demonstrate the extent to which dissonance was a vital compositional resource for Cowell. It will also show his reliance on the past, and his view that new musical resources both grew and broke from traditional tonal music.²³

Let us, however, meet the question of what would result if we were frankly to shift the center of musical gravity from consonance, on the edge of which it has long been poised, to seeming dissonance, on the edge of

²¹ Rita H. Mead, "Cowell, Ives, and *New Music*," *The Musical Quarterly* 66, no. 4 (October 1980): 539–59. See especially p. 539.

²² According to Vivian Perlis's unpublished list of books that Ives owned which resided in his estate in West Redding, Connecticut. See MSS 14 Series No. XF Box No. 70 Folder No. 3, The Charles Ives Papers in the Irving S. Gilmore Music Library of Yale University. These papers mostly consist of handwritten notes on a pad of notebook paper, but they are numbered. The entry for *New Musical Resources* can be found on page 47B. Note that while Ives owned a copy of this book before he wrote his *Memos*, he could not have owned it prior to its publication date of 1930 (when he was composing the majority of his works). However, his expressions of ideas about dissonance in the *Memos* may have been influenced by Cowell and his book.

²³ Henry Cowell, *New Musical Resources*, ed. David Nicholls (New York: Cambridge University Press, 1996), 38–9.

which it now rests. The difference might not be, any more than in Bach's practice, a matter of numerical proportion between consonant and dissonant effects, but rather an essential dissonant basis, the consonance being felt to rely on dissonance for resolution. An examination in fact would reveal that all the rules of Bach would seem to have been reversed, not with the result of substituting chaos, but with that of substituting a new order.

This passage demonstrates how vital dissonance was to Cowell. In Cowell's dissonant counterpoint, dissonance takes the place of consonance as the central musical structure in a composition. All tonal contrapuntal expectations are reversed: dissonances take the place of consonances and resolve to consonances; first and last intervals are dissonant instead of consonant; consonant intervals are permitted, but are strictly governed as dissonant intervals are in strict species counterpoint.

However, Cowell did not seek to completely rupture from the past. In order to construct his dissonant counterpoint, Cowell drew on tonal contrapuntal rules derived from species counterpoint, specifically citing J. S. Bach in the process. Cowell was not seeking to completely break from the musical structures of Bach; instead, he sought to evolutionarily enhance them and make them more modern, by reversing listener expectations and contrapuntal rules. According to Cowell, such a reversal of expectations and rules would not result in "chaos" as one might hypothesize, but would instead result in a "new order" that is potentially as systematic and logical as the old one.

Ives's music shares many musical characteristics and aesthetic sensibilities with his Ultramodernist contemporaries, especially Cowell. Both composers relied heavily on dissonance to extend and break from past tonal conventions, utilizing dissonance for a specific purpose. Additionally, Cowell—like Ives, as shown in Section 3.1—defined dissonance within the context of consonance in tonal music, demonstrating how

important traditional tonal music was to the Ultramodernist movement. For Cowell's concept of dissonant counterpoint, tonal consonance provided the model against which this new compositional resource functioned. Indeed, dissonant counterpoint could not be understood as "dissonant" without a direct comparison to tonality's consonance.

3.4 "Democratic" Dissonances

Having defined how I use the term "dissonance," and having situated the construct of dissonance with Ives's European and American contemporaries, I will now turn to a main premise of this study. In the remaining chapters, I hypothesize that, to Ives, dissonance was evocative expressively and extramusically, and that the compositional makeup of his works reflects this aesthetic orientation. We have already seen a brief example of this in *Thanksgiving* in Chapter 1, in which we examined Ives's associations between dissonant musical structures, such as "uneven off-counterpoints," and constructive attributes of early American settlers. Additionally, we saw how an analyst could interpret Ives's written phrase "uneven off-counterpoints" in musical terms, by pairing Ives's written descriptions with his compositional practices in *Thanksgiving*.

Ives made a variety of associations with dissonance in his writings; as we saw in Chapter 1, careful study usually reveals a complex web of associations surrounding a compositional procedure. Before proceeding, it is important to mention that Ives associated dissonance and dissonant musical structures with a wide variety of people, places, things, concepts, qualities, and/or feelings. It is outside the scope of this dissertation to examine all—or even many—of these associations.²⁴ I am hoping to

²⁴ Some of these additional associations are discussed in Chapter 4.

engage with a few specific associations that have so far escaped scholarly engagement, though numerous other associations with dissonance still remain ripe for exploration.

First, I hypothesize that Ives sometimes associated dissonance with strength and freedom from musical rule-following, and that Ives sometimes associated the rules of consonance and tonal harmony with weakness and traditional musical practices. Second, Ives sometimes extended this association to particular means of political governing and the leaders or nations that exemplified these political systems. In other words, Ives sometimes associated dissonance with freedom and democratic principles, and consonance with “German rules” and the autocratic reign of Kaiser Wilhelm II. It is from these political associations that I have derived the name “Democratic” dissonances for certain dissonant musical structures in Ives’s music (discussed more thoroughly in Chapter 4). Finally, I believe these associations were valenced as either constructive or non-constructive for Ives. Ives’s associations with dissonant musical structures were often portrayed from a constructive viewpoint, while his associations with consonance and the rules of tonality were often portrayed from a non-constructive point of view.

This section is not meant to be exhaustive; instead, section 3.4 should be considered a short introduction to my ideas, the bulk of evidence of which I consider in Chapter 4. In Chapter 4, I outline Ives’s own associations with excerpts from Ives’s published writings, especially the *Memos*. Next, I further explore the political dimensions of this association with unpublished marginalia that line some of his musical sketches. I also contextualize these political dimensions with excerpts from some of Ives’s unpublished writings, such as his “List: Music and Democracy!” and consider why I refer to Ives’s web of associations as “Democratic.” Finally, I reconsider Ives’s training with

Horatio Parker, whose complicated relationship with Ives I reexamine, showing that Ives frequently associated Parker's teachings with the rules of consonant, tonal music theories of German scholars.

Ives could be referring to any number of published books, essays, and treatises that qualify as containing the "consonant, tonal theories of German scholars." This claim begs the question; to whom was Ives referring in his descriptions and associations of these so-called "German" theories and rules? I believe that, in general, Ives targeted the theories of scholars who lived in the German-speaking world (and Americans who taught and propagated such theories, such as Horatio Parker) from the mid- to late-nineteenth century. Ives often described such theories as exemplifying the "German rule book," and frequently disparaged them in his writings, mostly because they were conservative and old-fashioned.²⁵ Often, but not always, Ives associated the "German rule book" or "German rules" with inflexible, rule-driven professors (potentially both German and American).²⁶ Occasionally Ives was more specific, and referred to particular nineteenth-century German scholars.²⁷ For example, Ives described theories disseminated in Hermann von Helmholtz's *Lehre vonden Tonempfindungen* (*On the Sensations of Tone*)

²⁵ A few examples are in order. See Ives's *Memos* ("The first serious pieces quite away from the German rule book were ..."), 38; ("... the more I play music and think about it, the more certain I am that many teachers [mostly Germans] are gradually circumscribing a great art by these rules, rules, rules," found within an alleged quotation from Ives's father), 47–8; ("Parker had ideals that carried him higher than the popular but he was governed too much by the German rule,"), 49; (and a description of how Ives's symphonies do not conform to a "nice German recipe"), 94.

²⁶ For examples see Ives's *Memos*, 48, 49, 50, 67, and 70–1.

²⁷ Most of the theorists that Ives specifically named in his *Memos* were Germans who wrote essays in the mid- to late-nineteenth century. For example, see the *Memos* for references to Hermann von Helmholtz (1824–94) p. 48; Josef Rheinberger (1839–1901) p. 116; Solomon Jadassohn (1831–1901) p. 194; and Ernst Friedrich Richter (1808–79) p. 194.

in his *Memos*,²⁸ a treatise he owned and with which he was almost certainly familiar.²⁹

Despite sometimes naming specific theorists, Ives seemed to have associated the “rules” of consonant music with the more general nineteenth-century practices of teaching music theory in German (and subsequently American) conservatories.³⁰

In Chapters 5, 6, and 7 I interpret some examples of these so-called “Democratic” dissonances musically, by pairing Ives’s written descriptions with his compositional practices in a few different works. In Chapters 5 and 6 I look at some examples of

²⁸ Ives owned this book according to Vivian Perlis’s unpublished list of books that Ives owned which resided in his estate in West Redding, Connecticut. See MSS 14 Series No. XF Box No. 70 Folder No. 3, The Charles Ives Papers in the Irving S. Gilmore Music Library of Yale University. The entry for Helmholtz’s *On the Sensations of Tone* can be found on page 47B. Though Helmholtz was primarily a physician and a physicist, present-day music theorists consider his work to have been highly influential on subsequent musicologists and music theorists.

²⁹ We can be fairly sure of this for three reasons. First, Ives owned a copy of Helmholtz’s treatise (see prior footnote). Second, Ives referred to Helmholtz’s theories in his *Memos* (48 and 197). Third, Carol Baron has demonstrated that George Ives—Charles’s father—was very familiar with Helmholtz’s *Lehre von den Tonempfindungen*. Baron points out that many of George’s ideas found in his unpublished theory treatise were directly borrowed from Helmholtz and were likely disseminated to Charles as a child in music lessons. See Carol Baron, “George Ives’s Essay in Music Theory: An Introduction and Annotated Edition” *American Music* 10, no. 3 (Autumn, 1992), 239–88; see especially pp. 242–43.

³⁰ See Robert W. Wason, “*Musica Practica*: Music Theory as Pedagogy,” in *The Cambridge History of Western Music Theory*, ed. Thomas Christensen (New York: Cambridge University Press, 2002), 46–77. In his essay, Wason describes how nineteenth-century German music theory pedagogues responded to a growing middle-class market by publishing a multitude of textbooks aimed at a more general audience (books such as the *Allgemeine Musiklehre* [1839] by Adolph Bernhard Marx fall into this category). Additionally, German theory professors at institutions such as the Leipzig Conservatory and the University of Berlin were some of the first to develop courses specifically dedicated to music theory, and to teach from textbooks dedicated to the analysis of music; see pp. 63–4 for more details. Ives was almost certainly responding to the mass-market textbooks that were used at institutions such as the Leipzig Conservatory, as several of the music theorists he mentions by name in his *Memos*—including Richter and Jadassohn—taught at this school. Wason described such textbooks, which often contained lists of pedagogical/compositional “rules” to memorize, as “sober” and “mundane” (64).

“Democratic” dissonances in works composed in the midst of World War I, while in Chapter 7 I examine some examples of “Democratic” dissonances in works that were revised later in Ives’s life. In all three chapters I examine examples of Ives’s dissonantly set borrowings, comparing them with tonal recompositions that may be derived in a variety of different ways. In the next section, I describe several methodologies that support my analytical observations in these chapters.

3.5 Methodologies

Ives’s dissonantly set tonal musical borrowings can be understood by relating them and their settings with tonal recompositions that can be derived in a variety of ways. Often a listener can orient himself or herself with more than one tonal center, resulting in a plurality of hearings. An interpreter may produce different interesting readings and interpretations of these hearings, especially when their analytical observations are paired with Ives’s associations and historical and biographical contextualization.

We have seen examples of “tonal recomposition” in Chapter 1, when I recomposed the first four measures from *Thanksgiving* in relation to different tonal models or ways of hearing. In this chapter, I briefly demonstrated that a listener’s understanding and perception of these passages changed based upon their tonal orientation. However, this example from *Thanksgiving*, unlike the remainder of examples in this study, did not suggest a musical borrowing. The inclusion of musical borrowings in subsequent analyses both complicates and simplifies said analyses methodologically. It simplifies them because a listener who encounters a known musical borrowing naturally recalls the borrowing’s original tune, as Burkholder suggests in “A Simple Model for

Associative Musical Meaning” (discussed more thoroughly in Chapter 2).³¹ This recollection provides a likely set of relationships that listeners might construe between a borrowed melody and its original tune. A listener may recall the original harmonic setting of a borrowing, which may also suggest a model for Ives’s setting. However, the recognition of hearing tunes as musical borrowings complicates my analyses methodologically. One reason for this is because Ives often employs more than one borrowing at a time, obscuring what “melody” (or setting) a listener could orient himself or herself to.

When a listener encounters one of Ives’s dissonantly set borrowings, they have a choice with regard to how they orient their hearing: they could orient themselves either melodically or harmonically, and either with a musical borrowing or with a borrowing’s dissonant setting. They could, of course, orient themselves in more than one way as well, but I am presuming they will orient themselves in only one such way at a time. These choices are considered in the following table:

³¹ See Burkholder, “A Simple Model,” 78–80. A listener who is unfamiliar with a musical borrowing will not necessarily make such an association. However, just because a listener is unfamiliar with a borrowed melody does not necessarily mean that they will not recognize that such a tune is indeed borrowed. Additionally, a listener might not necessarily know a melody is borrowed, but could easily still recognize such a melody as tonal. However, this study presumes that listeners will recognize Ives’s musical borrowings, and will be familiar with their original melodies. Listeners who are not accustomed to Ives’s borrowings can familiarize themselves with them with the assistance of books such as Henderson’s *The Charles Ives Tunebook*, Sinclair’s *A Descriptive Catalogue*, or Burkholder’s *All Made of Tunes*.

	Borrowing	Setting
Melodically	Listeners orient melodically, with a musical borrowing and its original melody.	Listeners orient melodically, with a non-borrowed counter-melody in the work's setting.
Harmonically	Listeners orient harmonically, with the borrowing's original harmonic setting.	Listeners orient harmonically, with the setting's harmonies.

Table 3.1: Conception of four different listening strategies that listeners might employ in order to orient himself or herself in a passage with a dissonantly set musical borrowing.

This table should be read as intersecting vertical and horizontal rows and columns. In other words, a listener might orient himself or herself melodically or harmonically with a borrowing or with a work's setting.

When a present-day listener encounters a musical borrowing, they may choose to orient their listening by paying attention to the scale-degrees of a borrowed melody, and they may relate them to the scale-degrees of the borrowing's original tune, which they may recall on the spot. This is similar to the Johnson's process of "refracted diatonicism" explored in Chapter 2.³² Likewise, a present-day listener might also choose to orient their listening by paying attention to the scale degrees of a countermelody that is played concurrently with a musical borrowing, but which is not itself borrowed. A listener might possibly relate this countermelody's scale degrees with an imagined tonal recomposition, thought of on the spot or considered at a later time.

A present-day listener might also orient their listening to the harmonic setting of a borrowed melody and might relate this setting to a potential tonal recomposition recalled from the actual chord-progression that the original tune utilized. Likewise, a present-day listener might also orient their listening to the harmonies of a borrowing's actual setting,

³² Johnson, "Chromatic Quotations," 241.

a setting that by itself that does not necessarily reflect accurately the borrowing's original harmonies. A listener might then relate this harmonic setting with an imagined tonal recomposition, thought of on the spot or considered at a later time.

This process can be additionally complicated by the presence of multiple concurrent musical borrowings, multiple concurrent countermelodies, and multiple concurrent harmonic progressions, each of which may or may not imply one or more different tonal orientations. Present-day listeners could choose to understand passages as tonally derived from the key and scale-degrees of these different melodies or harmonic progressions, and may choose to recompose a work's harmonic settings or melodies to show their relationships to the tonal orientation or orientations implied by one or more of these melodies or harmonic settings. In other words, a listener is not obliged to limit himself or herself to just one orientation. Indeed, I encourage listeners to hear passages with dissonantly set musical borrowings from a variety of perspectives, and potentially from a variety of tonal orientations, as seen already in Chapter 1.

This methodology emerges from a tradition of scholars who have utilized tonal recompositions since as early as the mid-eighteenth century. Joel Lester has demonstrated that as early as 1755 music theorists such as Christoph Nichelmann created recompositions to demonstrate a “proper” means of tonal composition (as opposed to incorrect or “improper” means of composition).³³ In other words, theorists in the eighteenth century used recompositions for practical compositional purposes, in order to better instruct students.

³³ Joel Lester is discussing Nichelmann's *Die Melodie nach ihrem Wesen sowohl, als nach ihren Eigenschaften* (1755) in this excerpt. See Joel Lester, *Compositional Theory in the Eighteenth Century* (Cambridge: Harvard University Press, 1992), 218–21; the quotation is from p. 219.

Scholars who identified as Schenkerian analysts have continued the tradition of recomposition in the twentieth century.³⁴ Such scholars were still using recomposition for pedagogical purposes, but primarily for students of analysis instead of students of composition. One such scholar is William Rothstein. In his book *Phrase Rhythm in Tonal Music*, Rothstein sought to help listeners examine various techniques of phrase rhythm in common practice music.³⁵ Rothstein utilized recomposition multiple times throughout his book in order to demonstrate a phrase's construction, techniques of expansion, and formal components.³⁶

Other present-day analysts also used tonal recomposition in their work.³⁷ One such analyst is Kofi Agawu, who has recomposed several tonal works in his book *Music as Discourse: Semiotic Adventures in Romantic Music*.³⁸ Agawu recomposed small sections of compositions to demonstrate how particular choices made by composers

³⁴ Heinrich Schenker himself did not utilize recompositions himself. However, his elaborations of background and middleground structures could be considered recompositions in one sense of the word.

³⁵ One specific example is a recomposition by Rothstein of the beginning of the second movement of Haydn's Op. 20, No. 1. See William Rothstein, *Phrase Rhythm in Tonal Music* (New York: Schirmer Books, 1989), 144.

³⁶ A second example is found in the work of Frank Samarotto. In his essay "The *Urlinie*, Melodic Energies, and the Dynamics of Inner Form," Samarotto put forth possible foreground realizations—i.e., different recompositions—of a sketch by Schenker, in order to demonstrate the different amounts of "energy" such realizations can contain. See Frank Samarotto, "The *Urlinie*, Melodic Energies, and the Dynamics of Inner Form," unpublished paper presented at the 2014 joint meeting of the Society for Music Theory and the American Musicological Society in Milwaukee, Wisconsin. See the handout, p. 3 for some examples of this practice.

³⁷ Another scholar who frequently utilized tonal recompositions in his essays was Hans Keller. Keller referred to his recompositions as "functional analyses," and he often recomposed large sections of Classical-era works. For one example see Hans Keller, "Functional Analysis of Mozart's G Minor Quintet," *Music Analysis* 4, nos. 1–2 (March–June 1985): 73, 75–86, 88–94, which contains several extensive recompositions.

³⁸ Kofi Agawu, *Music as Discourse: Semiotic Adventures in Romantic Music* (New York: Oxford University Press, 2009).

might lead to the perception of specific expressive effects in listeners. For example, Agawu recomposed part of Mozart's Piano Sonata in D Major, K. 576, in order to demonstrate the great amount of "tension" in Mozart's version.³⁹ Agawu's recomposition served to show that it is Mozart's choice of register that contributes to the amount of tension felt by the listener.

Present-day scholars have also utilized recomposition in twentieth-century post-tonal repertoires. Scott Gleason's article "(Re)composition at the Edges of Radical Relativism" provides an example in which he recomposed the entirety of Schoenberg's Op. 15, No. 1 in order to demonstrate the impact that the analytical ideas of Benjamin Boretz might have for a listener.⁴⁰ Despite recomposing large portions of the song, however, Gleason did not attempt to relate Schoenberg's song to a tonal derivation; though he altered particular notes and rhythms, his recomposition should still be considered post-tonal.⁴¹

Joseph Straus, however, has considered relationships between numerous post-tonal works by early European modernist composers and tonal models in his book

³⁹ Ibid., 36–7.

⁴⁰ See pp. 199–203 of Scott Gleason's "(Re)composition at the Edges of Radical Relativism" *Perspectives of New Music* 43/44, no. 1 (Summer, 2005–Winter, 2006): 192–215. Gleason referred to Benjamin Boretz's *Meta Variations: Studies in the Foundations of Musical Thought* (Red Hook, NY: Open Space, [1969] 1995).

⁴¹ Steve Larson also recomposed a Schoenberg song in an article written prior to Gleason's, though he did seek to highlight tonal aspects of the song in his recomposition. According to Larson, his essay "employs principles derived from the theories of Heinrich Schenker to offer a way of hearing the second song of this cycle [*The Book of the Hanging Gardens*] as a piece that is 'tonal' in some important respects." See Larson, "A Tonal Model of an 'Atonal' Piece: Schoenberg's Opus 15, Number 2," in *Perspectives of New Music* 25, nos. 1/2 (Winter-Summer, 1987): 418–33. Quotation is from p. 418.

Remaking the Past: Musical Modernism and the Influence of the Tonal Tradition.⁴² In a chapter provocatively titled “Recompositions,” Straus convincingly demonstrated that many modernist composers modeled their post-tonal works on tonal compositions of the common practice era. In other words, Straus argued that the deliberate reworking of past music is itself a convention of early twentieth-century composers. I would argue that this is true of Ives as well as the European modernist composers that Straus cited in *Remaking the Past*.⁴³

One of Straus’s examples is from Schoenberg’s *Concerto for String Quartet*, the opening of which is modeled on the introduction of Handel’s *Concerto Grosso* Op. 6, No. 7.⁴⁴ Example 3.1 reproduces Straus’s example of the opening of the Handel concerto.

⁴² Joseph Straus, *Remaking the Past: Musical Modernism and the Influence of the Tonal Tradition* (Cambridge: Harvard University Press, 1990).

⁴³ Burkholder argued this as well in *Charles Ives and the Classical Tradition*, ed. Geoffrey Block and J. Peter Burkholder (New Haven: Yale University Press, 1996). Straus does not mention Ives in *Remaking the Past*.

⁴⁴ Straus, *Remaking the Past*, 48–54.

Largo (♩ = 44)

1. 2. Flöte
(2. auch kleine Flöte)

1. 2. Oboe

1. 2. Klarinette

1. 2. Fagott

1. 2. Horn

1. 2. Trompete

Posaune

Pauken

Glockenspiel

Xylophon

Große Trommel

Becken

Triangel

Klavier

Harfe

Largo (♩ = 44)

1. Solo - Geige

2. Solo - Geige

Solo - Bratsche

Solo - Violoncello

I. Geige

II. Geige

Bratsche

Violoncello

Kontrabaß

Harco

Example 3.2: Reproduction of Straus's example 3–2B, opening of Schoenberg's Concerto for String Quartet.⁴⁶ Copyright © 1933 (Renewed) by G. Schirmer, Inc. (ASCAP). International Copyright Secured. All rights reserved. Reprinted by permission.

⁴⁶ Ibid., 49. Image taken from Arnold Schoenberg, *Concerto for String Quartet and Orchestra* (New York: G. Schirmer, Inc., 1963).

Throughout his book Straus demonstrated aspects of the tonal tradition that appear in works of early modernists, including particular motives, forms (especially sonata form), and tertian harmonies. However, the goals of Straus's book are quite different from my own: drawing on the work of Harold Bloom, Straus claimed that modernist composers were influenced by tonal works of the past, and so exhibited anxieties, both of "style" and of "influence."⁴⁷ While I do attempt to demonstrate relationships between Ives's post-tonal works and the tonal tradition in this study, my goal is not to reveal such an anxiety. In other words, I do not wish to show that Ives was deliberately "misreading" tonal works, but rather that Ives was incorporating tonal musical borrowings in his compositions, and that he was dissonantly altering them and their settings for expressive purposes.

In this study I understand Ives's musical borrowings and/or their settings as "dissonant" because this music embodies tonal conventions. Consequently, I am able to relate such music with tonal recompositions that are derived either from a recalled borrowing's original tune and harmonic setting or that are invented on the spot with the assistance of knowledge of typical tonal practices. I also demonstrate that listeners can understand Ives's borrowings and/or their settings as "musical objects" about which they can converse and with which they can engage analytically. These so-called "musical objects" have the power to direct their hearing, and listeners can pay attention to these "musical objects" in different ways, creating the capacity for a dialogue between listener and borrowings. Understanding these borrowings as "dissonant" in this dialogic fashion allows for listeners to engage with and interpret them, but it also recognizes that Ives's

⁴⁷ Ibid., 133 provides a clear statement of this. See also Harold Bloom, *The Anxiety of Influence: A Theory of Poetry* (New York, Oxford University Press: 1997).

borrowings act with their own intentions. Borrowings that are “musical objects” have influence and power over a listener’s hearing and consequent readings.

I contextualize my interpretations by pairing them with and allowing them to grow from Ives’s associations and historical and biographical contextualization, explored primarily in Chapter 4. Such analysis, as we saw in Chapter 1, can result in significant outcomes. They can help a listener understand a work’s short- or long-term structure, they can increase a listener’s enjoyment of a piece, they can help guide a performance, and—most significantly in my opinion—they allow for nuanced readings.⁴⁸

3.6 Premises

In this study, I allow my interpretations to grow from Ives’s associations, which I further contextualize with biographical and historical information in Chapter 4. Indeed, it is Ives’s associations that provide one of the “interpretive frameworks” for this dissertation, as they beget the ideas not only for my analytical methodology, but also for many of my interpretive observations in Chapters 5 and 6. In using methods of recomposition to show potential ways of listening to Ives’s musical borrowings, I am making some important assumptions that I would like to explicitly consider in the following pages.

Marcia Citron articulately expressed some of the beliefs and assumptions that I share in this dissertation.⁴⁹

One [assumption of this essay] is the idea that music, like its sister art forms, grows out of a specific social context. It expresses in various ways fundamental assumptions about the culture in which it originates ... this

⁴⁸ We will see these outcomes in more detail in Chapters 5, 6, and 7.

⁴⁹ See Marcia J. Citron, *Gender and the Musical Canon* (New York: Cambridge University Press, 2000), 120–1.

indicates that meaning(s) imputed to a piece of music vary not only from one historical period to the next but within a given period, based on crucial factors such as gender, class, race, ethnicity, sexuality, and nationality. In addition, a receptor might or might not read in the same meanings or signs that a composer intended, consciously or not, in a composition. In fact, she or he probably will not, at least in their entirety, for one's understanding of a piece depends on one's present semiotic context and how it interprets the signs of the past. Nonetheless, it is generally useful to attempt to discover as much as possible about the aesthetic and social context surrounding the composition of the work and to mediate that with present culture. The strength of the present may be such, however, that one cannot really know the past; it is always inflected with the present and further tainted by the very process of examining it. If we are to study history, these are inescapable problems we have to live with. Recognizing them and accounting for them, however, go a long way towards lessening the difficulties. In any event, these assumptions on cultural embeddedness act to repudiate the notation of aesthetic autonomy in a piece of music.

In other words, compositions reflect a composer's particular cultural circumstances and values, and musical works can reproduce societal values and ideologies as Citron has suggested here. Additionally, music helps to construct related values and ideologies. However, it is also important to note that present-day analysts also have a voice, and the ability to create productive and original analyses in spite of any embedded societal values. An analyst may choose to highlight such values and ideologies, as I do in this study, but they are not obliged to do so.

My analyses and interpretations in Chapters 5 and 6 reflect these ideas. I believe that Ives's compositions reflect not only his values and ideologies, but also those of his milieu. My analyses reflect this assumption because they draw on Ives's associations as documented in his writings. I map these associations, beliefs, and values onto musical structures, opening hermeneutic windows that provide starting points for additional interpretation.

Additionally, I believe that any “meanings” listeners assign to a work will vary historically and culturally, as Citron also suggested. In other words, who the interpreter is matters: aspects of an interpreter such as their gender, class, race, ethnicity, sexuality, and nationality can all be reflected in their interpretations. Additionally, an interpreter might not read the same meanings into a work that a composer did (whether that composer was conscious or not of such meanings). Even an interpreter attempting to carefully reconstruct a composer’s meanings—such as myself—will be influenced by their milieu and their preconceived interpretive ideas.

I also believe is valuable to attempt to understand as much as possible about the context surrounding a composition and to “mediate that with present culture.” Though we can never know everything about the past—an “inescapable” problem that we simply must “live with,” according to Citron—we can still attempt to critically examine ourselves and our own means of analysis, which will help to “lessen the difficulties.” In this dissertation I attempt to reconstruct Ives’s associations, values, and beliefs. I also accept the limitations of this endeavor: it is impossible to do so completely. My interpretations will undoubtedly reflect not only my present culture, but also my own personal attributes, ideologies, values, beliefs, and goals.

Finally, my assumptions reflect the dualistic nature of this study, which is a blend of both historical and theoretical approaches and queries. I believe that works can be examined autonomously, without historical interpretation or contextualization, but such inquiries have never resonated with me to the same degree as those that take context into account.

3.7 Analytical Goals and Significance

This work aims to begin to answer a few important questions about Ives's compositional practices: how were his associations with dissonance significant and meaningful to him? And, how do Ives's treatments of dissonance and associations help present-day listeners think about, experience, and analyze his music with borrowings? My first and foremost goal is to examine, above all, questions of meaning in Ives's compositions that I feel have not been thoroughly developed in past scholarship. These questions of meaning, however, may prompt one to ask; whose meanings are being discussed? Am I reconstructing Ives's meanings, those of historical listeners, present-day listeners, or some combination?

I address meanings for a combination of all of these types of listeners. Ives himself is perhaps the foremost "historical" listener of Ives's music, as there were not many performances (and therefore audiences) of his works before he ceased to compose new music in the 1920s. In a particular sense, therefore, the central "historical" listener of Ives was Ives himself; no one else (except perhaps his immediate family) would have been regularly exposed to performances of his works. It is one of my goals, therefore, to attempt to reconstruct associations that Ives himself might have had with particular types of dissonances, and to hypothesize how these associations may have been internalized in his music.

I also address the listening experiences of present-day listeners. In my analysis chapters I offer modes of listening that focus on what can be gained from purposefully hearing dissonant passages in new and constructive ways. Such ways of listening have many advantages. They closely engage with difficult musical surfaces, opening a

listener's ears to new and different hearings. They are historically contextualized, and present a mode of hearing that Ives himself may have employed. Finally, they allow for nuanced, historically contextualized interpretations of Ives's works.

Above all, my goal is to increase the listening experience and enjoyment of Ives's music for scholars, students, musicians, and non-musicians alike. My analyses engage with "difficult" musical surfaces in passages with which analysts have, for the most part, not attempted to engage previously. When present-day listeners can hear such passages constructively, however, new interpretive analytical undertakings can take place; even non-trained listeners are more likely to enjoy these "difficult" passages, to listen to them, to want to perform them, and to teach them. Ultimately, the goal of this dissertation is to facilitate an interest in Ives's music, and to encourage more listening, more performances, and more classroom experiences with the music that I most enjoy.

In Chapter 4, I historically contextualize Ives's web of what I have termed "Democratic" associations (Ives's uses of so-called "Democratically" dissonant musical structures in his compositions are discussed more fully in Chapters 5, 6, and 7). In Chapter 4, I detail Ives's written associations between dissonance, strength, and freedom from musical rule-following, and between consonance, weakness, and the rules of outdated musical practices. I also show that Ives sometimes extended these associations to particular means of political governing, the leaders and nations that exemplified these political systems, and certain political acts. Finally, I situate Ives's "Democratic" web of associations within a larger biographical and historical context, reexamining Ives's relationship with his music professor Horatio Parker.

Chapter 4

The Interpretive Context of World War I and “Democratic” Dissonances

*Now there is one thing for Americans in these United States to get up and do if we are
MEN with the strength and courage of most of our forefathers ... to help defend
Humanity from having to live or die in a world too much disgraced by medieval slavery*
—Charles Ives, *Essays Before a Sonata*¹

4.0 Introduction

Charles Ives idiosyncratically associated many of his compositions with particular subjects and programs. Ives recorded these associations in his *Memos*, a collection of autobiographical writings written between 1931 and 1934; his *Essays Before a Sonata*, written in 1919 to accompany and explain the *Concord Sonata*; and in other writings that range in date, scope, and purpose.² One well-known example is found in a short note that Ives wrote in the 1930s to prelude a published version of *The Unanswered Question*. This note details Ives’s personal programmatic associations of the work.³

The strings play *ppp* throughout with no change in tempo. They are to represent ‘The Silence of the Druids—Who Know, See, and Hear Nothing.’ The trumpet intones ‘The Perennial Question of Existence,’ and states it in the same tone of voice each time. But the hunt for ‘The Invisible Answer’ undertaken by the flutes and other human beings, becomes gradually more active, faster, and lower through an *animando* to *a con fuoco*. This part need not be played in the exact time position indicated. It is played in a somewhat of an impromptu way; if there be no conductor, one of the flute players may direct their playing. ‘The Fighting Answerers,’ as the time goes on, and after a ‘secret conference,’ seem to realize a futility, and begin to mock ‘The Question’—the strife is over for the moment. After they disappear, ‘The Question’ is asked for the last time, and ‘The Silences’ are heard beyond in ‘Undisturbed Solitude.’

¹ From Ives, “A People’s World Nation,” in *Essays Before a Sonata*, 229–30.

² See Ives, *Memos*, and Ives, *Essays Before a Sonata*. Refer to Chapter 2, Section 2.4 (“Primary Source Studies”) for a more thorough review of these sources.

³ Taken from a reprint of the note in Charles Ives, *The Unanswered Question for Trumpet, Flute Quartet, and Strings*, ed. Paul Echols and Noel Zahler (New York: Peer International, 1985), 10.

While *The Unanswered Question* may be narratively accessible to listeners unfamiliar with this program, as Matthew McDonald convincingly argued in several essays, the program that Ives provided is specific—so specific, in fact, that it is doubtful a listener unfamiliar with Ives’s note could glean its details simply from hearing the work.⁴ I do not deny that such a listener may imagine a musical question and various argumentative answers when hearing this work for the first time, especially given its programmatic title. However, I do not think that most people would be readily inclined to specifically associate the strings with “The Silence of the Druids,” for example, without first reading Ives’s comments. It is perhaps impossible to fully recognize Ives’s specific programmatic associations without reading his writings that detail them.⁵

Given that many of Ives’s specific musical associations, such as the one described above, are difficult to uncover without the careful study and interpretation of primary source materials, such as Ives’s writings, it is not surprising that some of these associations have received little scholarly attention. In this chapter, I describe one such network or “web” of associations—what I refer to as the “Democratic” web. I begin section 4.1 (“‘Democratic’: Ives’s Web of Associations”) by reconstructing Ives’s “Democratic” network of associations with excerpts from Ives’s published writings,

⁴ See Matthew McDonald, “Silent Narration? Elements of Narrative in Ives’s *The Unanswered Question*,” *19th-Century Music* 27, no. 3 (Spring 2004): 263–86, and “Ives and the Now.” McDonald believes that *The Unanswered Question* is a “piece whose foundational narrative impulses few would dispute” (McDonald 2004, 286).

⁵ There are numerous other examples of very specific programmatic associations that Ives described in his published writings. For examples, see Ives’s writings detailing the four movements of the *Concord Sonata* (found throughout the *Essays Before a Sonata*), *A Yale-Princeton Football Game* (*Memos*, 61), *The Gong on the Hook and the Ladder* (*Memos*, 62), *Over the Pavements* (*Memos*, 62–3), *Tone Roads* (*Memos*, 63–4), *Violin Sonata No. 4* (*Memos*, 72), *Orchestral Set No. 1* (*Memos*, 83–8), *Halloween* (*Memos*, 90), *Orchestral Set No. 2* (*Memos*, 91–3), the *Holidays Symphony* (*Memos*, 96–106), and the *Universe Symphony* (106–8).

especially the *Memos*. First, I hypothesize that Ives sometimes associated dissonance with strength and freedom from musical rule-following, and that he likewise sometimes associated consonance and aspects of tonal harmony with weakness and the rules of traditional musical practices. Next I posit that these associations were valenced as either constructive or non-constructive for Ives.⁶ I argue that Ives sometimes extended these associations and their valences to particular means of political governing and the leaders or nations that exemplified these political systems in section 4.2 (“The Sneak-Thieving Kaiser”).⁷ In this section, I explore the political dimensions of this association with unpublished marginalia that line some of Ives’s musical sketches. Finally, I contextualize these political dimensions by reconsidering Ives’s training with Horatio Parker (in section “4.3 The German Rule Book”), whose complicated relationship with Ives I reexamine, showing that Ives frequently associated Parker’s teachings with the rules of consonant, tonal “German rules” or music theories, before offering a few conclusions in section 4.4 (“Conclusions”).

4.1 “Democratic”: Ives’s Web of Associations

In his writings both published and unpublished, Ives intermittently associated dissonance with strength and freedom from musical rule-following, and he likewise associated consonance and aspects of tonal harmony with weakness and the rules of

⁶ I have taken the verb “valence” from psychology. In this discipline, to valence means to characterize emotive states.

⁷ Please note that in my analytical chapters (5 and 6), I consider each work I analyze on a case-by-case basis. I do not mean to imply that every instance of a dissonant note in Ives’s compositions implies particular associations, either for Ives or for present-day listeners. One of the major points of the present chapter is that careful consideration of historical context is necessary for any interpretive study that seeks to include contextualization with Ives’s writings and associations.

outdated musical practices. These associations, which occasionally include a political dimension (discussed more thoroughly in section 4.2), form what I call Ives's "Democratic" web of associations, and they sometimes appear in conjunction with written descriptions of dissonant compositional procedures.⁸ I have already detailed a few excerpts from the *Memos* that reference this association previously, but I will describe several such instances of this association in more detail here. For a more comprehensive table of incipits of Ives's written comments that mention dissonance and consonance and their associations, see Appendix 1.

First I will describe a few of Ives's writings that associate dissonance (or dissonant compositional procedures, as defined in Chapter 3) with strength. One such passage we have already encountered in Chapter 1.⁹

The *Postlude* started with a C minor [major] chord with a D minor chord over it, together, and later major and minor chords together, a tone apart. This was to represent the sternness and strength and austerity of the Puritan character.

I would highlight that, in this passage, Ives described a specific association between superimposed harmonic constructions and the quality of strength. He also associated these dissonant harmonic constructions with related qualities of sternness and austerity, and with a particular group of people—the Puritans (though these associations are not as relevant to the present discussion). Table 4.1 summarizes the associations found in this brief excerpt.¹⁰

⁸ A more thorough discussion of why I call this web of associations "Democratic" appears in section 4.2.

⁹ Ives, *Memos*, 39.

¹⁰ See section 1.2 for a more thorough discussion of this passage.

Compositional Procedure and/or Musical Feature	Association(s)
“C minor [major] chord with a D minor chord over it” and other “major and minor chords together, a tone apart” [i.e., superimposed harmonic constructions]	Qualities: Strength, sternness, austerity Thing: Character People: Puritans

Table 4.1: One example of Ives’s written associations between dissonant superimposed harmonic constructions and strength.

In other passages of the *Memos* Ives used the quality of “strength” and the musical feature “dissonance” as virtually interchangeable, again associating the two. One example of this practice is found in a passage that described Ives’s alleged experiments with dissonance as a boy.¹¹

In this example, what started as boy’s play and in fun, gradually worked into something that had a serious side to it ... and in ways sometimes valuable, as the ears got used to and acquainted with these various and many dissonant sound combinations. I remember distinctly ... that going back to the usual consonant triads, chords, etc. *something strong* seemed more or less missing.

Table 4.2 summarizes the associations made with dissonance in this passage.

Compositional Procedure and/or Musical Feature	Association(s)
“Dissonant sound combinations”	Qualities: Strength, seriousness Thing: Value

Table 4.2: One example of Ives’s written associations between dissonant compositional procedures and strength.

In this passage Ives described how his ears became “used to ... many dissonant sound combinations” while still a child. However, when he returned to “consonant” musical features at a later time, including “triads” and “chords,” something “strong” seemed to him to be missing. By proximity to the “dissonant sound combinations” described in the

¹¹ Ibid., 43. Emphasis added.

previous sentence, the reader can infer that this “strong” compositional procedure was one of the aforementioned “dissonant sound combinations.” In other words, Ives used “something strong” as interchangeable with dissonance in this written excerpt.

Another example of this association is also found in the *Memos*. While describing the experience of listening to the music of Beethoven during an especially lengthy concert, Ives wrote the following: “I remember feeling towards Beethoven [that he is] a great man—but Oh for just one big strong chord not tied to any key.”¹² I interpret this “big strong chord not tied to any key” as a dissonant compositional procedure, based upon my definition of dissonance described in Chapter 3. There I linked consonance to tonal procedures, namely the presence of a clear tonal center. A reader can infer, therefore, that a chord “not tied to any key” is likely not tonal—hence it can be inferred to be a dissonance. Table 4.3 summarizes this association.

Compositional Procedure and/or Musical Feature	Association(s)
“Chord ... not tied to any key”	Qualities: Strong, big

Table 4.3: One example of Ives’s written associations between dissonant compositional procedures and strength.

In this passage, Ives again used the concept of “strength” as an interchangeable synonym for dissonance. A dissonant harmonic structure is referred to simply as a “big strong chord,” with “strong” and “big” aligning with “dissonant.” Again, his association between dissonance and strength is plain.

Table 4.4 summarizes Ives’s associations between dissonant compositional procedures and strength that were previously described in Tables 4.1, 4.2, and 4.3.

¹² Ibid., 44.

Compositional Procedure and/or Musical Feature	Association(s)
“C minor [major] chord with a D minor chord over it” and other “major and minor chords together, a tone apart”	Qualities: Strength, sternness, austerity Thing: Character People: Puritans
“Dissonant sound combinations”	Qualities: Strength, seriousness Thing: Value
“Chord ... not tied to any key”	Qualities: Strong, big

Table 4.4: A list of Ives’s associations between dissonant compositional procedures and strength, combined from Tables 4.1, 4.2, and 4.3.

Though by no means an exhaustive description of all of Ives’s associations between dissonant compositional procedures and the quality of strength, one can see that Ives’s associations between them were somewhat consistent. We have previously seen such consistency with Ives’s associations in Chapter 1.¹³

Ives’s writings also associate dissonance (or dissonant compositional procedures, as defined in Chapter 3) with freedom from rule-following of conventional tonal compositional procedures.¹⁴ One example of this association can be found in Ives’s description of the compositional makeup of “The Cage.”¹⁵

Technically this piece [*The Cage*] is but a study of how chords of 4ths and 5ths may throw melodies away from a set tonality. Technically the principal thing in this movement is to show that a song does not necessarily have to be in any one key to make musical sense.

Table 4.5 summarizes the associations in this passage.

¹³ Appendix 1 contains additional examples of this association in Ives’s writings.

¹⁴ Others have noted this association in Ives’s writings and compositional habits. For example, see Burkholder, “The Critique of Tonality in the Early Experimental Music of Charles Ives”: “all of Ives’s other [dissonant] experimental pieces ... grapple with ... changing one or more traditional rules” (219).

¹⁵ Ives, *Memos*, 55–6.

Compositional Procedure and/or Musical Feature	Association(s)
A song with “chords of 4ths and 5ths” not in “any one key”	Qualities: Song is “away from a set tonality” yet “make[s] musical sense”

Table 4.5: One example of Ives’s written associations between dissonant compositional procedures and freedom from musical rule-following.

In this excerpt, Ives described “dissonant harmonic constructions”—i.e., chords comprised of multiple harmonic fourths or fifths instead of thirds that are “away from a set tonality”—and he associated them with a freedom from the rules of traditional music. Typically, a tonal listener would expect a work to be predominantly in “any one key,” or to follow a large-scale harmonic plan that returned and concluded in its original tonic key area. In this excerpt of writing, Ives argued that his song, though “not necessarily in any one key,” could still “make musical sense,” and could presumably be understood and enjoyed by audience members. In other words, it was free from the “rules” of any “set tonality,” yet it was still musically logical and engaging.

A second similar example of Ives’s writings that associate dissonance with freedom from traditional musical rule-following is found in a passage that described Ives’s composition of the *Concord Sonata*. Similar to the previous excerpt, Ives associated dissonant compositional procedures with logic and making “musical sense.”¹⁶

Thus here the music naturally grows, or works naturally, to a wider use of the twelve tones we have on the piano, and from (ever in an aural kind of way) building chordal combinations which suggest or imply ... an aural progression which ... [is a] thing [of] musical sense.

Table 4.6 summarizes the associations found in this passage.

¹⁶ Ibid., 193–4.

Compositional Procedure and/or Musical Feature	Association(s)
“Wider use of the twelve tones” and “Chordal combinations”	Qualities: Sonata “works naturally” and still makes “musical sense”

Table 4.6: One example of Ives’s written associations between dissonant compositional procedures and freedom from musical rule-following.

In this excerpt, Ives described dissonant compositional procedures that included a “wider use of the twelve tones,” and he associated such “chordal combinations” with freedom from following traditional musical rules. Though it is not completely clear what Ives meant by a “wider use of the twelve tones,” one can infer that this statement refers to a dissonant compositional procedure; after all, tonal listeners would not expect chords comprised of a “wide” use of the “twelve tones.” Despite being dissonant, Ives stated that works that incorporate such harmonic constructions can still “work naturally” and “make musical sense.” In other words, such “aural progressions”—though dissonant and not participating in consonant, tonal rule-following—can still be perceived as logical and discernable.

Table 4.7 summarizes Ives’s associations between dissonant compositional procedures and freedom from traditional musical rule-following that were previously described in Tables 4.5 and 4.6.

Compositional Procedure and/or Musical Feature	Association(s)
A song with “chords of 4ths and 5ths” not in “any one key”	Qualities: Song is “away from a set tonality” yet “make[s] musical sense”
“Wider use of the twelve tones” and “Chordal combinations”	Qualities: Sonata “works naturally” and still makes “musical sense”

Table 4.7: A list of Ives’s associations between dissonant compositional procedures and freedom from musical rule-following, combined from Tables 4.5 and 4.6.

Though Table 4.7 is not a completely comprehensive list of Ives’s written associations

between dissonant compositional procedures and freedom from musical rule-following, one can see that, again, Ives's associations were somewhat consistent.¹⁷

In addition to his colorful written associations with dissonance, Ives frequently made associations with consonance and/or tonal harmony, especially in the *Memos*. One of these associations is between consonance and weakness. The following passage in the *Memos* related consonance to physical weakness.¹⁸

Consonance is a relative thing (just a nice name for a nice habit). It is a natural enough part of music, but not the whole, or only one. The simplest ratios, often called perfect consonances, have been used so long and so constantly that not only music, but musicians and audiences, have become more or less soft. If they hear anything but doh-me-soh or a near-cousin, they have to be carried out on a stretcher.

Table 4.8 summarizes the associations found in this passage.

Compositional Procedure and/or Musical Feature	Association(s)
"Consonance"	Qualities: Nice; a "natural" part of music, but not the "only one"
"Perfect consonances"	Qualities: Make "musicians and audiences" "soft"
"Anything but doh-me-soh" (i.e., a tonic triad)	Qualities: "Musicians and audiences ... have to be carried out on a stretcher"

Table 4.8: One example of Ives's written associations between consonance and weakness.

In this evocative passage, Ives described consonance (and perfect consonances) as a weakening force that effected musicians and audiences. This force makes musicians and audiences "soft," and if they are suddenly exposed to something other than consonant compositional procedures (described in this passage as a tonic triad) they become even weaker and metaphorically indisposed, and must be "carried out on a stretcher." Ives's

¹⁷ For additional examples of this association in Ives's writings, please see Appendix 1.

¹⁸ Ives, *Memos*, 42.

metaphor in this excerpt is quite suggestive; not only is consonance a “soft” or weakening force, but this weakness can be metaphorically dangerous when interrupted, incapacitating musicians and audiences to the point of needing an allegorical gurney.

A second example of one of Ives’s written associations between consonance and weakness is also found in the *Memos*. The following excerpt is taken from a passage describing the music critic James Henderson, who wrote for *The New York Times* and the *New York Sun*.¹⁹

His [Henderson’s] ears, for fifty years or so, have been massaged over and over and over again so nice by the same sweet, consonant, evenly repeated sequences and rhythms, and all the soft processes in an art 85 percent emasculated.

Table 4.9 summarizes the associations made in this passage:

Compositional Procedure and/or Musical Feature	Association(s)
“Consonant ... sequences”	Qualities: Soft, sweet, emasculated

Table 4.9: One example of Ives’s written associations between consonance and weakness.

In this rant against Henderson, who (according to Ives) has had his “ears ... massaged over and over and over again” for “fifty years” by “consonant” music, Ives described these “sweet, consonant” sounds as “soft,” similar to the previous description of consonance summarized in Table 4.8. Additionally, Ives adds another accusation that is somewhat frequently found in his writings: consonance “emasculates” music (and musicians and audiences), making them weaker in the process.²⁰

¹⁹ Ibid., 31. See Footnotes 2 and 3 on this page of the *Memos* for more information about Henderson.

²⁰ For more on Ives’s misogynistic language see Judith Tick, “Charles Ives and Gender Ideology,” in *Musicology and Difference*, ed. Ruth A. Solie (Berkeley: University of California Pres, 1993), 83–106. In her well-argued essay, Tick contextualizes Ives’s

Table 4.10 summarizes Ives's associations between consonant compositional procedures and weakness that were previously described in Tables 4.8 and 4.9.

Compositional Procedure and/or Musical Feature	Association(s)
"Consonance"	Qualities: Nice; a "natural" part of music, but not the "only one"
"Perfect consonances"	Qualities: Make "musicians and audiences" "soft"
"Anything but doh-me-soh" (i.e., a tonic triad)	Qualities: "Musicians and audiences ... have to be carried out on a stretcher"
"Consonant ... sequences"	Qualities: Soft, sweet, emasculated

Table 4.10: A list of Ives's associations between consonance and weakness, combined from Tables 4.8 and 4.9.

Again, it is evident that there was a consistency to Ives's associations. In his writings, Ives often associated consonant compositional procedures with weakness, usually described as a state of being "soft." Additionally, Ives frequently made other associations when discussing consonance and weakness. One of these is his connection between the interruption of a diet of consonance and a resultant metaphorical physical distress, while another is describing consonance as "emasculating" in some way (again relating consonance with what Ives considered a quality of weakness).

Finally, Ives also sometimes made written associations between tonality and the outdated rules of traditional musical practices. One such passage appears in the *Memos*, in which Ives rants about the confining nature of tonality.²¹

Of course all this leads back to whether a man's ear, mind, etc. is naturally willing or not naturally willing—rather whether he feels that the system as we know it, that of tonality, is a field too closely fenced in to be all it might be ... How thoroughly we [composers] learned the nice rules and

gender ideology and misogynistic language within American Victorian culture. Tick concluded that Ives attacked the European canon with his gendered discourse by emasculating its cultural patriarchy through effeminacy.

²¹ Ibid., 194.

obeyed them ... until one day, when a man becomes of age, the ear begins to sit up and think some for itself.

Table 4.11 summarizes the associations found in this passage:

Compositional Procedure and/or Musical Feature	Association(s)
“Tonality”	Qualities: Fenced in, with “nice rules”

Table 4.11: One example of Ives’s written associations between tonality and the outdated rules of traditional musical practices.

In this intriguing excerpt, Ives likened the “system” of “tonality” to a fenced-in field, evoking in his readers the image of containment. Ives specifically described the “nice rules” of tonality in this passage, stating that composers learned and obeyed these rules until they began to “think some” for themselves after reaching a requisite unstated age. By implying that tonality’s rules act as a metaphorical pen and that composers are the ones “fenced” by these rules, Ives suggested that modern music must work to free itself from these rules in the future. Though Ives doesn’t specifically mention consonance in this passage, a present-day reader can infer that he might have been thinking of consonant compositional procedures since similar associations (such as the next one examined here) incorporate mention of both consonance specifically and images of containment.

A similar metaphor is used earlier in the *Memos* in a passage describing Ives’s early experimentalism with quarter-tone musical structures, but in this excerpt Ives specifically mentions consonance. In this passage Ives associated consonance with the traditional rules of tonal musical practices, while describing consonance as a monopolistic tyrant in the process.²²

The even ratios [that produce consonances] have one thing that got them and has kept them in the limelight of humanity—and one thing that has

²² Ibid., 110. Emphasis is Ives’s.

kept the progress to wider and more uneven ratios [that produce dissonances] very slow ... consonance has had a monopolistic tyranny for this one principal reason:—it is *easy* for the ear and mind to use and know them—and the more uneven the ratio, the harder it is. The old fight of evolution—the one-syllable, soft-eared boys are still on too many boards, chairs, newspapers, and concert stages!

Table 4.12 summarizes the associations found in this passage:

Compositional Procedure and/or Musical Feature	Association(s)
“Consonance”	Qualities: Monopolistic, tyrannical, “easy” to know and use Thing: “Soft-eared boys”

Table 4.12: One example of Ives’s written associations between consonant compositional procedures and the traditional rules of tonal musical practices.

Again, in this passage Ives associated consonance with what he considered to be the outdated “easy” rules of traditional musical practices. Interestingly, Ives tinged this excerpt with a political dimension; not only does consonance hinder the “progress” of dissonance, but it has a “monopolistic” and tyrannical effect. Ives provided a reason for this “tyranny”—consonance is simply “easy” to use; hence, dissonance does not typically manifest in popular musical culture because such culture is controlled by “soft-eared boys” (another example of Ives’s association between consonance and weakness). We will see more of this political element in section 4.2.

Table 4.13 summarizes Ives’s associations between consonant compositional procedures, tonality, and the traditional rules of tonal musical practices that were previously described in Tables 4.11 and 4.12.

Compositional Procedure and/or Musical Feature	Association(s)
“Tonality”	Qualities: Fenced in, with “nice rules”
“Consonance”	Qualities: Monopolistic, tyrannical, “easy” to know and use Thing: “Soft-eared boys”

Table 4.13: A list of Ives’s associations between consonance, tonality, and the outdated rules of traditional musical practices, combined from Tables 4.11 and 4.12.

Again, a consistency to Ives’s associations is apparent. Ives frequently associated consonance with traditional musical “rules” and described consonance as a sort of domineering force, whether that force be a fence around a field or an authoritarian (presumably political) tyrant.²³

Table 4.14 summarizes Tables 4.4, 4.7, 4.10, and 4.13, depicting all of Ives’s associations discussed in Section 4.1.

²³ For additional examples of this association in Ives’s writings, please see Appendix 1.

Compositional Procedure and/or Musical Feature	Association(s)
“C minor [major] chord with a D minor chord over it” and other “major and minor chords together, a tone apart”	Qualities: Strength, sternness, austerity Thing: Character People: Puritans
“Dissonant sound combinations”	Qualities: Strength, seriousness Thing: Value
“Chord ... not tied to any key”	Qualities: Strong, big
A song with “chords of 4ths and 5ths” not in “any one key”	Qualities: Song is “away from a set tonality” yet “make[s] musical sense”
“Wider use of the twelve tones” and “Chordal combinations”	Qualities: Sonata “works naturally” and still makes “musical sense”
“Consonance”	Qualities: Nice; a “natural” part of music, but not the “only one”
“Perfect consonances”	Qualities: Make “musicians and audiences” “soft”
“Anything but doh-me-soh” (i.e., a tonic triad)	Qualities: “Musicians and audiences ... have to be carried out on a stretcher”
“Consonant ... sequences”	Qualities: Soft, sweet, emasculated
“Tonality”	Qualities: Fenced in, with “nice rules”
“Consonance”	Qualities: Monopolistic, tyrannical, “easy” to know and use Thing: “Soft-eared boys”

Table 4.14: Summary table for Section 4.1, combined from tables 4.4, 4.7, 4.10, and 4.13.

Table 4.14 not only serves to summarize Ives’s associations—it also shows that his associations were consistently valenced as either constructive or non-constructive. Ives’s associations with dissonant musical structures were often portrayed from a constructive viewpoint, while his associations with consonance and the rules of tonality were often portrayed from a non-constructive point of view. For example, Ives made associations between dissonance or dissonant compositional procedures and qualities that both Ives and a present-day reader would likely characterize as positive or constructive: strength, sternness, austerity, seriousness, value, largeness, and making sense. In contrast, he made associations between consonance or consonant compositional procedures, tonality, and qualities that both Ives and a present-day reader would likely characterize as negative or

non-constructive: soft, sweet, emasculated, fenced in, monopolistic, tyrannical, and easy. Ives consistently valenced his associations as constructive (dissonance) or non-constructive (consonance), both in the associations seen in table 4.14, and in additional writings, incipits of which can be found in Appendix 1.²⁴

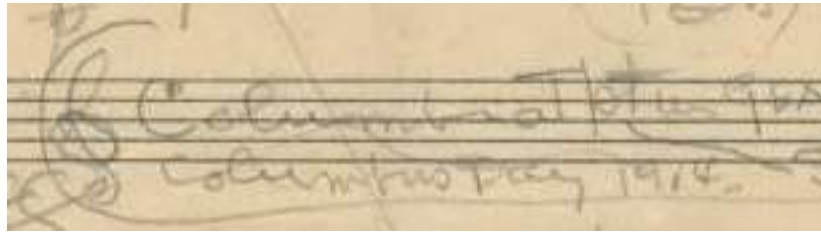
4.2 The Sneak-Thieving Kaiser

In section 4.1, I demonstrated that, in his writings, Ives often associated dissonance with strength and freedom from musical rule-following, and he likewise associated consonance and aspects of tonal harmony with weakness and the rules of outdated musical practices. In section 4.2, I demonstrate that Ives sometimes extended these associations with dissonance and consonance to particular means of political governing and the leaders or nations that exemplified these political systems. In this section I further explore the political dimensions of these associations with excerpts from unpublished marginalia, and Ives's unpublished "List: Music and Democracy!" I suggest that Ives sometimes associated consonance with specifically "German" rules and the autocratic reign of Kaiser Wilhelm II, and dissonance with freedom and physical attacks on the Kaiser and his autocratic reign. Additionally, it is from this political association that I have derived the name "Democratic" dissonances for certain dissonant musical structures in Ives's music, as will be discussed at the end of this section.

On Columbus Day, 1914 (Monday, October 12), an emotional turmoil which had been boiling inside Ives brewed over. That day Ives penciled out a score for a song which

²⁴ Again, Ives made a wide variety of associations with both consonance and dissonance, especially in association with other texts or programs. See footnote 5 of this chapter for more examples of this, or see *All Made of Tunes* 336–7.

remains unpublished, titled “Sneak Thief,” putting his feelings into words and notes, and riddling the manuscript with crude marginalia. Conveniently, Ives dated the work, scribbling “Columbus Day, 1914” onto the upper-left corner of its first page, as seen in Example 4.1.²⁵



Example 4.1: Ives’s dating of “Sneak Thief”: “Columbus Day, 1914.” This marginalia is found on the upper-left corner of f5755.

Though marginalia line many of Ives’s sketches, few are so coarse, profane, or impassioned, as we shall shortly see. What led to the genesis of this work and the obscenities that Ives appended to it?

Based on the date of composition, the contents of the manuscript, and Ives’s writings, we can conclude that reports of the German invasion, occupation, and “rape” of Belgium, almost certainly led to the composition of “Sneak Thief.”²⁶ Such reports were

²⁵ Found on f5755 in MSS 14, The Charles Ives Papers in the Irving S. Gilmore Music Library of Yale University. Reproduced by permission of The American Academy of Arts and Letters, copyright owner. Despite the controversy that remains over dating Ives’s music (see footnote 10 of chapter 2), I see no reason not to accept Ives’s dating of this manuscript. Given the content of the verbal tirades on the sketches, a later date simply does not make sense. The work is also dated 1914 in Sinclair, *A Descriptive Catalogue of the Music of Charles Ives*, 359.

²⁶ Others have come to a similar conclusion. For example, Glenn Watkins stated that “Sneak Thief” is “one of Ives’s most aggressive and dissonant songs and [is] a candid protest against Germany’s invasion of Belgium.” See Glenn Watkins, *Proof Through the Night: Music and the Great War* (Berkeley: University of California Press, 2002), 48.

prominent between August and November 1914, especially in October. In the 1940s, Ives described the time he first read of the invasion of Belgium.²⁷

One summer morning nearly thirty years ago, there probably came to millions of people a thought, as it came to one man [Ives himself] who remembers the clear, but sudden, picture of [in]humanity forced on the world, as when the first news of the Kaiser's hog-march through Belgium was read on that early morning train ... Before this there had been a general feeling that the world was now stronger and above these little medieval fusses—that the world now had grown to strong manhood and that sneak-thieving through Belgium was hardly more possible than if Connecticut had hog-marched through Rhode Island to get more fish.

In August 1914, German armed forces violated Belgium's neutrality (previously guaranteed by the Treaty of London in 1839), in order to outflank the French Army in eastern France.²⁸ Reports of German atrocities including stories of theft, rape, and murders, and the tales of refugees were plastered across the front pages of newspapers which Ives frequently read, such as *The New York Times*.

Some crude reports were able to provoke a highly charged and negatively valenced emotional response in readers. One example is "Tales of Vandalism in a German Diary," published in *The New York Times* on October 10. This account of the passage of German troops from Belgium into France, whether real or fictionalized, was reported as alleged fact two days before Ives likely wrote "Sneak Thief."²⁹

PARIS, Oct. 9—The Paris newspapers publish what they regard as the most serious indictment of German militarism yet presented.

²⁷ This is excerpted from an essay titled "A People's World Nation," found in *Essays Before a Sonata*, 230.

²⁸ For an introduction into the invasion, see Jeff Lipkes, *The German Army in Belgium August 1914* (Leuven: Leuven University Press, 2007) and Larry Zuckerman, *The Rape of Belgium: The Untold Story of World War I* (New York: New York University Press, 2004).

²⁹ Anonymous, "Tales of Vandalism in a German Diary," *The New York Times* (Oct. 10, 1914), 2.

This consists of the notations of a diary, which, it is stated, was found on the body of an officer of the One Hundred and Seventy-eighth Regiment of Saxon infantry. Some of the entries are as follows:

‘Aug. 17—I visited a château belonging to the secretary of the Belgian King. Our men behaved here literally like vandals. Everything was pellmell. Heaps of useless things were carried away for the pleasure of pillaging.’

‘Aug. 23 (Bouvines)—The spectacle of the corpses of the inhabitants baffles description. We pull the survivors out of all corners and shoot them en bloc—men, women, and children.’

‘Aug. 26 (Williers-en-Fagne)—The people having warned [the] French of the passages of our troops, we fired the village after shooting the priest and some inhabitants. After crossing the French frontier, we occupied Guidossus ... all the inhabitants were thrown into the flames ... At Leepes we killed two hundred inhabitants, among whom must be some innocent ...’

‘Beginning of September (Rethel)—Everything is in pieces. What vandals ... Our chiefs are responsible. They might have prevented the pillage and destruction.’

Many of the authors of these reports were poetic in their descriptions of human despair, and were highly skilled with an ability to evoke an emotional response in their readers through their prose. For example, on October 14, 1914, the following account of Belgian refugees fleeing from the German invasion, titled “Belgian Wanderers Near Starvation,” appeared on p. 2 of *The New York Times*.³⁰

LONDON, Wednesday, Oct. 14—The correspondent of the Daily News from near Bergen-op-Zoom sends the following:

The morning heavy mists are rising from the marsh and blotting out the tree trunks on the edge of the wood. The fitful flames of little camp fires throw a curious light on the haggard faces of the refugees who are crowding around to warm their bodies, the fires in which are running very low from absence of food.

³⁰ Anonymous, “Belgium Wanderers Near Starvation,” *The New York Times* (Oct. 14, 1914), 2.

It is but one of many such scenes here, down on the edge of the earthly hades from which these silent people were driven three days ago. You cannot escape them once you enter this vortex of human misery in which I have been caught.

No one wants to talk in the presence of so great grief. Words are an insult and an impertinence, so they are silently watching the little spiral of smoke that makes a brave fight to rise above the chilling mists ...

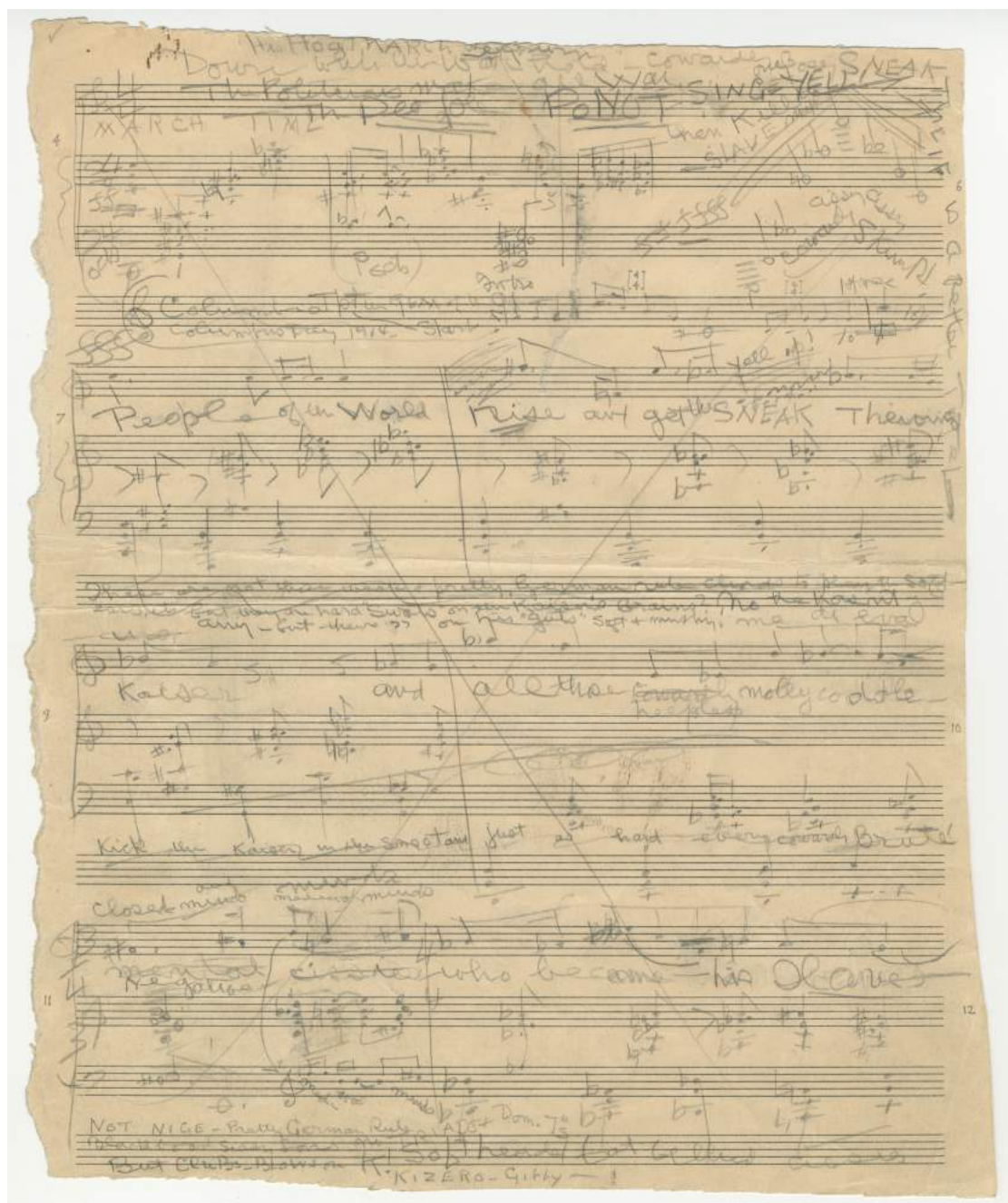
... All of yesterday a little privately organized party of good Samaritans were dashing about the countryside searching the woods and barns across the marshes for homeless and foodless wanderers. Nearly 10,000 thick meat sandwiches, which our party spent half Saturday night preparing, were given away to people, in many cases positively ravenous. Eager hands grabbed for food, women with children in their arms appealed loudly, from the edge of crowds old men and women almost crying for joy accepted the aid and showered upon us sufficient blessings to last the youngest for the remainder of his life ...

... Refugees are still coming. All along their route you will find their notes pinned on tree trunks by the roadside, each asking for lost members of a family, and telling which direction others have gone. Every wall is a mass of such despairing intelligence, and in towns and villages the lost search anxiously for any trace of friends ...

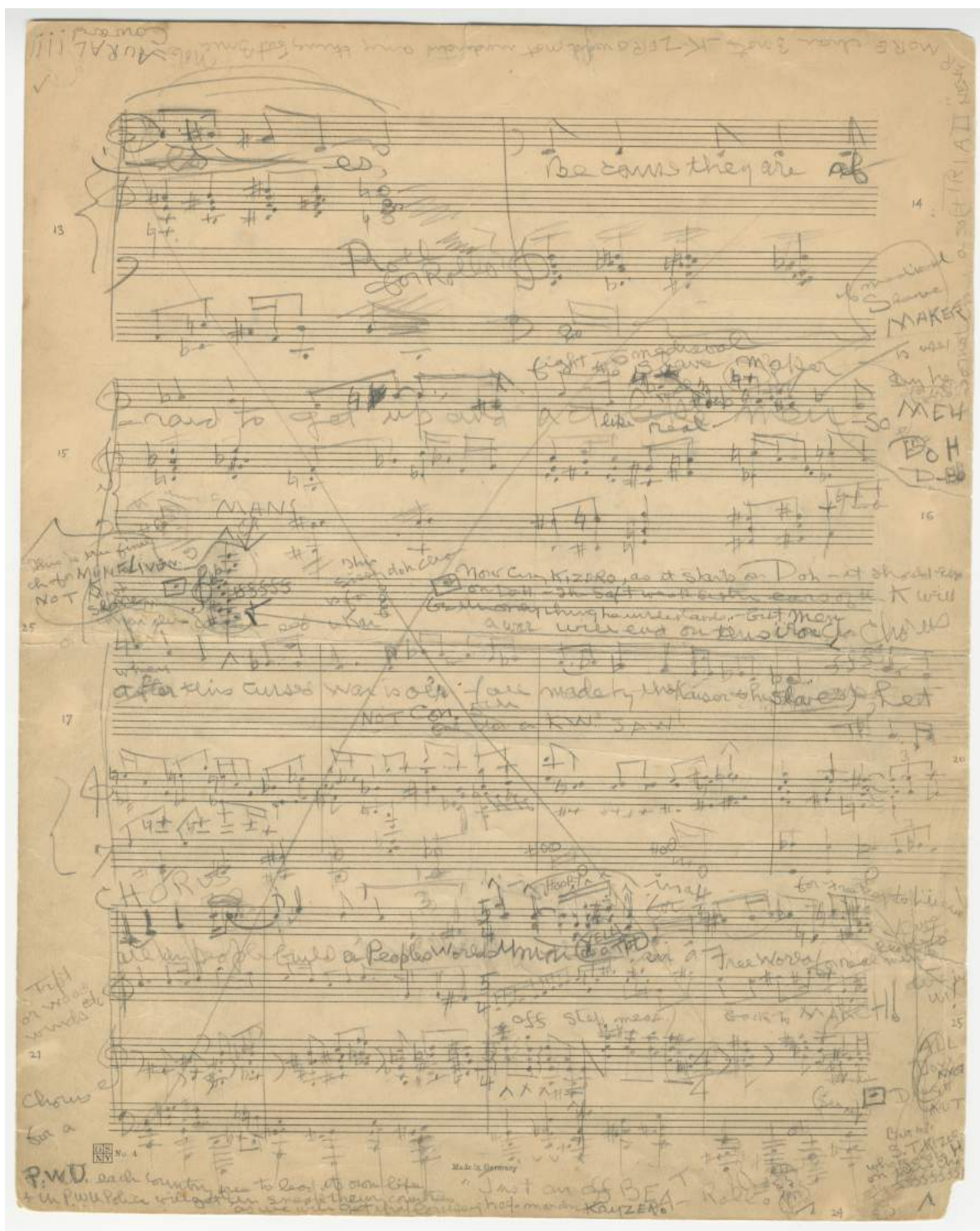
... It is seventeen hours since we started this morning and fifteen of them have been among the refugees. Through the heavy mist that is sweeping up the dyke men and women pass silently along like ghostly figures bent under heavy weights on their backs and even heavier loads on their hearts. It is like an interminable cinema of misery so ghostly so inhumanly and unreal that even as I watch it I find myself asking whether after all they are real people or restless wraiths of all the dead generations of Holland.

Though we cannot know for sure that Ives read these specific accounts, it is highly likely that he read something along these lines. *The New York Times* and other New York newspapers were brimming with such stories in the days surrounding the composition of “Sneak Thief.”

Example 4.2 shows the first and second pages of manuscript sketches of “Sneak Thief” (a transcribed score of this song will be provided in Chapter 5).³¹



³¹ Sketches are f5755 (first page) and f5756 (second page). These sketches can be accessed in MSS 14, The Charles Ives Papers in the Irving S. Gilmore Music Library of Yale University. Reproduced by permission of the American Academy of Arts and Letters, copyright owner.



Example 4.2: Manuscript sketches of "Sneak Thief" (ff5755 and 5756).

Tables 4.15a (from p. 1 of the song, f5755) and 4.15b (from p. 2 of the song, f5756) present my transcriptions of the most pertinent marginalia found on the sketches of “Sneak Thief.”³²

Marginalia on p. 1 of “Sneak Thief”
Top of page: “Down with the war hold—cowardly one bossy SNEAK THIEF is a better Titel [sic] The Politicians make all WAR The <u>people</u> <u>Do NOT</u> SING = YELL! Then Kill the SLAVE maker”
Middle of page: “These are not those weak + pretty German rule chords to please the soft ears, etc. but they are hard ‘swats’ on the Kaiser’s brains? No he hasn’t any—but they’re “” [swats] on his ‘guts’ soft + mushy!”
Bottom of page: “NOT NICE- Pretty German Rule Blackboard sissy songs no TRIADS + Dom. 7ths But CluBs-Blows on K[aiser]! Soft headed bat bellied cissy Kizero”

Table 4.15a: Marginalia on p. 1 (f5755) of “Sneak Thief.” Ives’s errors in spelling, grammar, and punctuation have been left as they appear in the original manuscript.

³² Some present-day readers may think that Ives was writing in jest due to the extreme nature of these marginalia. While there certainly are humorous aspects of these marginalia that suggest Ives was making fun of the Kaiser, I also believe that Ives was truly distressed and worried about the situation in Belgium. As previously shown, Ives was likely reading horrifying newspaper accounts of the atrocities at the time, accounts which were both disturbing and likely to provoke emotional responses in readers.

Marginalia on p. 2 of “Sneak Thief”
Top of page: “Sometimes a soft ‘TRIAD’ NEVER MORE than 3 notes—KZERO would not understand any thing [sic] but 3 nice Notes = AURAL COWARD!!!!”
Top of page, right: “if medieval Slave MAKER is used to sing her[e] [picture of a person singing] —SO MEH DoH D B♭ [picture of what appears to be a face in the first capital D of DoH]”
Middle of page, left: “This is the final ch[ord] for MEN TO LIVE NOT K[aiser’s] Mush Slave [Chord from bottom: F♯ G B C♯ F A C D E♭ A♭ B E (first chord of m. 25)]” ³³
Middle of page, right: “This sissy doh chord is for Kai[ser] [Chord from bottom: C E G C (second chord of m. 25)] Now Cissy KIZERO, as it starts on Doh—it should end on DOH—the soft weak sissy ears of the K[aiser] will be the only thing he understands—but men[,] a war will end on this iron cho.[rd] [arrow pointing back to the first chord of m. 25 on the left side of the page]”
Middle of page, middle [below last two notes]: “ <u>NOT</u> Con.[sonant] 5 th but blow on KW’s [Kaiser Wilhem II’s] JAW!”
Bottom of page, left: “P.W.U. [People’s World Union] each country free to lead its own life + the P.W.U. Police will get the sneak thieving countries as we will get that lousiey [lousy] KayZERO” ³⁴

Table 4.15b [extends from prior page]: Marginalia on p. 2 (f5756) of “Sneak Thief.” Ives’s errors in spelling, grammar, and punctuation have been left as they appear in the original manuscript.

These marginalia that litter “Sneak Thief” provide a vital piece of primary source evidence for my hypotheses. First, these marginalia demonstrate ideas shown in section 4.1—that Ives often associated dissonance with strength and freedom from musical rule-

³³ This chord would be a complete aggregate if one of the B-naturals were flat. As it stands, it is one note shy, as B is doubled.

³⁴ The “People’s World Union” illustrated Ives’s plan for a future world order, the mention of which appears in several of his writings. The most descriptive can be found in “A People’s World Nation,” (Ives, *Essays Before a Sonata*, 228–31). Several phrases found in this essay are very similar to phrases found in the marginalia of “Sneak Thief.” For example, the following are excerpted from “A People’s World Nation”: “no more sneak-thieving by medieval-minded dictators” (228), “beaten on the jaw” (229), “if we are MEN with the strength and courage of ... our forefathers” (229), “medieval slavery” (229–30), “slave-making bosses” (230), “cowardly suspicious enemies, slaves of dictators” (230). In Ives’s mind, the “People’s World Union,” or “the United States of the World” (228), would allow “each country ... [to] be free to live its own native life, and the people [of these countries to be] free to work out for themselves their own problems...No country shall try by force to capture another country ... Each country will work out its own natural ways from the soil up to better things” (228).

following, and he likewise associated consonance and tonality with weakness and the rules of what he considered to be outdated traditional musical practices. Table 4.16 depicts Ives's associations with dissonance and strength and consonance/tonality and weakness.

Compositional Procedure and/or Musical Feature	Association(s)
German rule chords [i.e., consonant tertian harmonies]	Qualities: Weak, pretty, pleasing “soft” ears
Not German rule chords	Quality: Hard Thing: Swat
German Rule ... Songs	Quality: Sissy
No triads and dominant sevenths	Thing: Clubs Blows
Doh chord [CEGC]	Quality: Sissy
Starting and ending on Doh	Qualities: Soft, weak, sissy
Triads	Quality: Nice Thing: Coward
11-note cluster chord [Chord from bottom: F \sharp G B C \sharp F A C D E \flat A \flat B E]	Thing: Iron Quality: Will “end” the war
Not Consonant Fifths	Thing: Blow

Table 4.16: Ives's associations between dissonance and strength and consonance/tonality and weakness in the marginalia of “Sneak Thief.”

As seen in table 4.16, Ives made some fairly consistent associations between dissonant compositional procedures (non-tertian harmonies, cluster chords, non-consonant 5ths) and strength, described as “hard,” “iron,” “swats,” “clubs blows,” and “blows.” In these marginalia, Ives compared dissonance to strong physical attacks in the form of “swats” or “blows;” such attacks are so powerful, in fact, that Ives suggested they may even be capable of providing an “end” to the war. Likewise, Ives associated consonant and tonal compositional procedures (tertian harmonies, tonic triads, and starting and ending on a perceivable tonic) with weakness, described as “weak,” “pretty,” “sissy,” “nice,” and pleasing of “soft” ears of an “aural coward.” Such consonant compositional procedures are presumably not capable of the physical prowess of dissonance.

Table 4.17 shows that Ives also associated consonance/tonality and the rules of traditional musical practices, and dissonance with freedom from those rules.

Compositional Procedure and/or Musical Feature	Association(s)
“Weak + Pretty” [Tertian, consonant] chords	Thing: “German rule chords”
“Blackboard sissy songs” [Tertian, consonant]	Thing: “German Rule ... songs”
Triads and Dominant Seventh Chords	Thing (inferred): Not “rule ... songs”
11-note cluster chord [Chord from bottom: F \sharp G B C \sharp F A C D E \flat A \flat B E]	Thing: Iron Quality: Will “end” the war

Table 4.17: Ives’s associations with consonance/tonality and the rules of musical practices and dissonance and freedom from such rules in “Sneak Thief.”

For example, consonant tertian harmonies are described as “German rule chords” in “German rule songs,” associating consonant, tonal procedures with traditional musical rules. Additionally, Ives described a dissonant 11-note cluster chord as a chord that would “end” the war, presumably bringing about freedom—from war, and potentially from such musical rules. Similar associations with dissonance are implied. For example, if tertian harmonies are considered “rule” chords in “Sneak Thief,” a reader can infer that non-tertian, dissonant harmonies would not be expressive of such “rules.”

Second, it is clear that Ives’s associations in “Sneak Thief” were also valenced as constructive (for dissonant compositional procedures) or non-constructive (for consonant compositional procedures). Ives’s described dissonant compositional procedures as constructive forces, things or qualities; likewise, he described consonant compositional procedures as non-constructive forces, things, or qualities.

Third, Ives extended these associations in “Sneak Thief” with dissonance and consonance to particular means of political governing and the leaders or nations that

exemplified these political systems. Table 4.18 lists some of these associations found in the marginalia in ff5755 and 5756.

Compositional Procedure and/or Musical Feature	Association(s)
[Tertian, consonant] rule chords	Nation: Germany [“German”]
[Tertian, consonant] rule blackboard sissy songs	Nation: Germany [“German”]
Doh chord [CEGC]	Leader: Kaiser Wilhelm II [“Kai”]
Triads	Leader: Kaiser Wilhelm II [“KZERO”]
Starting and ending on “doh” [a perceivable tonic]	Leader: Kaiser Wilhelm II [“KIZERO”]
[Dissonant] Cluster chord [Chord from bottom: F \sharp G B C \sharp F A C D E \flat A \flat B E]	Governing: Men live by this chord, instead of the Kaiser’s “Mush Slave[s]” [“K”]
[Dissonant] Cluster chord [Chord from bottom: F \sharp G B C \sharp F A C D E \flat A \flat B E]	Political Act: A war will end on this chord
Non-consonant fifth	Political Act: Blow to Kaiser Wilhelm II [“KW”]
Non-tertian harmonies	Political Act: Swats or clubs blows on the Kaiser [“K”] [“Kaiser”] [“Kizero”]

Table 4.18: Some of Ives’s political associations found in the marginalia of “Sneak Thief.”

Table 4.18 demonstrates the large number of political associations found in the marginalia of “Sneak Thief,” which fall into several categories: those about particular means of governing, leaders and nations that exemplified these governmental systems, and particular political acts. As previously mentioned, Ives described an eleven-note dissonant cluster chord as associated with a particular means of governing. To Ives, “men live by” this dissonant chord, instead of the Kaiser and his “Slave[s].” Since this chord also served to mark the “end” the war in this song, a reader could infer that such a dissonant musical structure is aligned with a freer, more democratic means of governing—and that some consonant musical structures could be associated with less free, more autocratic means of governing.

As seen in Table 4.18, some of Ives's political associations in "Sneak Thief" extend to the leaders and nations that exemplified these governmental systems. Ives described tertian harmonies several times and specifically associated these consonant compositional procedures with "German" rules. Additionally, Ives associated these same tertian harmonic structures specifically with Kaiser Wilhelm II who led Germany into the "rape" of Belgium. Ives also made associations between the power of dissonant compositional procedures and political attacks in the form of physical assaults on the Kaiser. For example, non-consonant fifths serve as a "blow" to the Kaiser, and some non-tertian harmonies also act as "swats" or "clubs blows" against him. The text of the song, supports the idea that Ives wanted to free the world from the Kaiser's political influence:

Verse: People of the World rise and get the SNEAK Thieving Kaiser
and all those cowardly molly coddle closed-minded negative minds
who became his slaves,
Because they are afraid to get up and act like real men
So after this cursed war is o'er all made by the Kaiser and his slaves
HORRAY [sic] in a Free World for real men to live in!

Chorus: Let all the people build a People's World Union
HORRAY [sic] in a Free World for real men to live in!

In the text of the song, Ives also described his desire for the world to be free of the Kaiser's autocratic reign. The "People of the World" are encouraged to "rise" and "get" the "SNEAK Thieving Kaiser," so that a presumably democratic "Free World" can be created for "real men to live in!"

There is a parallel between Ives's more common associations in his writings—those that link consonance and musical rules and dissonance and freedom from those same musical rules—and his specific associations in "Sneak Thief" between consonance and the reign of Kaiser Wilhelm II. In his writings, Ives sometimes associated consonant

and conventional compositional procedures with oppressive regulation, whether that regulation was musical (i.e., composers blindly following the prescribed “German rules” of the nineteenth century) or political (i.e., Kaiser Wilhelm II’s tyrannical control of Germany). In other words, in “Sneak Thief” Ives described Kaiser Wilhelm II’s reign in a manner that is similar to how he described the control that “German” rules exercised as the dominant compositional aesthetic in the early twentieth century. Ives likened both of these types of regulation—musical and political—to consonant compositional procedures (which were usually likened themselves with conventional tonal procedure), again showing a potential consistency to his associations.

In summary, I have made three points regarding Ives’s associations in the marginalia of “Sneak Thief.” First, in these marginalia Ives associated dissonance with strength and freedom from musical rule-following, and he likewise associated consonance and aspects of tonal harmony with weakness and the rules of outdated musical practices. Second, Ives’s associations in “Sneak Thief” included either a constructive (with dissonance) or non-constructive (with consonance) valence. Third, in “Sneak Thief” Ives extended his associations with dissonance and consonance to particular means of political governing, the leaders and nations that exemplified these political systems, and certain political acts. In this song, Ives specifically associated consonant compositional procedures and Germany (or more precisely “German rules”) and Kaiser Wilhelm II. However, Ives also made associations between dissonant compositional procedures and a freedom from the Kaiser’s reign, complete with physical attacks on him. I would suggest, therefore, that in “Sneak Thief” Ives not only makes political associations with consonance and dissonance, but his associations have also

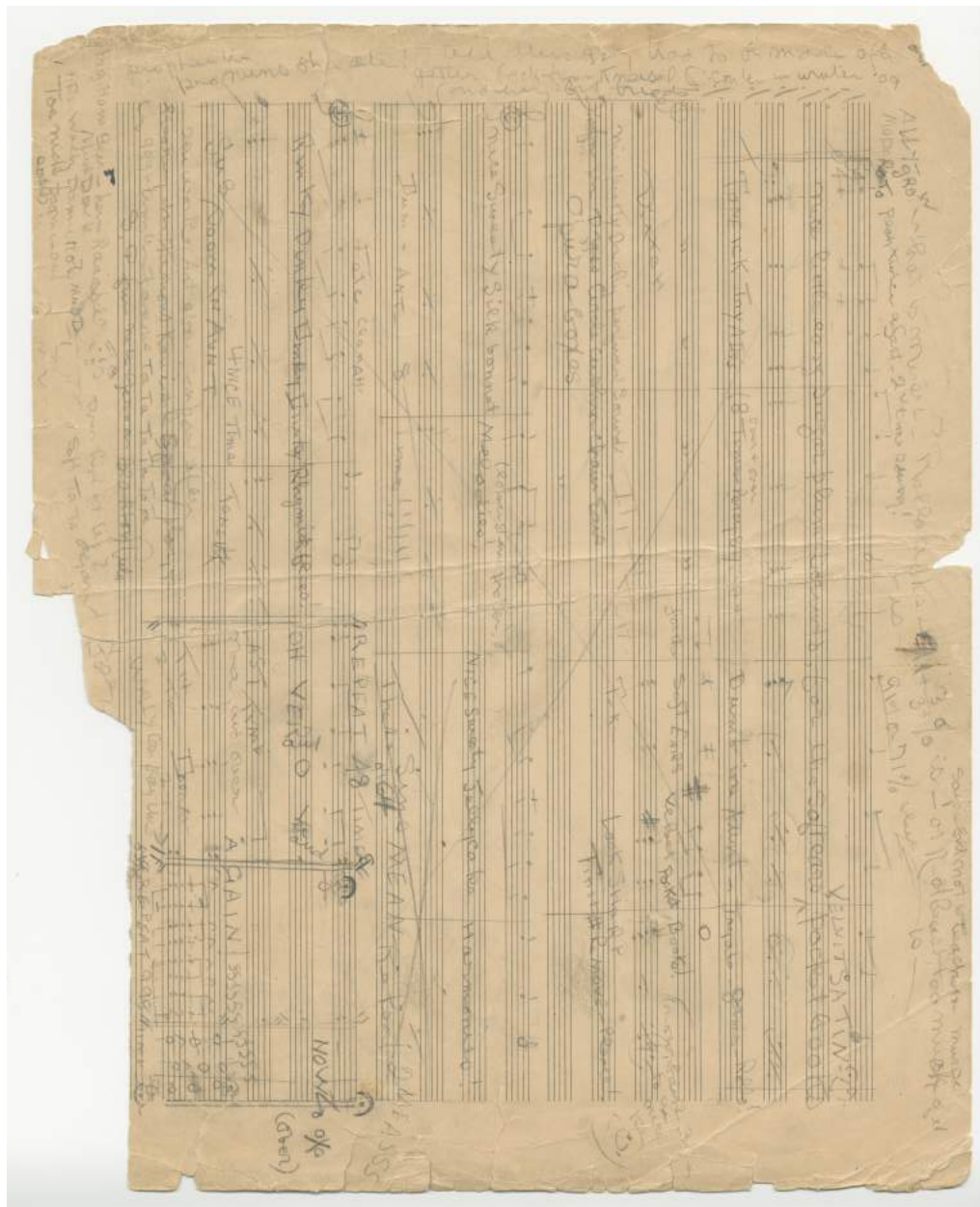
acquired an ethical component: dissonance is portrayed as liberating and honorable, while consonance is characterized as oppressive and untrustworthy.

We have already briefly seen that the political dimensions of these associations are not only limited to “Sneak Thief.” For example, Table 4.13 in section 4.1 demonstrated that Ives specifically described “consonance” as monopolistic and tyrannical in the *Memos*, supporting the idea that Ives associated consonance with both musical and political regulation. Ives used political metaphors to describe consonance’s control in documents other than “Sneak Thief,” again showing a consistency to these associations.

Some of Ives’s political associations are much better developed in his writings: specifically developed are his associations with tonal conventions specified in “German rule” books. Most of these associations seem to serve to separate Ives’s music from consonant, tonal music theories or musical practices of some German scholars and composers. In the pages that follow, I provide one additional example of Ives’s associations with consonance and dissonance and so-called “German rules.”

Another unpublished song, which Ives left untitled but is referred to as ““Take-Off” on *Surprise Symphony*” in Sinclair’s *Descriptive Catalogue*, demonstrates this association. The manuscript of this song can be seen in Example 4.3.³⁵

³⁵ Sinclair, *Descriptive Catalogue* (2012), 651. This page is f7457, which is found on the back of a page of the second movement of the *Orchestral Set No. 2*. This manuscript can be found in MSS 14, The Charles Ives Papers in the Irving S. Gilmore Music Library of Yale University. Reproduced by permission of the American Academy of Arts and Letters, copyright owner.



Example 4.3: Manuscript of “Take-Off on *Surprise Symphony*” (f7457).

Example 4.4 shows my transcription of this document:

All this G String had to be made after
getting back from Kinsel Q[uartet] concert in winter '09
(nothing but triads [6 repeat signs])

9[?] + 3/3% says--but not teaches--MusDoc!
91% or 71% or "" at least, too much of it!
what is

What is music? Rollo asks--is [arrow drawn to "sounds"]

ALLYgro MoDOROTO

Play twice as fast --2nd time sung!

VEL - VET SAT-IN [smiley face]

Nice lit-tle ea - sy su-gar plum sounds, for the soft ears' pock - et books

TONE ICK TRY AD'S over + over
(8 times Percy Boy Dumb in Aunt - Tryads 8 times Rollo!

5 Play twice as fast --2nd time sung!

Nice pret-ty Da - chy' perf-umed sounds for the soft Ears vel vet pock-et Books!

for the Dress Circle Cushion Chair Ears
" " Opera boxes Look SHARP
First # Remove--Please!

(now back
again to the
nice key
of C)

9 (lowest stem broken!)
nice swe ety silk - bon-net Mel - o- dies! NICE Swe-ety Jel-ly cake Har-mon ies!

Dum in ANT 8 Times!!!!!!

These Sigs MEAN RePeat 2 ME ASSS
or G4
REPEAT 48 TIMES

13

Rin-ky Din-ky Din-ky Din-ky Rhy - mick flees! OH VER and O Ver and

SuB DooM in AUNT 4 NICE Times TONEICK Tick 2 Times Doominant 2 Times

16 Repeat 998 Times

LAST TIME over and over AGAIN! fffffffffff

fffff Wally + Josey can play this

This work of Art above composed after
hearing the Famous Kanisel Quartet play for
the 999th time the famous Ta Ta Ta Ta Ta Ta
S.Q [String Quartet] for nice German Blackboard Rules

Prof. Hans Beerinheim Raaasch
Mush Duck
+Dr. Wally Damnrot MusDoc
Toenick Doom in ant
Soft D

[picture of a person
waving their arms]

Down left Rt Up
Soft Ta Ta

Example 4.4: My transcription of ““Take-Off” on *Surprise Symphony*.”

I have transcribed some of the associations that Ives made in the marginalia and lyrics of this song in Table 4.19.

Compositional Procedure and/or Musical Feature	Association(s)
“TONE ICK TRY AD’S” [Tonic triads] and “Dumb in Aunt- Tryads” [Dominant triads]	Qualities: Nice, little, easy, sugarplum, soft, pretty, perfumed, sweetly, repetitive [“over + over”]
Key of C	Quality: Nice
“German Blackboard Rules”	Nation: Germany

Table 4.19: Some of Ives’s associations in “Take-Off” on *Surprise Symphony*.”

According to Ives’s marginalia found on this manuscript, he composed this song in 1909 after a performance by one of the leading string quartet ensembles from the time—the Kneisel Quartet.³⁶ Franz Kneisel, who had previously immigrated to the United States from Germany, founded the quartet. Ives’s lyrics and marginalia in this song reinforce several of his associations that have already been discussed, such as the non-constructive association between tonic/dominant triads and both weakness and the rules of traditional musical practices. Additionally, Ives’s association has once again adopted a political dimension: consonance and musical rules are specifically associated as “German.”

I would also like to suggest that Ives may have occasionally associated dissonance with democracy, and consonance with non-democratic forms of governance such as autocracy.³⁷ I am not the first to suggest that Ives’s belief in and support of democracy extended to his writings and/or compositional procedures. One such essay that does this is “Efforts on Behalf of Democracy by Charles Ives and His Family: Their Religious

³⁶ The date of the composition is scrawled in the left-side margin of the sketch, potentially as an afterthought when the composition was finished. This date could have been written directly after the composition of the work, or it could have been written years later. For this reason, it is impossible to know if the “Take-Off” was written in 1909, as Ives suggested, or if it was written at a different date. The Kneisel Quartet was established in Boston from 1885–1917. Additionally, “Wally + Josey” likely refers to Walter Damrosch, conductor of the New York Symphony, and Josef Hofmann, a piano virtuoso, both of whom Ives attacked in the *Memos*.

³⁷ See footnote 24 of chapter 1 for more information on how I use “democracy” in this dissertation. A definition can also be found in my glossary.

Contexts,” by Carol Baron.³⁸ In this essay, Baron described Ives’s “lifelong goal” as “to advance the cause of a democracy responsive of all people,” and she claimed that his democratic “beliefs motivated his political essays *and* his music.”³⁹

Other scholars have made similar points. For example, in his essay “Charles Ives and the American Democratic Tradition,” Michael Broyles suggested that, “[d]emocracy and patriotism were at the core of Charles Ives’s work. His political views were a principal source of his creativity and inspired some of his most important compositions.”⁴⁰ Broyles also stated that Ives’s “political views cannot be separated from other aspects of his life. His prose writings, his business career, and his music must be examined as a unit.”⁴¹ Judith Tick seems to concur with Broyles and Baron in her essay “Charles Ives and the Politics of Direct Democracy.”⁴² Tick stated that Ives “produced both words and music about the ideals and values of direct democracy.”⁴³

We can be sure that Ives did associate some of his compositions with democracy specifically. As previously discussed in section 1.4, Ives constructed a list of his musical compositions sometime between 1935 and 1942 titled: “List: Music and Democracy!”⁴⁴ Table 4.20 lists the twenty-seven works named in this document.

³⁸ Carol K. Baron, “Efforts on Behalf of Democracy by Ives and His Family: Their Religious Contexts,” *The Musical Quarterly* 87, no. 1 (Spring 2004): 6–43.

³⁹ *Ibid.*, 6; *ibid.*, 32. Emphasis is the author’s.

⁴⁰ See Michael Broyles, “Charles Ives and the American Democratic Tradition,” in *Charles Ives and his World*, 118–60. Quotation is from p. 118.

⁴¹ *Ibid.*, 119.

⁴² See Judith Tick, “Charles Ives and the Politics of Direct Democracy,” in *Ives Studies*, 133–62.

⁴³ *Ibid.*, 135.

⁴⁴ See Sinclair, *Descriptive Catalogue*, 671, for more on the dating of this document. The list is a handwritten, unpublished memo on the front and back of a leaf, (ff2793–94 of MSS 14, The Charles Ives Papers in the Irving S. Gilmore Music Library of Yale University). It is subtitled: “in Re[sponse to] Music and Democracy!”

Works Found in “List: Music and Democracy!”
1. “The Majority”
2. “Election” from <i>Down with Politics</i>
3. <i>Decoration Day</i>
4. <i>Fourth of July</i>
5. <i>Thanksgiving</i>
6. Symphony No. 4, II and IV
7. Symphony No. 2, IV
8. Orchestral Set No. 1, I and II
9. <i>Anti-Abolitionist Riots</i>
10. “Lincoln”
11. “West London”
12. <i>Tone Roads</i>
13. <i>Gong on Hook & Ladder</i>
14. “The Indians”
15. String Quartet No. 2
16. “Antipodes”
17. “Aeschylus & Sophocles”
18. “Sluggin’ a Vampire”
19. “He is There”
20. “Paracelsus”
21. “Walt Whitman”
22. “New River”
23. <i>Rainbow</i>
24. “Night Thought Moon”
25. “Rough Wind”
26. Orchestral Set No. 2
27. “The Things Our Fathers Loved”

Table 4.20: Reproduction of the works found in “List: Music and Democracy!”

Considering the title of the list, I conclude with Ives scholar James Sinclair that it is difficult not to interpret this document as a “list of Ives’s musical works that relate, however obliquely, to the general subject of democracy in America.”⁴⁵

From this political association I have derived the name “Democratic” dissonances for Ives’s dissonant musical structures discussed in Chapters 5, 6, and 7 as well as for the “Democratic” web of associations described in this chapter. Though Ives never directly

⁴⁵ Ibid., 672.

related a particular musical structure to democracy (or autocracy), we have derived three pieces of information that may help to interpret Ives's music: first, that his music was often political in nature; second, that he associated some of his compositions specifically with democracy; and third, that in his writings he made political associations between consonance and autocratic leaders (Kaiser Wilhelm II) and nations (Germany), and between dissonance and freedom—both from musical rule following and political freedom by describing dissonant musical features as physical enactors of an attack on the Kaiser's autocratic reign. In section 4.3 I will further contextualize some of Ives's political associations by considering his thoughts and opinions on his early training with composer Horatio Parker.

4.3 The “German Rule Book”

As we have seen, Ives frequently made associations between some consonant compositional procedures and what he considered to be outdated “German rules” or theories of traditional music.⁴⁶ Before further situating these associations in section 4.3, I would like to clarify a few important points. First, as mentioned previously, Ives made associations of consonance and dissonance outside of those discussed in this dissertation, though some of these were briefly mentioned in sections 4.1 and 1.2. Again, I do not wish to discount Ives's other associations, but addressing every one of his associations with consonance and dissonance would be well outside the scope of this study. I have chosen to limit my discussion to a few of Ives's most common associations with consonance and dissonance, including strength/weakness, the rules or theories of traditional music and

⁴⁶ See section 3.4 for more information on what German theories or theorists Ives may have been referencing.

freedom from those rules, and the political dimensions sometimes found in conjunction with the first two associations.

Second, though Ives frequently associated consonance with “German” rules and though he ranted against Kaiser Wilhelm II of Germany in several writings, Ives was not against the German people, or against the nation of Germany as a whole.⁴⁷ In fact, during and after World War I, Ives may have perceived the German people themselves as under attack and as also suffering from the tyranny of Kaiser Wilhelm II.⁴⁸ I have shown in sections 3.4, 4.1, and 4.2 is that Ives sometimes associated consonant compositional procedures with the rules of outdated and traditional musical rules, theories, and practices. Though these rules were typically described as “German” in his writings, Ives was likely referring to Kaiser Wilhelm II and conservative German musical techniques rather than the German people themselves.

Ives’s associations between consonant compositional procedures and prescribed regulation were likely also influenced by his relationship with and the teachings of his influential music professor Horatio Parker. Ives frequently associated Parker with the rules of consonant, tonal music theories and “rules” of German scholars and musicians.⁴⁹ In *Charles Ives Reconsidered*, Gayle Sherwood Magee also reexamined this relationship. Ives probably completed all six music courses that were offered at Yale during the years

⁴⁷ See section 7.4 in chapter 7 for some of Ives’s writings that support this opinion.

⁴⁸ Personal correspondence with J. Peter Burkholder, received on October 10, 2015.

⁴⁹ See section 3.4 for a detailed description as to what “German” theories or scholars Ives may have been referencing in his writings.

he attended with Parker.⁵⁰ These courses were modeled on the curricula of German conservatories at the time, and were titled as follows: “Harmony,” “Counterpoint,” “Strict Composition,” “The History of Music,” “Instrumentation,” and “Free Composition.”⁵¹ As an undergraduate, Ives would not have been allowed to register for electives, such as Parker’s music courses, until his junior year, thus delaying his taking the most advanced course, “Free Composition,” because he would not have had the necessary prerequisites. Magee argued that “Free Composition” was a class vital to Ives’s compositional development, stating it “gave Ives the tools to become an accomplished composer,”⁵² and she suggested that Parker “deliberately broke the rules to advance Ives’s musical training,” so that Ives could take the course.⁵³ In order for this to happen, Parker had to grant Ives numerous favors, including allowing him to audit and attend the “Harmony” and “Music History” classes during his freshman and sophomore years. Parker probably went so far as to record his grade for “Free Composition” under another course number, since Ives did not officially have the prerequisites needed to sign up for the course during his senior year.⁵⁴

And yet, as Magee demonstrated, instead of Ives “acknowledg[ing] his mentor with gratitude ... Ives’s reminiscences of Parker ... range from somewhat critical to

⁵⁰ Gayle Sherwood Magee believes this is true, though his official college record does not show that he took every class. See *Charles Ives Reconsidered*, 47. Magee’s work is based on Kirkpatrick’s description of Ives’s college transcript in Appendix 6 in Ives, *Memos*, 180–4.

⁵¹ Ibid., 41–2.

⁵² Ibid., 50.

⁵³ Ibid., 48.

⁵⁴ See *ibid.*, 41–50 for more on Magee’s provocative propositions.

devastating.”⁵⁵ Scholars attribute different reasons for this attitude.⁵⁶ Magee explained it in terms of Parker’s disdain for the musical culture beloved by Ives.⁵⁷

In his lectures and no doubt in his contemporary classes, Parker ridiculed two of the central experiences in Ives’s musical life to that point: the camp-meeting hymns of his father that he remembered from childhood, and the quartet choir of Dudley Buck that was his compositional model through his youth and Yale years ... For Ives, Parker’s comments must have dug particularly deep in the aftermath of George’s [Ives’s father’s] sudden death.

Magee provided convincing evidence of her claims, such as excerpts from contemporaneous surviving lecture notes in which Parker derided hymn tunes utilized by Ives, such as “In the Sweet By and By.” However, neither Magee nor other scholars sufficiently address a consistent association that Ives made in his writings—one between Parker and the prescribed “German rules” that Ives so abhorred. I believe this association can in part suggest a rationale for Ives’s late-life critical comments regarding his former music professor.⁵⁸

⁵⁵ Ibid., 51.

⁵⁶ For example, Stuart Feder’s explanation is very different from Magee’s, and reflects the psychoanalytic nature of his biography: “[Ives’s] meeting with Parker is associated in Charlie’s mind with George’s death, just as the entire enterprise of Yale represented his separation from George. Although Parker emerges as an influential figure in Charlie’s life ... he is recalled in contrast to George. In unfavorably comparing Parker to George [there lies] an example of that ‘strong filial sense’ born of duty and guilt.” See Stuart Feder, *Charles Ives: “My Father’s Song”: A Psychoanalytic Biography* (New Haven: Yale University Press, 1992), 135.

⁵⁷ Magee, *Charles Ives Reconsidered*, 52.

⁵⁸ I do not wish to suggest this is the only reason for Ives’s destructive comments about Parker, but that it may have contributed to them. Parker was born in Massachusetts, and completed much of his adult training in Boston with George Chadwick, John Orth, and Stephen Emery. However, Parker did study for a period of time (1882–85) at the Hochschule für Musik in Munich, and took composition courses under Josef Rheinberger. Though it was very common for American composers in the nineteenth century to study abroad with German masters, this fact may have been part of the impetus behind Ives’s non-constructive associations between Parker and German musical culture.

In his *Memos*, Ives made this association multiple times. For Ives, “Parker had ideas that carried him higher than the popular ... but he was governed too much by the *German rule*,”⁵⁹ and Parker “was a bright man, a good technician, but apparently willing to be limited by what Rheinberger et al [sic] and the *German tradition* had taught him.”⁶⁰ And yet, this negativity towards the influence of traditional “German” musical rules on Parker’s works stands in stark contrast to the pieces that Ives composed in his early musical career. During the time he studied with Parker, Ives wrote at least eighteen Lieder with German text, composed in a late Romantic idiom that is reminiscent of Romantic German composers such as Schumann or Brahms. Bryan Simms described this time for Ives as “a phase of his career in which he most plainly wished to conform to the prevailing Romantic aesthetic that existed in art music in America and Europe at the end of the nineteenth century”—an aesthetic that was certainly modeled on late nineteenth-century German music.⁶¹

Additionally, Simms has countered the myth that Parker assigned Ives—and his other students—to compose songs with prewritten foreign-language texts that had already been set to music by European master composers. There is no evidence to support this idea, which originated with John Kirkpatrick in 1972; Parker did not engage in this practice, and none of his existing teaching materials or descriptions of his courses by

See the article “Parker, Horatio” by William Kearns in *Grove Music Online*, s.v. accessed July 20, 2015, <http://www.oxfordmusiconline.com/>.

⁵⁹ Ives, *Memos*, 49. Emphasis added.

⁶⁰ Ibid., 116. Emphasis added. The *Memos* only contain two substantial passages regarding Parker, and Ives made the association between him and “German” musical rules or traditions in each.

⁶¹ Bryan Simms, “The German Apprenticeship of Charles Ives,” *American Music* 29, no. 2 (Summer 2011), 139.

other students contemporaneous with Ives suggest it.⁶² Instead, according to Simms, Ives recomposed previously set German texts entirely on his own, which was “an extension of his [Ives’s] earlier compositional habits and represented his desire to conform to the sophisticated musical environment that he found at Yale University under Parker’s leadership.”⁶³

What changed Ives’s attitude and compositional practices so drastically? Under Parker, Ives played the part of a conventional young composer, who chose to write in the German Lieder tradition of Schumann and Brahms, possibly in order to impress his music professor. But within a few decades Ives had quit playing organ professionally, had stopped writing commercial music, and was composing post-tonal music that contrasted greatly with his earlier, tonal compositions, all while eschewing the same traditional “German rules” to which his earlier music had previously subscribed.

I propose that World War I may have played a role in Ives’s change in attitude towards Parker’s consonant, Romantic compositional style. During the composition of “Sneak Thief” Ives associated “German rule” music not only with outdated, mostly consonant musical practices, but also with the autocratic reign of Kaiser Wilhelm II. In other words, it was towards the beginning of World War I that Ives associated consonant compositional procedures with autocratic regulation—both musical and political. I suggest that this association may have served to taint Ives’s impression of composers who composed in what he perceived as a “German rule” idiom, such as Parker. I also propose that this association may have stayed with Ives for decades, so much so that he

⁶² Ibid., 156–7.

⁶³ Ibid., 157.

would rewrite the time he spent with Parker in the 1930s—almost forty years after he completed his studies at Yale,

4.4 Conclusions

In Chapter 4, I have provided evidence to demonstrate that Ives made various associations with consonance and dissonance by utilizing excerpts from his writings and unpublished manuscripts. Ives's "Democratic" web of associations has several different components, though Ives certainly made additional associations with consonance and dissonance that I have not addressed. These components included associations between dissonance and strength and freedom from musical rule-following, and between consonance and weakness and the rules of traditional musical practices. I have also shown that these associations were valenced as either constructive or non-constructive for Ives. Second, I argued that Ives sometimes extended these associations and their valences to particular means of political governing and the leaders or nations that exemplified these political systems. To conclude the chapter, I have contextualized one aspect of this political dimension—Ives's associations with "German rules" and his notorious relationship to his music professor, Horatio Parker. I have demonstrated that Ives non-constructively associated Parker and constraint by so-called "German rules," and I have suggested that this association may have altered how Ives described his relationship with Parker nearly forty years after he graduated.

In Chapter 5, I interpret some examples of "Democratic" dissonances musically, by pairing Ives's written descriptions with his compositional practices in the song "Sneak Thief." In this chapter and the next I look at some examples of what I call "Democratic" dissonances in works composed in the midst of World War I, comparing Ives's

dissonantly set borrowings with different tonal recompositions. Additionally, I contextualize these works in several ways, both with historical information, and with Ives's "Democratic" web of associations as a means of shaping analysis and meaningful interpretations.

Chapter 5

“Democratic” Dissonances: “Sneak Thief”

*It was the American Gospel Hymn, There’s a wideness in God’s Mercy ...
It was sung with an eloquent slowness, not evenly—not fast, precise,
and ‘tinky’ as so many nice church organists play it—but here there was a strength
of accent, of phrase, of conviction.
They sang it like great artists, not like great opera singers.
—Charles Ives, Memos¹*

5.0 Introduction

I now turn to Ives’s treatment of dissonance in connection with a web of his associations that I have termed “Democratic” and to which Ives sometimes added an ethical component: dissonance was portrayed as liberating and honorable, while consonance was characterized as oppressive and untrustworthy. I interpret musical examples of these associations by pairing Ives’s written descriptions with his compositional practices in the song “Sneak Thief.” I consider “Democratic” dissonances to be dissonances that could be heard in relation to consonant, tonal musical borrowings and/or their musical settings. I construe such dissonant passages of Ives’s music in connection with tonal recompositions and the listening strategies explored in Chapter 3. After describing various “Democratic” dissonances, I interpret them as representative of various democratic principles, ideals, and/or attacks.

I consider dissonances in Ives’s works on a case-by-case basis, and I do not mean to imply that every dissonance in every work by Ives should be paired with and interpreted through Ives’s “Democratic” web of associations. In Chapters 5 and 6 I have carefully chosen two works for analysis that were composed in the midst of World War I:

¹ Ives, *Memos*, 94.

“Sneak Thief” (1914) (examined in “5.1 ‘Sneak Thief’” and summarized in section “5.2 Conclusions”), and the third movement of the Orchestral Set No. 2 (1915) (discussed in Chapter 6).²

Interpreting Ives’s treatment of dissonance in these works as “Democratic” and pairing them with his “Democratic” web of associations is appropriate for several reasons. First, these works were all composed within a few years of Ives’s associations made on the manuscript of “Sneak Thief” during World War I. Temporal proximity and a similar political climate to the milieu in which Ives wrote “Sneak Thief” suggests that he may have been thinking about the political associations he made in his earlier song during the composition of the slightly later work. Second, the Orchestral Set No. 2 appears on Ives’s “List: Music and Democracy!”, while the text and marginalia of “Sneak Thief” both clearly describe democratic principles such as political freedom from autocracy. This suggests that Ives may have thought about these works in conjunction with democratic principles, making them especially pertinent for analyzing their connections to his “Democratic” principles.

5.1 “Sneak Thief”

Ives’s song “Sneak Thief,” written in October, 1914 during the German invasion and “rape” of Belgium, serves as an example of a work in which a present-day listener may employ the different listening strategies described previously.³ See Table 5.1 that reproduces Table 3.1 from Chapter 3.

² The dating of these works will be discussed in more detail in individual sections.

³ See footnote 25 in Chapter 4 for more information about the dating of “Sneak Thief.”

	Borrowing	Setting
Melodically	Listeners orient melodically, with a musical borrowing and its original melody.	Listeners orient melodically, with a non-borrowed counter-melody in the work's setting.
Harmonically	Listeners orient harmonically, with the borrowing's original harmonic setting.	Listeners orient harmonically, with the setting's harmonies.

Table 5.1: Conception of four listening strategies that listeners might employ in order to orient themselves in a passage with a musical borrowing.

I incorporate three of these listening strategies in analyses of segments of “Sneak Thief.”

“Sneak Thief” also serves as an example of how a listener might pay attention to different aspects of a composition at the same time. Such compositional procedures include the presence of multiple concurrent borrowings, pitch and temporal parameters that occur simultaneously, and aspects of hearing both counterpoint and harmony in a single passage.

“Sneak Thief” contains a number of tonal borrowed melodies that have been previously identified, including “Columbia, the Gem of the Ocean,” “Reveille,” “Marching Through Georgia,” “Assembly,” and “The Star Spangled Banner.”⁴ Each of these is a patriotic melody, most of which celebrate America, democratic principles, and/or freedom. Ives clearly valued these consonant borrowed melodies—they appear in dozens of his works—and yet, when they are heard in “Sneak Thief,” they appear in dissonant musical contexts that are dramatically and musically different from their original tonal settings.

Example 5.1 shows my transcription of Ives’s sketches of “Sneak Thief.”

⁴ Burkholder, *All Made of Tunes*, 312–13.

1 2 3 4

ffff

ff

5 6

ffff

8 8

7 8

fff Yell

Peo - ple of the World rise and get the SNEAK Thiev - ing

9 10

med - i - eval

Kai-ser and_ all those coward - ly mol - ly cod - dle_ help - less

Kick the Kai- ser in the snoot and just as hard ev-ery cow ard ly Brute!

11 12

closed-mind medieval minds

negative medieval minds who became his slaves

13 14 15

es, Be cause they are afraid to get up and

Roll for Rollo

16 17

act like real men So af - ter this curs - ed

18 19

war is o' er all made by the Kai - ser and his

20 Chorus 21

fff

slaves, Let all the peo- ple

22 23 YELL as a Tpt.

build a Peo - ple's World Un - ion HOORY in a

Off Step meas.


24 25

Free— World for real men to live in!

ffff

Example 5.1: My transcription of the music and text of “Sneak Thief.”⁵ Ives’s errors in spelling, grammar, and punctuation have been left as they appear in the original manuscripts.⁶ Top stave is trumpet in C and bottom two are piano.

My methodology for each analytical example is similar. First, I describe one or more strategies that a listener might employ in order to orient himself or herself in a passage with a dissonantly set tonal musical borrowing. I will then provide comparisons between a passage of “Sneak Thief” and an original borrowed melody, its setting, or a tonal recomposition, showing how particular dissonant notes in these passages could be

⁵ This song has remained unpublished because it was previously thought to have been incomplete. It is my opinion, however, that Ives completed this song. It appears that Ives was running out of room at the end of the last stave on f5756, which contains m. 24. At the end of the page, Ives extended the lines of the staff in pencil through the right-hand margin, but it still did not provide enough room to complete the sketch. Here Ives drew a symbol:  (a circle with a line through it). The same symbol appears in the middle of the page, where I believe Ives completed the sketch by writing the final notes for m. 25. I anticipate publication of my transcription of “Sneak Thief” as early as 2017 through the Charles Ives Society (James Sinclair, supervising editor).

⁶ See Example 4.2 in Chapter 4 for the original sketches, f5755 (first page) and f5756 (second page). These sketches can be found in MSS 14, The Charles Ives Papers in the Irving S. Gilmore Music Library of Yale University. Transcription (and subsequent examples) reproduced by permission of the American Academy of Arts and Letters, copyright owner.

construed and heard as “added” to (or incorporated within) these consonant, tonal frameworks. Next, I provide interpretations of these “Democratic” dissonances, contextualizing them with Ives’s associations and/or other historical information. Additionally, for several examples, I choose to analyze and interpret the passage from more than one listening perspective.

Beginning in m. 1 of “Sneak Thief,” a listener may orient melodically with a musical borrowing. This will almost certainly be the case in “Sneak Thief,” since it begins monophonically with a lone trumpet that plays a few recognizable measures of the patriotic melody “Columbia, the Gem of the Ocean.” Example 5.2a compares the opening four measures of “Sneak Thief” with the opening two measures of “Columbia” in Example 5.2b.



Example 5.2a: Transcription of the opening four measures of “Sneak Thief” (trumpet).



Example 5.2b: Opening four measures of the borrowed melody “Columbia the Gem of the Ocean,” in the key of G major.⁷

The beginning of “Sneak Thief” borrows the exact pitches of “Columbia,” but in its second measure Ives has added a C \sharp where a listener familiar with “Columbia” would

⁷ My source is Henderson, *The Charles Ives Tunebook*, 98–9.

expect silence—beats 2 and 3 (compare m. 2 of Examples 5.2a and 5.2b). The pitch C \sharp could be considered one of the most melodically dissonant intervals to the prior note, G, as it is a tritone away. The unexpected insertion of this melodically dissonant note may result in a feeling of startlement in a listener. This feeling might be negatively valenced if the interval of a tritone is recognized, due to potential negative associations with melodic and harmonic tritones in Western music history.

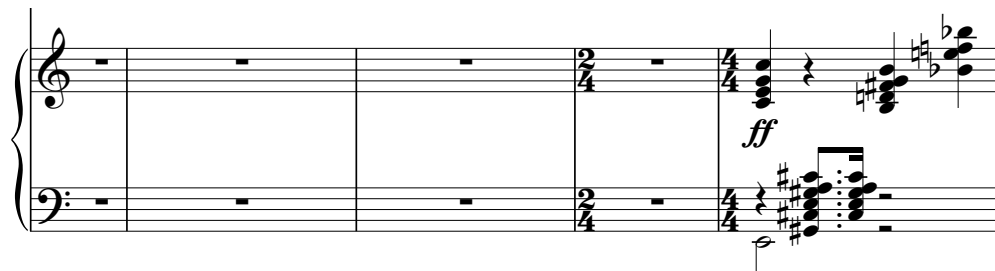
However, I maintain that this C \sharp “addition” to “Columbia” does not necessarily have to be interpreted as unsavory. Instead, it could be interpreted instead as a “Democratic” dissonance that serves to enhance the opening of “Sneak Thief” and the borrowed melody “Columbia.” A marginal memorandum on the manuscript of “Sneak Thief” supports this reading. Near this opening passage is found the following comment: “NOT Con.[sonant] 5th but blow on KW’s [Kaiser Wilhelm II’s] JAW!”⁸ This comment betrays a potential rhetorical purpose for the use of the C \sharp as a melodic interval from G. Because it is not a consonant fifth, but a dissonant fifth, one might interpret this melodic interval as representative of enacting a literal punch to the jaw of the autocratic Kaiser. By this interpretation, Ives has added to the ethical fabric of “Sneak Thief”: no longer is “Columbia” simply a patriotic song whose words celebrate the United States as the “home of the brave and the free.” Instead, Ives has made a dissonant alteration of this borrowed melody that musically enacts a “physical” attack on the Kaiser of Germany. By orienting ourselves to the borrowed melody in this excerpt of “Sneak Thief” and pairing it with Ives’s written associations, we may conclude that Ives’s dissonant chromatic

⁸ See section 4.2 of Chapter 4 for my transcriptions of the marginalia in “Sneak Thief.”

alteration has physically shaped (or dissonantly enhanced) the musical context of the hymn.

Measure 4 marks the entrance of the piano and the first moment that a chordal texture is heard in “Sneak Thief,” making it likely that a listener’s attention will be drawn to the song’s harmonies. This measure also approximates the rhythm and melodic contour of “Columbia” that was previously heard in the trumpet in mm. 1–3; hence it is likely that a listener will continue to identify with this borrowing. Thus, in m. 4 of “Sneak Thief,” a listener might orient themselves harmonically, with the borrowing’s original harmonic setting.

Example 5.3 depicts the piano part in mm. 1–4.



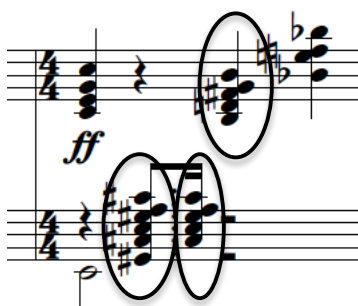
Example 5.3: Measures 1–4 of “Sneak Thief” (piano). The opening measure in this example is an eighth note anacrusis and so is not given a measure number.

A listener familiar with “Columbia” would expect to hear a typical consonant, tertian accompaniment with a tonic-dominant harmonic progression as seen in Example 5.4.



Example 5.4: Typical harmonization of the opening of “Columbia the Gem of the Ocean” in C major.⁹

This C major harmonization (seen in Example 5.4) would be likely heard as unexpected, since the previous iteration of “Columbia” was set in G major. Nonetheless, a listener might adjust quickly to the key of C major since the harmony on the first beat of m. 4 of “Sneak Thief” is a C major triad in first inversion. However, this C major harmonization does not materialize as expected. The harmonies appearing in Example 5.5 include all of the notes seen in Example 5.4: C, E, and G in the first half of the measure, and G, B, and D in the second, supporting the idea that Ives may have had the tonal progression in Example 5.4 in mind. In Example 5.5, however, one can see that the measure is harmonized with a series of dissonant [0158] tetrachords, which are highlighted by circles.



Example 5.5: Measure 4 of “Sneak Thief” (piano—excerpted from Example 5.3) with several harmonic [0158] tetrachords circled.

⁹ My source is Henderson, *The Charles Ives Tunebook*, 98–99.

These three harmonies—and the fourth, on the last beat of the measure—could be interpreted as constructed by the “addition” of a minor second either above (beats 2 and 3) or below (beat 4) the fifth within a minor triad, as can be seen in Example 5.5.¹⁰ I suggest that Ives’s “addition” of these added dissonant notes into these otherwise tertian sonorities could be interpreted as enhancements. Ives’s associations in the marginalia of “Sneak Thief” support this interpretation. On the same page of the sketch in which this measure appears, Ives wrote that his harmonies were:¹¹

“NOT NICE- Pretty German Rule Blackboard sissy songs
no TRIADS + Dom. 7ths But CluBs-Blows on K[aiser]!”

In other words, Ives indicated that a non-tertian harmony is more capable of a physically intense offensive than a tertian chord. Like the tritone (dissonant melodic fifth) in m. 2 of “Sneak Thief,” the addition of harmonic minor seconds into otherwise tertian harmonies in m. 4 of this song serve to musically enact a physical attack (“CluBs-Blows”) on Kaiser Wilhelm II. A listener who orients to the original harmonic setting of “Columbia” and interprets this measure through the lens of Ives’s written associations may conclude that Ives’s dissonant harmonic associations have again “democratically” enhanced the borrowing of a diatonic/consonant tune.

Measures 16–17 of “Sneak Thief” contain a borrowing of the bugle call “Reveille,” which is associated with early morning wakeups in U.S. military bases. Example 5.6 presents the first four measures of “Reveille.”

¹⁰ The quality of the harmony on beat 4 is unclear since it is missing its third.

¹¹ See Table 4.15a in Chapter 4 for more of Ives’s associations on this manuscript.



Example 5.6: The first four measures of “Reveille” in C major.¹²

Example 5.7 shows mm. 16–17 of “Sneak Thief,” in which “Reveille” appears in both the right and left hands of the piano.

Example 5.7: Measures 16–17 of “Sneak Thief,” which borrow from “Reveille.”

These measures are complex, featuring several distinct melodic voices simultaneously; consequently, a listener could orient themselves in a variety of different ways, or they could pay attention to more than one musical parameter at a time. For the purpose of this discussion, I will provide three different ways that one might listen to these measures, though additional hearings are absolutely possible.

First, a listener may orient himself or herself melodically with the recognized musical borrowing “Reveille.” Example 5.8a excerpts the piano melody in the right hand

¹² My source is Henderson, *The Charles Ives Tunebook*, 108–9.

of m. 16 from Example 5.7, while Example 5.8b excerpts measures 1–3 of “Reveille” from Example 5.6.



Example 5.8a: The right-hand piano melody in m. 16 of “Sneak Thief” (excerpted from Example 5.7).



Example 5.8b: The first three measures of “Reveille” excerpted from Example 5.6.

A listener who orients melodically with “Reveille” would notice the chromaticization of G to G# on beat 2 of m. 16 of “Sneak Thief” (see Example 5.8a). Such a listener might interpret this chromatic alteration in a fashion similar to the C# in m. 2 of “Sneak Thief.” In other words, this dissonant melodic diminished fourth does not have to be heard as an unpleasant chromatic alteration; instead, it could be heard as a “Democratic” (i.e., dissonant) enhancement of “Reveille,” and/or potentially as a musical representation of a physical attack on Kaiser Wilhelm II.

However, rather than choosing to orient himself or herself in one of the ways described in Table 5.1, a listener might instead pay attention to other musical parameters. For example, a listener may notice that “Reveille” appears in two different voices an octave apart in a stretto-like texture in these measures (as seen in Example 5.7; notice that “Reveille” is heard in the lower octave in the piano’s left hand). The presence of this contrapuntal device might spur a listener to pay attention to other contrapuntal aspects of

these measures.¹³ For example, such a listener might choose to compare the piano melody “Reveille” to the piano’s bass notes, creating an outer-voice contrapuntal reduction of these measures as seen in Example 5.9.



Example 5.9: Outer-voice reduction of mm. 16–17 of “Sneak Thief” (piano only).

One way to demonstrate the dissonance of this outer-voice reduction is by an intervallic tally of the successive vertical sonorities, independent of key.¹⁴

Measure/

Beat:	16.1	16.2	16.3	16.4	17.1	17.2	17.3															
	P5	m7	D5		AU	P4		m6	d4	d7		M3	P8		m2		m7	m2		m7	d5	d5 ¹⁵

As demonstrated by this tally, these measures would not be considered an example of consonant free counterpoint. One reason for this is that several beats begin with dissonant intervals, such as an augmented unison, a minor second, and a minor seventh;

¹³ Such a listener might also pay attention to the harmonies in these measures. Though I will not describe listening harmonically in this analysis, my next example incorporates harmonic listening strategies.

¹⁴ For ease of legibility, all harmonic sonorities are written as simple—not compound—intervals. Additionally, intervallic distance is measured by size and quality (in the manner of traditional tonal contrapuntal pedagogy), instead of by number of semitones. This choice of intervallic measurement serves to link this intervallic framework with a functionally tonal harmonic progression.

¹⁵ Vertical lines separate beats, while the double vertical line separates the two measures. For ease of legibility, measure numbers and beats have also been provided above the example.

additionally, many of the intervals are dissonant in the context of note-against-note counterpoint.

One might recompose this reduction to show how it could relate to a consonant contrapuntal model. First, the accidentals have been removed from Example 5.9 in Example 5.10, rendering the example in the key of C major as the borrowing of “Reveille” implies.



Example 5.10: The accidentals have been removed from Example 5.9.

Now “Reveille” appears without chromatic alteration in both the top and bottom staves. Next, I have lowered some notes (specifically, the pitch classes F and A) in the lower stave of Example 5.10 by a half (the Fs) or whole step (the A) to provide a counterpoint of consonant intervals to this borrowed melody, as seen in Example 5.11.



Example 5.11: Several notes in Example 5.10 have been lowered by a half or whole step to provide a consonant counterpoint to “Reveille.”

An intervallic tally of Example 5.11 shows the resultant consonant harmonic intervals of these measures.

Measure/							
Beat:	16.1	16.2	16.3	16.4	17.1	17.2	17.3
	m6 P8 m6	P8 P4	M6 P4 P8	M3 P8	m3	P8 m3	P8 m6 P5 ¹⁶

As seen in this tally, the slight alterations made between Examples 5.10 and 5.11 create a consonant contrapuntal model (only the perfect fourths might not be considered permissible in a strict note-against-note exercise).

A present-day listener could hear Ives's dissonant contrapuntal surface in mm. 16–17 of “Sneak Thief” as an alteration or perhaps even as an “addition” to the model seen in Example 5.11. If a listener understands Ives's dissonant counterpoint in this manner, they could interpret it as a dissonant “enhancement” of a diatonic/consonant model. I would like to suggest that the dissonant counterpoint in these measures could be heard as “Democratic;” i.e., one could characterize them as indicative of democratic principles, such as personal freedom, or as serving as a musical enacting of a physical attack on the Kaiser. Ives's associations in *Thanksgiving* (previously discussed in Chapter 1) support such a reading.¹⁷

And the Puritan “no-compromise” with mellow colors and bodily ease gives a natural reason for trying tonal and uneven off-counterpoints and combinations which would be the sound of sterner things—which single minor or major triads or German-made counterpoint did not (it seemed to me) come up to. This music must, before all else, be something in art removed from physical comfort.

In this passage Ives identified consonant counterpoint as “German-made,” linking it with his non-constructive associations between consonance and conventional musical rule

¹⁶ Again, vertical lines separate beats, while the double vertical line separates the two measures; additionally, measure and beat numbers are provided above the example.

¹⁷ Ives, *Memos*, 130.

following.¹⁸ Additionally, Ives implied that such consonant counterpoint was not capable of expressing the “sound of sterner things.” This language echoes Ives’s marginalia on “Sneak Thief” that described consonant “German rule” chords and songs as “soft,” and their opposites (dissonant sonorities and songs) as forceful and strong. Based on these associations, we can conclude that Ives may sometimes have thought of consonant counterpoint as less capable of expressing the sternness, strength, and physical onslaughts necessary for the musical surface of “Sneak Thief.” Ives’s dissonant contrapuntal surface, therefore, could be considered expressive of “stronger” characteristics and physical attacks when heard in this way.

Finally, a listener might pay attention to some of the temporal features heard in mm. 16–17 of “Sneak Thief.” Example 5.12a highlights the piano melody “Reveille” found in these measures.



Example 5.12a: The borrowed piano melody (“Reveille”) in mm. 16–17 of “Sneak Thief.”

Example 5.12b reproduces Example 5.6, which contained the original melody “Reveille.”



Example 5.12b: The first four measures of “Reveille” in C major, reproduced from Example 5.6.¹⁹

¹⁸ See Table 4.13 of Chapter 4 for a summary of Ives’s associations between consonance and musical rule following.

¹⁹ My source is Henderson, *The Charles Ives Tunebook*, 108–9.

While the melodic similarities between Examples 5.12a and 5.12b are obvious, the rhythm of the two examples is subtly different. The first three measures of “Reveille” each contain the following rhythm.



Example 5.13: Rhythm of the first three measures of “Reveille” (compare with Example 5.12b).

As seen in Example 5.12a, Ives omitted the second eighth note of beat 2 of m. 16 of “Sneak Thief,” causing the borrowing or “Reveille” in this song to be temporally displaced from its original rhythm by one eighth note. Examples 5.14a and 5.14b reproduce Examples 5.12a and 5.12b. Notice the circled note in Example 5.14b, which is the “missing” note in 5.14a.



Example 5.14a: The borrowed piano melody (“Reveille”) in mm. 16–17 of “Sneak Thief,” reproduced from Example 5.12a.



Example 5.14b: The first four measures of “Reveille” in C major, reproduced from Example 5.12b. The circled pitch E5 is missing from Example 5.14a, causing the rhythm in this example to misalign by one by eighth note.

The omission of the eighth note E5 in “Sneak Thief” causes its subsequent rhythms to be heard as temporally displaced, or in what could be understood as a “temporal reversal” or

a “temporal misalignment.” In other words, a listener familiar with “Reveille” would expect to hear eighth notes on the beat and sixteenth notes on alternating off-beats. However, in “Sneak Thief” the opposite is heard—sixteenth notes appear on strong beats 3 and 1, reversing this expectation.

This “temporal misalignment” is further complicated by the entrance of “Reveille” in its original rhythm in the left hand of the piano (see again Example 5.7). Example 5.15 shows the rhythmic counterpoint created by these simultaneous borrowings of “Reveille” in mm. 16–17 of “Sneak Thief.”



Example 5.15: Rhythmic counterpoint of borrowings of “Reveille” in mm. 16–17 of “Sneak Thief” in the right and left hands of the piano.

In Example 5.15, the top line depicts the displaced rhythm of the borrowing of “Reveille” in the right hand of the piano, while the bottom line shows the rhythm of the borrowing of “Reveille” in the piano’s left hand.

Both of these factors—the “temporal misalignment” of “Reveille” in the right hand of the piano and its juxtaposition with a non-displaced rhythmic counterpoint—create a feeling of disruption in a listener who is mentally comparing this borrowing with its original borrowed melody. Such a disrupting effect could be interpreted as negatively valenced since a listener may find such disruptions disturbing; however, they could also be interpreted as positively valenced. After all, temporal displacements similar to those

heard in mm. 16–17 of “Sneak Thief” have been likened to dissonant pitch phenomena by present-day music theorists.²⁰ This metaphor has powerful interpretive consequences; by accepting the concept of temporal “dissonance,” present-day listeners could choose to understand the displaced rhythm and misaligned temporal counterpoints in mm. 16–17 of “Sneak Thief” as “Democratic” enhancements to the song’s musical surface that are similar to the “Democratic” pitch alterations we have already seen. Consequently, one could read these measures in a manner similar to our previous interpretations; they could be construed as more “democratically” liberated than a non-displaced rhythmic surface, as “stronger” than a passage with an expected rhythmic progression, or they could be heard as enactive of physical assaults on the Kaiser of Germany.

Another example of a passage with so-called “Democratic” dissonances in “Sneak Thief” is complicated by the presence of multiple concurrent musical borrowings. Example 5.16 shows mm. 20–23 of the song.

²⁰ For one example, see Harald Krebs’s description of “displacement dissonance” in his book *Fantasy Pieces: Metrical Dissonance in the Music of Robert Schumann* (New York: Oxford University Press, 1999), 31–42.

Chorus

20 21

fff

slaves, Let all the peo- ple

22 23 YELL as a Tpt.

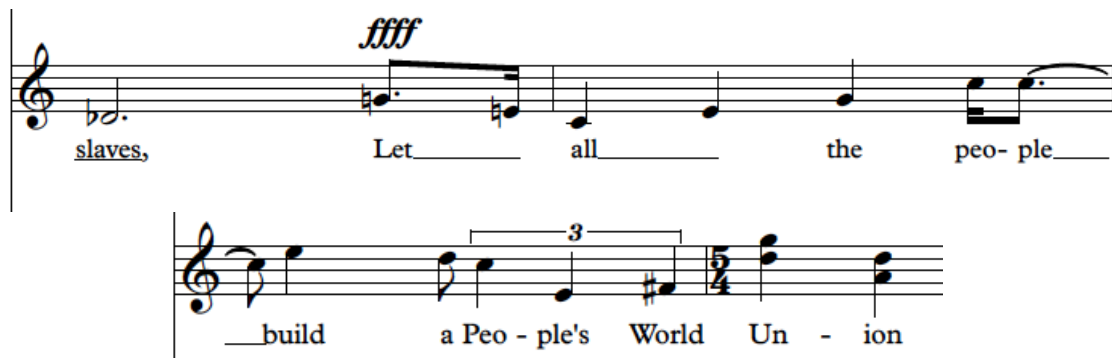
— build a Peo - ple's World Un - ion HOORY in a

Off Step meas.

The musical score is presented in three systems. The first system (measures 20-21) features a vocal line with lyrics 'slaves, Let all the peo- ple' and a piano accompaniment. The second system (measures 22-23) includes a vocal line with lyrics '— build a Peo - ple's World Un - ion HOORY in a' and a piano accompaniment. The third system shows a trumpet part labeled 'YELL as a Tpt.' and a piano accompaniment. The piano part includes a section labeled 'Off Step meas.'.

Example 5.16: Measures 20–23 of “Sneak Thief.”

These measures are heard immediately preceding the ending of “Sneak Thief,” and they feature several musical borrowings in both the trumpet and voice. Initially, the voice borrows from “The Star Spangled Banner” (m. 20, beat 4–m. 23, beat 1), as seen in Example 5.17a.



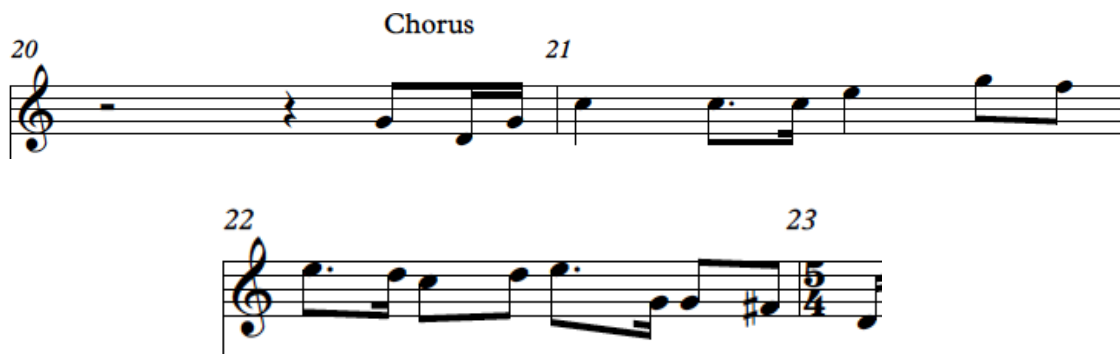
Example 5.17a: Measures 20–23 of “Sneak Thief,” voice.

Example 5.17b shows the beginning of “The Star Spangled Banner” for comparison with Example 5.17a.



Example 5.17b: Start of the “The Star Spangled Banner,” transposed to C major.²¹

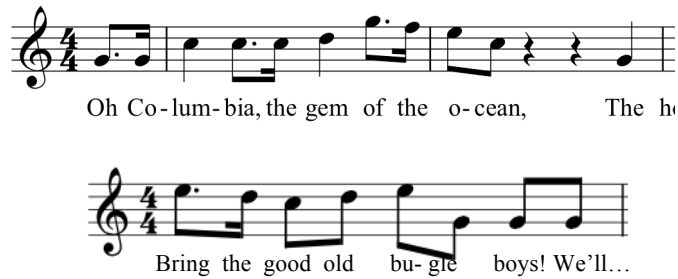
The trumpet melody in mm. 20–23 of “Sneak Thief,” however, is a patchwork-like amalgamation of snippets of two different borrowed melodies. Example 5.18a highlights the trumpet part alone in these measures.



Example 5.18a: Measures 20–23 of “Sneak Thief,” trumpet.

Example 5.18b reproduces excerpts of “Columbia,” from which mm. 20–21 borrow, and “Marching Through Georgia,” which is heard in m. 22 of “Sneak Thief.”

²¹ My source is Henderson, *The Charles Ives Tunebook*, 111–12.



Example 5.18b: Beginning of “Columbia, the Gem of the Ocean” (reproduced from Example 5.2b) in C major (top),²² and the opening of “Marching Through Georgia” in C major (bottom).²³

Ives seamlessly connected the two melodies via a pivot-like $\hat{3}$; this scale degree begins “Marching Through Georgia” in m. 22, and simultaneously ends the opening of “Columbia,” completely concealing the transition between the two borrowings.²⁴

Though these measures are brief, a listener could orient themselves in a variety of different ways while listening to them. For example, one could align with the borrowed melodies in either the trumpet or the voice, though such a listener would have to prioritize one melody over the other or listen to both at once. I propose that a listener may instead orient to the piano’s harmonies, though they are not the same as the actual harmonic setting of any of the borrowings heard in the trumpet or voice. Despite this, the bass line of these measures can be construed as a functionally tonal harmonic progression, and can be used as the basis of a recomposition for comparison with the setting’s actual harmonies.

²² My source is *ibid.*, 98–9.

²³ My source is *ibid.*, 103–4.

²⁴ Others have noted that Ives frequently exploited common motives or notes when connecting borrowed melodies. For a few examples, see Burkholder, *All Made of Tunes*, 213, 391, 410, and 415. Additionally, a few notes of “Assembly” are found in m. 22 in the trumpet.

Example 5.19 features the bass line found in the left hand of the piano in mm. 20–23.



Example 5.19: Bass line of mm. 20–23 of “Sneak Thief,” found in the piano’s left hand. This bass line can be seen with the rest of the piano’s harmonies in Example 5.16. In Example 5.19 please note that I have normalized the registers of several notes for ease of legibility.

Example 5.20 shows one potential tonal harmonization of the bass line from Example 5.19, along with a Roman numeral analysis.²⁵ I have tried to keep my tonal harmonization similar to the harmonic implications that Ives conveys in his original bass line.



C major: V I V V⁷/V V₄⁶ I IV⁶ “IV₄⁶” IV⁶ V

Example 5.20: One harmonization of the bass line seen in Example 5.19. I have not omitted the bass Eb3 (circled; second measure, beat 4) though it is not part of a dominant harmony in C major. I would interpret this Eb3 as an accented chromatic neighbor note.

Though the harmonic rhythm of this model of tonal harmonization is a bit strange in its third measure (e.g., the predominant harmony that carries across three beats), the progression is tonally intelligible. Additionally, this harmonization includes common

²⁵ There are multiple other possibilities.

harmonies—I, IV, V, and V^7/V —harmonies that one would expect in a harmonization of the borrowings utilized in the melodies of these measures, including “The Star Spangled Banner,” “Columbia,” and “Marching Through Georgia.” These melodic borrowings are additionally related to this model of harmonization by a single key area: both are clearly in C major.

A listener hearing in this dialogic manner could understand the chromatic chords heard in the piano as dissonant in comparison to this consonant tonal harmonic model.

Example 5.21 shows the complete piano part for mm. 20–23 of “Sneak Thief.”

Example 5.21: Measures 20–23 of “Sneak Thief,” piano.

As can be seen by comparing Example 5.21 with the tonal model in Example 5.20, only some of the actual notes in the piano’s right hand align with the proposed harmonies in my recomposition. For example, on beat 1 of m. 21 I propose a tonic harmony in C major, which aligns well with the piano’s left hand. However, the actual notes found in the right hand heard on this beat are (from lowest to highest) B, D, F^\sharp , G, and C^\sharp . Only

one of these notes—the G—is in a C major triad, and the lowest three notes strongly imply a B minor harmony, which sound as dissonant against the piano’s left hand due to the presence of multiple half steps (B/C and F[#]/G).

Ives may have begun his composition of “Sneak Thief” by improvising a tonal model that was the same as or similar to my recomposition in Example 5.20. The left hand of the piano in these measures supports this suggestion, as its notes imply the tonal harmonic progression that I have chosen in my recomposition. It would have been relatively easy for Ives—a virtuoso pianist—to have begun to compose this passage by first playing this tonal model and then to adjust the notes in his right hand to accommodate his desire for a dissonant sounding musical surface. If one accepts this idea, then the notes heard in the right hand of the piano could be heard not just as alterations to my tonal model, but as dissonant “additions” to it—i.e., as substitutes for a conventional tonal model.

Such substitutes (or “additions”) could be interpreted as “Democratic” enhancements in a manner similar manner to the to the passages that I have previously analyzed. Hearing this passage in relation to my tonal harmonic model creates a startling effect in a listener. The chords in this passage could be heard as an enhanced version of my underlying tonal progression, and a listener who hears this dialogic relationship can read this passage in “Sneak Thief” as ethically enhanced as well. By one interpretation, the borrowings of the “Star Spangled Banner,” “Columbia,” and “Marching Through Georgia,” are made stronger and more liberated because of their dissonant musical setting.

Ives's associations that were written next to this passage on the manuscript of "Sneak Thief" support this interpretation.²⁶

This sissy doh chord is for Kai[ser] [arrow pointing to the C major triad that ends the work]
Now Cissy KIZERO, as it starts on Doh—it should end on DOH—
the soft weak sissy ears of the K[aiser] will be the only thing he understands

In this written note, Ives specifically described C major harmonies—such as those found in my recomposition in Example 5.20, those which Ives implied in the left hand of the piano in mm. 20–23 of "Sneak Thief," and the last chord of the work—as "sissy doh" chords, which are the only musical harmony that the "soft weak sissy ears" of the Kaiser can understand. In this passage of "Sneak Thief," Ives borrowed three different patriotic songs in these measures. Though he could have written them in any key that he wanted, he chose to put them in C major—the only key that the Kaiser's "weak" ears were capable of comprehending. By my interpretation, Ives chose to render these borrowed patriotic melodies as completely intelligible to the Kaiser by transposing them to the key of C; however, this left him conflicted. He could not harmonize these C major melodies with simple tertian harmonies in C major, since he associated such harmonies with "sissy" properties. This suggests that Ives might have "added" or enhanced such harmonies with dissonant pitches, as my Examples 5.20 and 5.21 suggest.

Consequently, we can interpret these non-tertian, dissonant harmonies not as "sissy" or "weak" chords, but as harmonies capable of representing the strength necessary to stand up to the Kaiser and his forces. In other words, we can hear the harmonies in these measures as "Democratically" enhanced, and as representative of

²⁶ See section 4.2 of Chapter 4 for my transcriptions of the marginalia in "Sneak Thief."

some of Ives's democratic ideals, such as the physical strength necessary to fight the Kaiser's autocratic oppression of Belgium with dissonant potential aligned with American democratic ideals.

I would like to suggest one final aspect of “Sneak Thief” that could lead to a “Democratic” interpretation. Example 5.22 reproduces mm. 22–23 from Example 5.16.

The image shows a musical score for measures 22 and 23 of a piece. It consists of three staves: a vocal line, a piano accompaniment line, and a trumpet line. The key signature is one sharp (F#) and the time signature is 4/4. Measure 22 begins with a vocal line starting on a whole note, followed by a piano accompaniment line with a triplet of eighth notes. Measure 23 continues the vocal line with a half note and a quarter note, followed by a piano accompaniment line with a half note and a quarter note. The trumpet line in measure 23 is marked 'YELL as a Tpt.' and 'Off Step meas.'.

22 23 YELL as a Tpt.

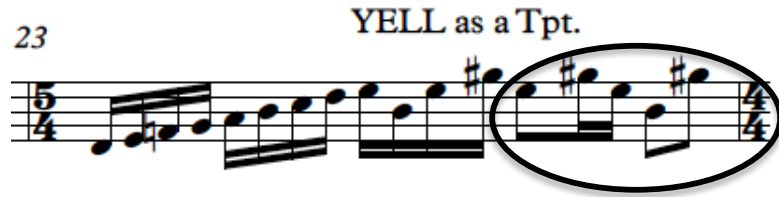
—build a Peo - ple's World Un - ion HOORY in a

Off Step meas.

Example 5.22: Measures 22–23 of “Sneak Thief,” reproduced from Example 5.16.

There is one final musical borrowing in these measures that I did not previously discuss. Measure 23 contains a very brief borrowing of “Reveille” in the trumpet part.²⁷ Example 5.23a highlights the trumpet part in this measure.

²⁷ Additionally, the middle of m. 23 could be read as a brief borrowing of “Assembly.” See *All Made of Tunes*, 312–13.



Example 5.23a: Measure 23 of “Sneak Thief,” trumpet (“Reveille” is on beats 4–5, circled in black).

Example 5.23b shows the beginning of “Reveille” transposed to E major.



Example 5.23b: The beginning measure of “Reveille,” transposed to E major.²⁸

In addition to containing this musical borrowing, m. 23 also features a noticeable temporal feature: the measure has an extra beat (it is five beats long instead of four). Ives labels this measure as an “Off Step meas.[ure]” in the score of “Sneak Thief,” indicating that this added beat was intentional. Similar to the temporally displaced borrowing of “Reveille” in mm. 16–17 of “Sneak Thief,” this “off step” measure could be heard as disruptive (i.e., “off,” as Ives put it) by a present-day listener. Such a disruptive effect could certainly be heard non-constructively, but it does not necessarily have to be interpreted in this manner.

By one interpretation, this climactic measure could be read as representative of democratic ideals. Free from the oppressive 4/4 meter that has governed the rest of the song, this measure could be heard not as disruptive, but instead as liberated. After all, there are no other asymmetrical measures in “Sneak Thief;” Ives saved this compositional device for the ending of the climactic chorus of the song, during which the word hooray (“HOORY” [sic]) appears in capital letters, as if shouted. Due to this metrical

²⁸ My source is Henderson, *The Charles Ives Tunebook*, 108–9.

irregularity, one could interpret this culminating measure and its “extra” beat as potentially free from the Kaiser’s political influence. By this interpretation, m. 23 is freer, stronger, and is more suited to opposing autocratic unscrupulousness.²⁹

5.2 Conclusions

In Chapter 5, I have demonstrated how one might employ different listening strategies in order to orient himself or herself in a passage with a dissonantly set musical borrowing. Additionally, I have also shown how a listener might pay attention to additional compositional procedures, such as multiple concurrent borrowings, simultaneous pitch and temporal parameters, and contrapuntal and harmonic aspects within a single passage. I have analyzed five different passages of “Sneak Thief,” each of which contained one or more musical borrowings. For each passage I have identified one or more potential listening strategies, compared the passage with a consonant model, and provided plausible interpretations.

Throughout Chapter 5, I have interpreted Ives’s musical borrowings and/or their settings as sorts of “musical objects.” Such “musical objects” have a twofold capability; first, they have the power to direct listener’s hearings; and second, they can serve as the focus of a listener’s attention, allowing one to hear such objects from a variety of different perspectives. Such musical objects can be engaged with and interpreted, but also seem to act with their own intentions, influencing a listener’s hearings and consequent readings.

²⁹ Though not analyzed in this chapter, a brief iteration of the verse of “Marching Through Georgia” can be heard in the trumpet in m. 24.

In this chapter, I have demonstrated how present-day listeners might think and hear aspects of Ives's dissonant musical surfaces in relation to tonal/consonant models. I have read these dissonant "additions" from a constructive viewpoint, contextualizing them with Ives's "Democratic" web of associations and interpreting them as liberated, strong, and as representative of physical attacks on Kaiser Wilhelm II. In short, I advocate that such "Democratic" dissonances be understood in relation to their possible ethical potential and as capable of expressing Ives's conscientious objections to the Kaiser's political actions.

Additionally, my readings of this song are both distinctive from and complementary to those of other scholars, though few have commented on this song since it remains unpublished. One such scholar is Glenn Watkins, who described "Sneak Thief" as "one of Ives's most aggressive and dissonant songs and a candid protest against Germany's invasion of Belgium."³⁰ Though Watkins did not seek to extensively analyze "Sneak Thief," he did note that its musical surface is extremely dissonant. Additionally, Watkins did not explicitly connect Ives's dissonant musical surface to the song's political commentary as I do in this chapter, though I agree with his summation of the song as a "candid protest" against Germany's invasion of Belgium.

A second scholar who has described "Sneak Thief" is Peter Burkholder. Burkholder discussed this song in the following manner in *All Made of Tunes*: "It [the song "Sneak Thief"] is mostly atonal, angular, and dissonant, capturing Ives's outrage [at the Kaiser's invasion of Belgium]."³¹ Though I would not disagree that the song's dissonant musical surface may have served as a medium for Ives's expression of anger, I

³⁰ See Watkins, *Proof Through the Night*, 348.

³¹ Burkholder, *All Made of Tunes*, 312.

also interpret this dissonant surface from a different viewpoint in Chapter 5. By my readings, Ives's dissonantly set musical borrowings serve not only to express anger, but they also act as a form of enhancement on what could have been consonant, tonal settings of musical borrowings.

Additionally, my analyses of "Sneak Thief" can be productive for present-day listeners in other ways. They may provide insight into the short-term construction of the song. For example, I have demonstrated how Ives altered consonant, tonal musical borrowings and their settings, drawing attention to subtle dissonant alterations that might have otherwise gone unnoticed. Though most of these alterations are brief, in total they help a listener to understand Ives's compositional strategy in about half of "Sneak Thief."

I maintain that this increased understanding of aspects of the song's structure as well as my interpretive readings might result in greater enjoyment of "Sneak Thief" for a listener, especially one who does not particularly enjoy dissonant, modernist musical surfaces. Understanding the dissonant musical surface of "Sneak Thief" as a constructive expression of democratic principles may result in greater feelings of enjoyment when listening to and interpreting the harsh musical surface of the song from a positive standpoint.

Finally, my analyses of "Sneak Thief" may suggest insights for performance. I will briefly discuss one such insight here, for a trumpet player. Example 5.24 reproduces the opening measures of "Sneak Thief" which are played by a solo trumpet.



Example 5.24: Transcription of the opening four measures of “Sneak Thief” (trumpet), reproduced from Example 5.2a.

The C# in m. 2 of this passage is a “Democratic” dissonance in conjunction with the borrowing “Columbia, the Gem of the Ocean.” A brass player might naturally decrescendo when descending in pitch through their lower tessitura in mm. 1–2 of this song; consequently, the C# in m. 2 would be likely deemphasized unless a player put in conscientious effort. Based on my reading, a trumpet player might play with a slight crescendo from beat 4 of m. 1 until beat 2 of m. 2, dynamically emphasizing the importance and “Democratic” potential of this note in the melody.

In Chapter 6, I provide another analysis of a work containing so-called “Democratic” dissonances. Similar to my analyses in Chapter 5, I construe these dissonances in relation to consonant, tonal recompositions in passages that incorporate musical borrowings. I analyze a composition that was also written during World War I: the third movement of the Orchestral Set No. 2. In my analysis of this movement, I focus on how hearing Ives’s dissonantly set musical borrowings can direct a listener’s attention over the course of a longer movement, and how this can motivate a listener to focus on different compositional features throughout a work.

Chapter 6

“Democratic” Dissonances: *From Hanover Square North*

Now what was the tune? It wasn't a Broadway hit, it wasn't a musical comedy air, it wasn't a waltz tune or a dance tune or an opera tune or a classical tune, or a tune that all of them probably knew. It was (only) the refrain of an old Gospel Hymn that had stirred many people of past generations.
—Charles Ives, *Memos*¹

6.0 Introduction

In this chapter I analyze a second work, the third movement of the Orchestral Set No. 2, that contains what I call “Democratic” dissonances—those that could be understood and interpreted as related to underlying tonal models that support consonant musical borrowings. Similar to my analysis of “Sneak Thief” in Chapter 5, in Chapter 6 I contextualize and interpret “Democratic” dissonances through Ives’s “Democratic” web of associations, utilizing tonal recomposition and alternate listening strategies and incorporating new historical and biographical information. Finally, I interpret some “Democratic” dissonances as aligned with various democratic principles and ideals, related to my interpretations of the “Democratic” dissonances found in “Sneak Thief.”

This chapter explores the third movement of the Orchestral Set No. 2 (1915) titled *From Hanover Square North at the End of a Tragic Day, the Voice of the People Again Arose*, which was written in the midst of World War I.² In this chapter I provide background information on this movement (in section “6.1 Background of *From Hanover Square North*”), analyze several different passages (in section “6.2 Analysis: *From Hanover Square North*”), and summarize my results (in section “6.3 Conclusions”).

¹ Ives, *Memos*, 93.

² The dating of this work will be discussed in more detail in the next section.

Some dissonances in this movement suggest Ives's "Democratic" web of associations for several reasons. Since *From Hanover Square North* was composed during World War I, likely within a year of "Sneak Thief," Ives may have been thinking about similar political associations he made in his song during the composition of this work. This movement also appears on Ives's "List: Music and Democracy!," implying that Ives may have thought about it in conjunction with democratic principles.

From Hanover Square North also serves several additional analytical purposes. First, I examine a borrowed melody that is utilized multiple times throughout a single work. In my analysis I consider how hearing this musical borrowing as tonally varied or reconfigured can alter a listener's orientation and attention over a prolonged timespan. Second, I show how a listener might orient themselves in several different ways to different compositional procedures at the same time, such as noticing multiple concurrent borrowings, pitch and temporal parameters that occur simultaneously, and/or aspects of both counterpoint and harmony in a single passage. Finally, *From Hanover Square North* serves as an example of a longer (seven minute) work that calls for the listening strategies I set forth in Chapter 3; by comparison, "Sneak Thief" is relatively short.

6.1 Background of *From Hanover Square North*

The third movement of Ives's Orchestral Set No. 2, titled *From Hanover Square North, at the End of a Tragic Day, the Voices of the People Again Arose* (hereafter *From Hanover Square North*,) was likely composed in 1915 after the sinking of the *Lusitania* in May of that year.³ The *Lusitania* was a British ocean liner that was torpedoed and sunk

³ Like many of Ives's works, the dating of *From Hanover Square North* is not absolutely certain. Ives and Kirkpatrick dated the movement to 1915, while Sherwood

by a German U-Boat off the southern coast of Ireland early in the war.⁴ The ship sank extremely quickly, in a mere eighteen minutes, resulting in the deaths of 1,198 passengers and crew.⁵ Ives wrote about this event that inspired its composition in his *Memos*.⁶

There's a personal experience behind it, the story of which I will now try to tell. We were living in an apartment at 27 West 11th Street. The morning paper on the breakfast table gave the news of the sinking of the Lusitania. I remember, going downtown to business, the people on the streets and on the elevated train had something in their faces that was not the usual something. Everybody who came into the office, whether they spoke about the disaster or not, showed a realization of seriously experiencing something. (That it meant war is what the faces said, if the tongues didn't.) Leaving the office and going uptown about six o'clock, I took the Third Avenue "L" at Hanover Square Station. As I came on the platform, there was quite a crowd waiting for the trains, which had been blocked lower down, and while waiting there, a hand-organ or hurdy-gurdy was playing in the street below. Some workmen sitting on the side of the tracks began to whistle the tune, and others began to sing or hum the refrain. A workman with a shovel over his shoulder came on the platform and joined in the chorus, and the next man, a Wall Street banker with white spats and a cane, joined in it, and finally it seemed to me that everybody was singing this tune, and they didn't seem to be singing in fun, but as a natural outlet for what their feelings had been going through all day long. There was a feeling of dignity all through this. The hand-organ man seemed to sense this and wheeled the organ nearer the platform and kept it up fortissimo (and the chorus sounded out as though every man

(1994) dated the hand of Ives's sketches of the movement as between 1914 and 1919 but closer to 1919 (see Burkholder, *All Made of Tunes*, p. 471n83 for more information). However, Sherwood apparently later changed her mind; in her later book *Charles Ives Reconsidered* she implied the movement should be dated to 1917 or 1918, right in the midst of World War I (see p. 137). Sinclair (2012) seems to agree with Ives's date of 1915 (see p. 68). For the purpose of this discussion I will assume the work was composed in 1915 or slightly later (but still during World War I).

⁴ For an introduction to the Lusitania and its infamous last transatlantic crossing, see David Ramsay, *Lusitania: Saga and Myth* (New York: W.W. Norton and Company, 2002). Also of interest may be Erik Larson's recent book *Dead Wake: The Last Crossing of the Lusitania* (New York: Crown Publishers, 2015).

⁵ The Lusitania was attacked on suspicion of carrying munitions from New York to Britain. For years the British government denied that the ship was carrying explosives, but in 1982 papers released from the National Archives in London revealed that, in fact, it was. It is likely that British officials hid the truth in order to help persuade America to enter the war.

⁶ Ives, *Memos*, 92–93.

in New York must be joining in it). Then the first train came in and everybody crowded in, and the song gradually died out, but the effect on the crowd still showed. Almost nobody talked—the people acted as though they might be coming out of a church service. In going uptown, occasionally little groups would start singing or humming the tune.

Now what was the tune? It wasn't a Broadway hit, it wasn't a musical comedy air, it wasn't a waltz tune or a dance tune or an opera tune or a classical tune, or a tune that all of them probably knew. It was (only) the refrain of an old Gospel Hymn that had stirred many people of past generations. It was nothing but—*In the Sweet Bye and Bye*...

This third movement is based on this, fundamentally, and comes from that 'L' station.

Burkholder has described *From Hanover Square North* as a cumulative setting of this hymn ("In the Sweet Bye and Bye") that Ives mentioned above.⁷ According to Burkholder, cumulative form is:⁸

a thematic, non-repetitive form in which the principal theme is presented, not at the beginning as in traditional forms, but near the end, and is preceded, not followed, by its development ... [this form contains] a continual development that leads up to the definitive statement of the theme.⁹

This description accurately portrays the formal design of *From Hanover Square North*.

After what could be considered a short introduction, different melodic segments from the hymn's verse or chorus are repeated and varied multiple times until the movement's close. These melodic repetitions are barely recognizable at first: they start with a rhythmic profile that is only vaguely related to the original hymn, and they are initially

⁷ Burkholder, *All Made of Tunes*, 262.

⁸ *Ibid.*, 137.

⁹ Both Burkholder and Andrew Mead have related (via personal correspondence) have related cumulative form to Ives's improvisatory practices as a church organist, pointing out that Ives would have had to create similar formal designs while improvising preludes. Burkholder has made this point in *All Made of Tunes*, 147–8, and also in "The Organist in Ives," *Journal of the American Musicological Society* 55, no. 2 (Summer 2002): 255–310; see especially pp. 256 and 302–5.

hidden under distracting countermelodies and background harmonies.¹⁰ As the movement progresses, recognition of the hymn becomes easier as its rhythm gradually clarifies and countermelodies fall into the background until the work’s climax at which point recognition of the hymn is certain.¹¹

In the excerpt from the *Memos* quoted previously, Ives made several positive associations with the consonant hymn melody “In the Sweet Bye and Bye.” Table 6.1 shows some of these associations:

Compositional Procedure and/or Musical Feature	Association(s)
Singing “In the Sweet Bye and Bye”	Quality: Outlet for “feelings” Feeling: Dignity; as if “coming out of a church service”
“In the Sweet Bye and Bye”	Feeling: Stirring

Table 6.1: One example of Ives’s written associations for the hymn “In the Sweet Bye and Bye.”

As seen in Table 6.1 and as described in his *Memos*, Ives associated this hymn with the expression of feelings, dignity, a religious solemnity, and passionate “stirring” feelings. Clearly this consonant, tonal hymn tune meant a lot to Ives; after all, he based the entirety of *From Hanover Square North* on it, and incorporated it into several other works as

¹⁰ Though Burkholder has described cumulative form as “non-repetitive,” I would characterize Ives’s continued use of the same hymn melody in *From Hanover Square North* as “repetitive.” By “non-repetitive” Burkholder meant to indicate that Ives does not tend to repeat passages of music note-for-note in his works that are of a cumulative design, as opposed to some traditional tonal forms such as binary, rondo, or sonata.

¹¹ According to Burkholder, *From Hanover Square North* borrows from other works besides “In the Sweet Bye and Bye.” Such works include a variant of a Gregorian psalm tone used to intone the “Te Deum,” “Massa’s in de Cold Ground,” the hymn *Ewing*, and “My Old Kentucky Home.” See *All Made of Tunes*, 264–5. These other borrowings are not discussed in detail in this analysis primarily because of their unrecognizability; as Burkholder points out, they are—for the most part—“distorted” (265) and hidden beyond listener perceptibility.

well.¹² Though Ives used “In the Sweet Bye and Bye” as the basis of *From Hanover Square North*, he set this consonant, tonal musical borrowing with dissonant, post-tonal harmonies and counter-melodies. This puzzling contrast begs several questions: why did Ives not set this borrowing in a tonal, consonant soundscape? Would such a setting not better express the positive associations that Ives made in his *Memos*? And: how might we interpret this?

We can interpret these settings of “In the Sweet Bye and Bye” as supported by “Democratic” dissonances. As mentioned previously, the sinking of the *Lusitania*—the catalyst for the composition of *From Hanover Square North*—occurred only seven months after the composition of “Sneak Thief”; therefore, Ives may have been thinking about his associations made with this earlier song while writing this movement. However, in “Sneak Thief” most musical borrowings were readily apparent and discernable, whereas in *From Hanover Square North* they are often distorted. Many of my analytical examples taken from this movement therefore begin with a demonstration of the relationship between a musical borrowing and its original melody, showing how the former is derived from the latter. Next in my analyses I describe one or more strategies that a listener might employ in order to orient himself or herself in a passage with a dissonantly set tonal musical borrowing, usually comparing part of *From Hanover Square North* with an original borrowed melody, its setting, or a tonal recomposition, and I show how particular dissonant notes in these passages could be construed and heard in relation to consonant, tonal frameworks. Finally, I interpret these “Democratic” dissonances, and contextualize them through Ives’s associations and/or other historical

¹² See Henderson, *The Charles Ives Tunebook*, 50, which contains a list of ten separate works that borrow from this hymn.

information.

My analyses draw on listening strategies summarized in Table 6.2 (reproduced from Table 3.1):

	Borrowing	Setting
Melodically	Listeners orient melodically, with a musical borrowing and its original melody.	Listeners orient melodically, with a non-borrowed counter-melody in the work's setting.
Harmonically	Listeners orient harmonically, with the borrowing's original harmonic setting.	Listeners orient harmonically, with the setting's harmonies.

Table 6.2: Conception of four different listening strategies that listeners might employ in order to orient themselves in a passage with a musical borrowing, reproduced from Table 3.1.

In order to understand my analyses, familiarity with the hymn “In the Sweet Bye and Bye” is essential. Example 6.1 shows the complete hymn from which *From Hanover Square North* borrows multiple times.¹³

¹³ My source is Henderson, *The Charles Ives Tunebook*, 49–50.

In the Sweet Bye and Bye

Sanford Fillmore Bennett

"There's a land that is fairer than day"

Joseph Philbrick Webster

Source: *Gospel Hymn and Tune Book*, no. 437

There's a land that is fair - er than day, And by faith we can see it a - far; For the Fa - ther waits o - ver the

6 way To pre - pare us a dwell - ing place there. In the sweet bye and bye we shall

11 meet on that beau - ti - ful shore; In the sweet bye and bye, We shall meet on that beau - ti - ful shore.

Example 6.1: Verse (mm. 1–8) and chorus (mm. 9–16) of “In the Sweet Bye and Bye.”

Before proceeding to my analyses of *From Hanover Square North*, I would like to briefly mention my prior published work on this movement. In my article “The MACMIT Model for Musical Expressive Meaning,” I described six aspects of musical compositions (musical parameters, agency/narrative, contextualization, aspects of music cognition models, intertextuality, and topical associations) that may help analysts to create expressive readings. I then used several passages of *From Hanover Square North* as analytical examples to demonstrate expressive connections an analyst might make after hearing them.¹⁴ Additionally, I more thoroughly contextualized *From Hanover Square North* with analyses by a number of musicologists and music theorists, including Jan Swafford, Denise Von Glahn, Marianne Betz, Lawrence Kramer, and Peter Burkholder.¹⁵

¹⁴ See Chelsey Hamm, “The MACMIT Model for Musical Expressive Meaning and its Application to the Third Movement of Charles Ives’s Second Orchestral Set,” in the *Rivista di Analisi e Teoria Musicale* 18, no. 2 (2012): 55–92.

¹⁵ See Jan Swafford *Charles Ives: A Life with Music* (New York: W.W. Norton & Company, 1996); Von Glahn, *The Sounds of Place*; Marianne Betz, “The Voice of the City,” *Archiv für Musikwissenschaft* 61, no. 3 (2004): 207–25; Lawrence Kramer, “‘Au-delà d’une musique informelle’: Nostalgia, Obsolescence, and the Avant-Garde,” *Muzikologija* 6 (2006): 43–62; and Burkholder, *All Made of Tunes*.

In the present chapter, I borrow some of my prior ideas about expressive meaning from my “MACMIT” article; however, my interpretations of “Democratic” dissonances and discussions of Ives’s “Democratic” web of associations are new to the present study.

6.2 Analysis: *From Hanover Square North*

“In the Sweet Bye and Bye” is not clearly heard until m. 20 of *From Hanover Square North*. I consider the first nineteen measures of this movement, which are performed by an off-stage orchestra and choir, to be an introductory passage to its cumulative design. This introduction is marked “Very slowly,” and is perceived as extremely quiet both because of its marked dynamic levels (mostly ranging from *ppp* to *p*) and because it is heard by audiences from a distance, likely from the open doors of the backstage of a concert hall.

In these measures, the choir (marked “Distant Choir” in the score) intones a melody previously identified as a borrowed variant of the second Gregorian psalm-tone.¹⁶ The text is taken from the *Te Deum Laudamus*, an early Christian hymn of praise still in regular use in both the Roman Catholic and some Lutheran churches:

We praise Thee, O God: we acknowledge thee to be the Lord.
All the Earth doth worship Thee: ...

Ives’s setting of this musical borrowing is the opposite of what a listener familiar with other settings of the *Te Deum* might expect. Famous settings from Charpentier, Lully, Purcell, Haydn, and Mozart, as well as those of some composers more contemporaneous with Ives such as Britten, Vaughan-Williams, and Holst, all set it joyously; indeed, this

¹⁶ Burkholder, *All Made of Tunes*, 284.

hymn is typically used by churches on festive, happy occasions such as church dedications. By contrast, Ives's setting sounds strikingly sad, due to the aforementioned slow tempo, quiet dynamic levels, and a D minor tonality clearly intoned by repetitive D minor triads in the double basses and prominent descant-like F-naturals in the choir.

The verse of "In the Sweet Bye and Bye" is heard for the first time in mm. 20–27, shown in Example 6.2 (along with mm. 28–39, which include the next several analyzed passages).¹⁷

¹⁷ Some listeners might hear the solo horn part in mm. 12–19 as iterating a motive that is similar to the opening of the chorus of this hymn. However, it is unlikely to be heard as it is very different (rhythmically and melodically) from the original hymn and it is extremely quiet; hence I consider it to be part of the work's introduction. In Chapter 6 I focus on passages that I believe clearly and perceivably borrow from "In the Sweet Bye and Bye"; hence I have not analyzed mm. 12–19 in detail. Score examples are taken from the critical edition of the *Orchestral Set No. 2*. See Charles Ives, ed. James B. Sinclair, *Orchestral Set No. 2* (New York: Peer Music, 2001). Used by permission of Peer International Corporation.

20 [B] About $\text{♩} = 60-63$ (in $\frac{3}{4}$)

Distant Choir

Horn in C

Chimes

Harp

Piano

Violins

Viola

Double Basses

20 [B] About $\text{♩} = 80-84$ (in $\frac{4}{4}$)

Main Orchestra

Flutes 1 2

Clarinets in B \flat 1 2

Horns in F 1 2

Trumpets in B \flat [5th ad lib.] 1 2 3 4

Trombones 1 2 3 (4)

Tuba

Timpani

Snare Drum

Bass Drum

Gongs

Triangle

Accordion

Solo Piano

Organ

20 [B] About $\text{♩} = 80-84$ (in $\frac{4}{4}$)

Violin 1

Violin 2

Viola

Violoncello

Double Bass

25 C

Chimes

Harp

Piano

Vns.

Va.

Db.

[cresc. poco a poco]

25 C

Fls. 1 2

Cl. 1 in Bb

Hr. 1 in F

Tpts. 1 2 in Bb

Tbn. 1

Tuba

S.D.
B.D.
+ Cym.

Solo Piano

25 C

Vn. 1

Vn. 2

Va.

Vc.

Db.

div. pizz.
mp
div. pizz.
mp

[cresc. poco a poco]

30 D

Chimes

Harp

Piano

Vns.

Va.

Db.

30 D

Fls.

1

2

Cls.
in Bb

1

2

Hrn. 1
in F

mf

Tpts.
in Bb

1

2

Tbn. 1

Tuba

S.D.
B.D.
+ Cym.

Solo
Piano

pp

mf

30 D

Va. 1

Vn. 2

Va.

arco

uniz.
(pizz.)

arco

f

uniz.

f

Vc.

Db.

35

Chimes

Harp

Piano

Vns.

Va.

Db.

35

Fls.

1

2

Cls. in Bb

1

2

Hrn. 1 in F

Tpts. in Bb

1

2

Tbn. 1

Tuba

S.D.
B.D.
+ Cym.

Solo Piano

35

Vn. 1

Vn. 2

Va.

Vc.

Db.

Example 6.2: Measures 20–39 of *From Hanover Square North*.

The following example isolates the cello melody in mm. 20–27 of *From Hanover Square North* (Example 6.3a) and compares it with the verse of “In the Sweet Bye and Bye” (Example 6.3b).



Example 6.3a: The isolated cello part from mm. 20–27 of *From Hanover Square North*.



Example 6.3b: Measures 1–3 of “In the Sweet Bye and Bye” in B♭ major and bass clef for comparison.

In comparing these two examples, the cello part in mm. 20–27 resembles (but is not completely the same as) the opening of the verse of “In the Sweet Bye and Bye.” Though its rhythm is augmented in *From Hanover Square North*, the borrowing’s rhythmic values approximate the rhythmic profile of mm. 1–2 of the original melody and the melodic gestures between the original melody and its borrowing are quite similar.

I propose that a listener will likely orient themselves melodically with this borrowing in mm. 20–27 of *From Hanover Square North*. During these measures there is a stagnant pedal bass line and a brief segment of countermelody in the clarinet and piano, though only after the celli have begun their noticeable borrowing, making it likely that a listener will initially focus on the celli. In these measures, the off-stage orchestra continues ostinati setup at the beginning of the work, again heard quietly as they do not play with the main orchestra on stage.

However, though the off-stage orchestra plays quietly, they are audible on recordings and live as well.¹⁸ Beginning in m. 20, the cello borrowing of “In the Sweet Bye and Bye” invites listeners to hear the contrasts between these groups of instruments: the consonant, tonal (B \flat major) borrowing in the celli and the chromatic, dissonant accompaniment in the off-stage orchestra (see the topmost staves of Example 6.2). Example 6.4 shows a reduction of the harmonies sounding on beats 1, 2, and 3 in mm. 20–21 of the off-stage orchestra, in order to demonstrate their dissonance.¹⁹



Example 6.4: Measures 20–21 of *From Hanover Square North*, off stage orchestra (notes on beats 1, 2, and 3 only).²⁰

One could purposely choose to hear this dissonant background in relation to the tonal, consonant, diatonic (in B \flat major) musical borrowing of “In the Sweet Bye and Bye.” Though such a hearing can motivate a “Democratic” interpretation, I do not suggest that this example should be read in a manner exactly analogous to the “Democratic” dissonances found in “Sneak Thief.” Measures 20–27 of *From Hanover Square North* do

¹⁸ Examples of recordings on which the off-stage orchestra can be heard include the Cincinnati Philharmonic Orchestra, *Charles Ives: Universe Symphony, Orchestral Set No. 2, The Unanswered Question*, Baton Rouge: Centaur CRC2205, 1904, compact disc; and also the Cleveland Orchestra, *Ives: Three Places in New England, Orchestral Set No. 2*, London: Decca 00028944377620, compact disc.

¹⁹ Please note that I am only including notes directly sounding on beats 1, 2, and 3 of these measures, and am not including the sixteenth notes that connect these beats.

²⁰ I have reduced the passage to a single-stave texture and omitted doublings for ease of legibility. Octaves have been kept as they appear in *From Hanover Square North*.

not have the same expressive content as “Sneak Thief”; they are quieter, slower, and much more subdued than the loud and exuberant song.

I suggest that this dissonant setting creates a different effect in a listener: one of unsettlement. In mm. 20–27, the hymn’s dissonant accompaniment is heard distantly, from off-stage, creating the feeling of a disturbance to this otherwise consonant hymn melody. This “disturbance” may disconcert a listener, providing an ominous undertone to the hymn, the effect of which is added to by the work’s slow tempo and quiet dynamic level. In a sense, Ives has destabilized the hymn’s tonality by “adding” dissonances into its setting, making it very difficult to hear the passage as a unified tonal entity in B \flat major or any other key, despite the clear key of the borrowing.

I suggest that this effect of unsettlement can be interpreted as “Democratic.” By setting the hymn in this manner, Ives invites his listeners to actively feel unsettled and to dwell on the horrific act that had just taken place: the sinking of the *Lusitania* and the deaths of hundreds of civilians. Ives’s dissonant setting saturates the hymn borrowing with agency—it is not a simple or trivial “quotation”; instead, it creates a commentary on the dismaying and tragic loss of human life. Additionally, this dissonant setting acts subversively by refusing to allow listeners to passively “tune out” the world around them by listening to a “pretty” consonant hymn melody in a setting that is expected. Instead, Ives’s “Democratic” dissonances force a listener’s attention to tragedy, direct their feelings to the realm of the disturbing, and demand that they acknowledge the shocking situation. Such subversion is in and of itself “Democratic”; Ives’s music demands

recognition of the tragic circumstances directly caused by an autocratic and unethical regime.²¹

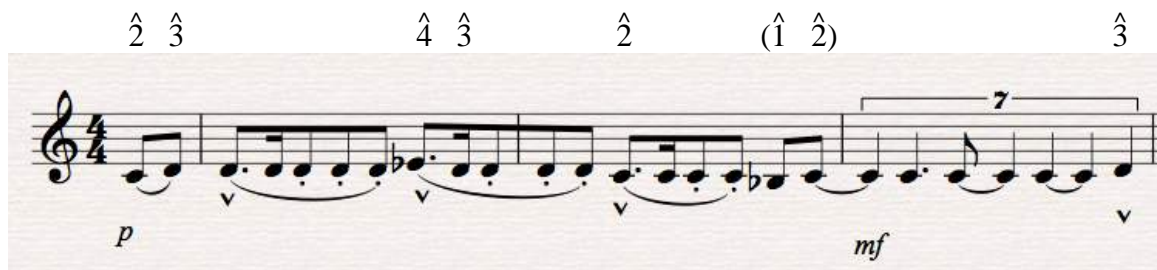
Measures 28–32 of *From Hanover Square North* can be seen in Example 6.2.

The horn melody in mm. 28–32 (doubled by the first clarinet beginning in m. 29) approximates excerpts from the verse and chorus of “In the Sweet Bye and Bye.”

Example 6.5a isolates the horn melody in mm. 28–30, which is transposed to concert pitch in Example 6.5b and is compared with part of the chorus of the hymn in Example 6.5c.

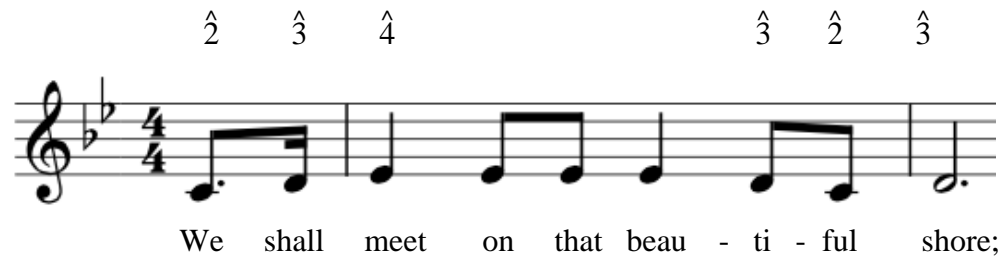


Example 6.5a: Horn melody in mm. 28–30 (beginning with m. 25) in *From Hanover Square North*. Note that the horn is in F.



Example 6.5b: Transposition of the horn melody in mm. 28–29 in *From Hanover Square North* to concert pitch (compare with Example 6.5a).

²¹ Other readings are of course possible. For example, Denise Von Glahn reads this background “noise” in these measures as representative of the sounds of New York City and the rest of the movement as a literal musical version of Ives’s program. See Von Glahn, *The Sounds of Place*, 100. Marianne Betz has a similar interpretation in her article “The Voice of the City,” *Archiv für Musikwissenschaft* 61, no. 3 (2004): 207–25; see especially p. 222, as does Burkholder in *All Made of Tunes*, 264. Again, I intend for my readings to complement—not contradict—those of past scholars.



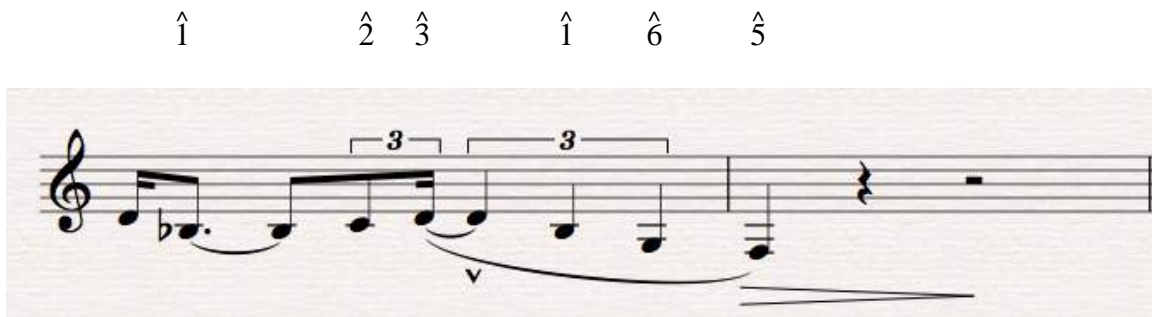
Example 6.5c: A segment of the chorus of the hymn “In the Sweet Bye and Bye” (mm. 11–12 of Example 6.1).

It may not be readily apparent how Example 6.5b relates to Example 6.5c. I have provided scale degrees above these two melodic segments (in B \flat major, continuing the key of the previous iteration of “In the Sweet Bye and Bye” from mm. 20–27). Though Ives elongates $\hat{3}$ and $\hat{2}$ in mm. 28–29 of *From Hanover Square North* (and contracts $\hat{4}$), the two segments of melody have a similar melodic contour and share rhythms in common, such as the dotted eighth sixteenth rhythm that appears several times.

Likewise, the horn part in mm. 31–32 of *From Hanover Square North* resembles the melodic and rhythmic profile of the opening of “In the Sweet Bye and Bye.” Example 6.6a shows the horn part in these measures, Example 6.6b transposes this horn part to concert pitch, and Example 6.6c contains the first few measures of “In the Sweet Bye and Bye” for comparison.



Example 6.6a: Horn melody in mm. 30–32 in *From Hanover Square North*. Note that the horn is in F.



Example 6.6b: Transposition of the horn melody in mm. 31–32 in *From Hanover Square North* to concert pitch (compare with Example 6.6a).



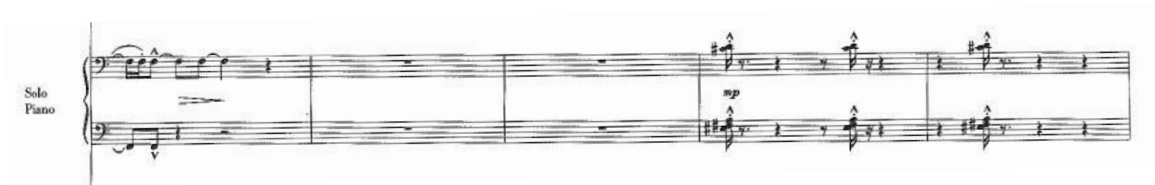
Example 6.6c: A segment of the verse of the hymn “In the Sweet Bye and Bye” (mm. 1–2 of Example 6.1) in B \flat major.

Scale degrees placed above Examples 6.6b and 6.6c show the similarities in melodic contour between the horn part and the opening of “In the Sweet Bye and Bye,” though Ives’s borrowing omits the middle three notes of 6.6c, as indicated by the example’s parentheses. The rhythm of the horn part in Examples 6.6a and 6.6b also approximates the rhythm of the hymn in Example 6.6c, though inexactly augmented.

Now that we have established that the horn part in mm. 28–32 of *From Hanover Square North* borrows from “In the Sweet Bye and Bye,” we can turn to the dissonant setting of this hymn as seen in Example 6.2. In these measures, the bass pedal and background orchestra continue unaltered, making it unlikely that a listener’s attention will be drawn to these instruments. However, a new harmonic event occurs: dissonant chords in the solo piano, violas, and celli that interrupt the horn melody multiple times. Because this is a new sonic event, it is likely that a listener will attend to the harmonies in

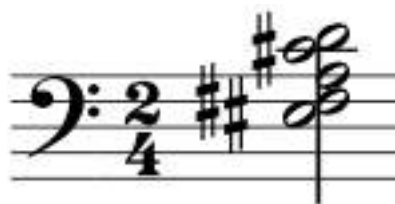
these measures, orienting himself or herself harmonically with the passage's setting. In most recordings the piano overwhelms the strings in these measures, rendering them inaudible; consequently my analyses will focus on the piano's harmonies, which remain unchanged in mm. 28–31.²²

The borrowing of “In the Sweet Bye and Bye” in mm. 28–32 invites listeners to hear the contrast between the distorted, tonal (B \flat major) hymn melody in the horn and clarinet and its dissonant, chromatic accompaniment in the piano. Example 6.7 isolates the piano in mm. 28–29 of *From Hanover Square North*.



Example 6.7: Piano part in mm. 28–29 (starting in m. 25) of *From Hanover Square North*.

One way to understand the dissonance of these harmonies is to relate them to triadic harmonic structures. Example 6.8a shows one of these harmonies in isolation, while Example 6.8b shows a D major and D minor triad in first inversion.



Example 6.8a: An isolated piano chord from mm. 28–31; this example combines the two staves from Example 6.7.

²² The recordings cited in footnote 17 by the Cincinnati Philharmonic Orchestra and the Cleveland Orchestra provide two examples of this phenomenon.



Example 6.8b: A D major and D minor triad in first inversion.

We can understand the harmony isolated in Example 6.8a as a D triad in first inversion with a split third (the harmonic basis of which is isolated in Example 6.8b), with an added major chordal seventh—a dissonant harmonic structure. Additionally, it is possible to relate the harmony in Example 6.8a with other triadic harmonic structures.²³

Three musical occurrences create a feeling of agitation in a listener in this passage. First, the distorted horn borrowing may agitate a listener; although the horn part initially sounds familiar, it is very different from the original borrowed melody both melodically and rhythmically. A listener must actively think about this horn melody in order to reconcile it with “In the Sweet Bye and Bye,” and consequently they may feel unsettled about Ives’s distorted borrowing. Second, the dissonant, accented chords seen in Examples 6.8a and 6.8b punctuate the consonant hymn melody with discords, further adding to the effect of agitation or upset. Finally, a listener might hear a clash between two different key areas in these measures: the fairly clear key of B♭ major in the horn and the less clear D-tonality emphasized by both the D pedal in the double basses and the dissonant piano chords which a listener may relate to a D split-third harmony.

²³ If an analyst takes into account enharmonic respelling, the harmony in Example 6.8a could be understood as deriving from superimposed D major and F major harmonies (with an extra C♯). Still another way to understand the harmony in Example 6.8a is as deriving from superimposed D major and A augmented chords.

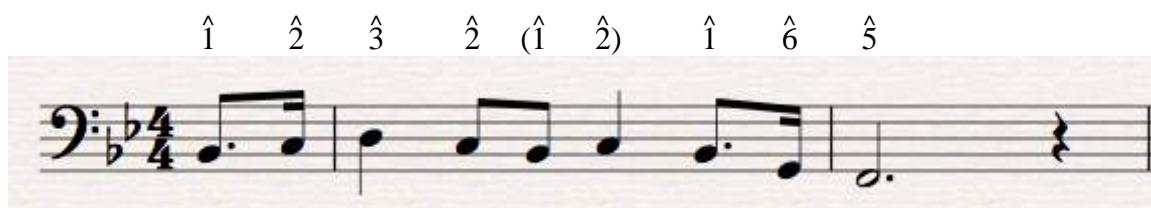
These three musical facets—the distorted hymn melody, the dissonant punctuating harmonies, and the clash of tonal centers—might lead to a “Democratic” interpretation. All three of these musical events create a sense of disruption or agitation in a listener, and all could be heard as expressive of anger or potentially as a premonition of a future conflict. Ives’s writings particularly support the latter interpretation. In his notes about the movement in his *Memos* he wrote: “Everybody who came into the office, whether they spoke about the disaster or not, showed a realization of seriously experiencing something. (That it meant war is what the faces said, if the tongues didn’t.)”²⁴ When this note is paired with the musical surface of mm. 28–32, a listener might interpret these measures “Democratically”—as a foreboding regarding the possibility of a future war between America and Germany.

Measures 32–39 of *From Hanover Square North* can be seen in full score in Example 6.2. In these measures, melodic segments that resemble the beginning of the verse of “In the Sweet Bye and Bye” appear in a stretto-like texture in three different keys in the lower strings (celli and violas), the right hand of the piano, and the second clarinet. Example 6.9a isolates the cello part in measures 32–34, while Example 6.11b shows the opening of “In the Sweet Bye and Bye” for comparison.



Example 6.9a: Measures 32–34 of *From Hanover Square North*, cello (beginning in m. 30).

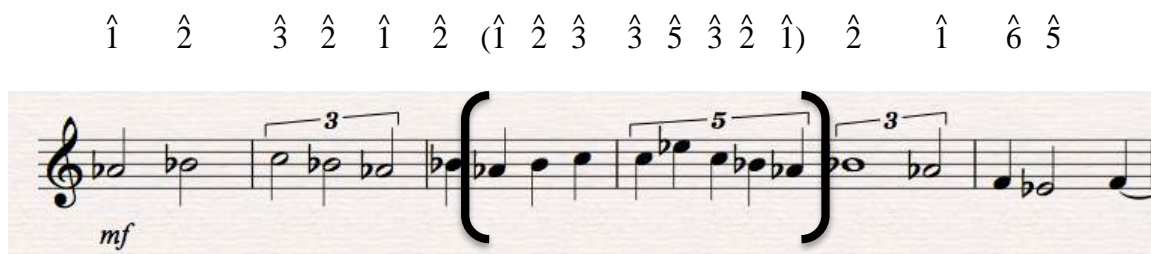
²⁴ Ives, *Memos*, 92.



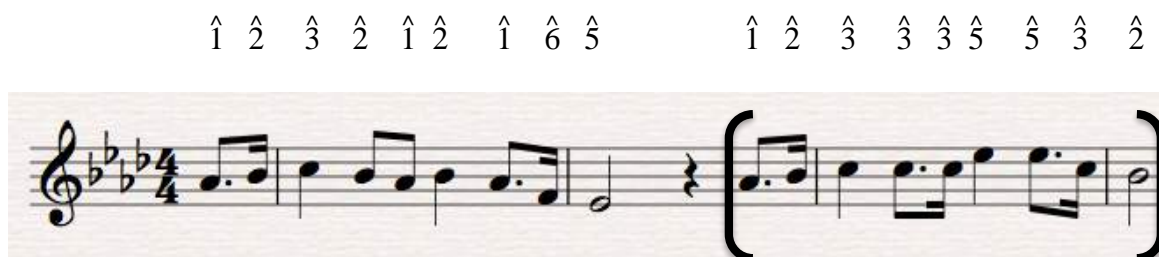
Example 6.9b: Opening of “In the Sweet Bye and Bye,” in B \flat major and bass clef for comparison.

Like many of Ives’s borrowings of “In the Sweet Bye and Bye” in *From Hanover Square North*, it is not readily apparent how this cello line derives from the hymn melody. Scale degree numbers have been placed above Examples 6.9a and 6.9b to make the relationship between the two more readily apparent. In these examples scale degrees in parentheses indicate notes that are not found in common between Ives’s borrowing and the original hymn melody.

Example 6.10a shows the right hand of the piano in mm. 33–38, while Example 6.10b shows the opening of “In the Sweet Bye and Bye” for comparison.

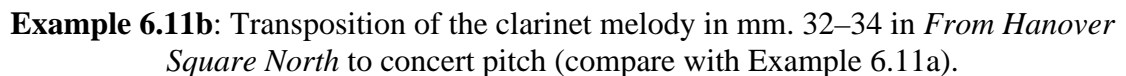
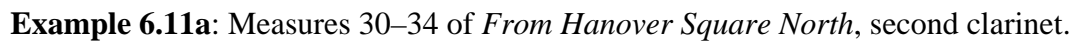


Example 6.10a: Measures 33–38 of *From Hanover Square North*, piano right hand.



Example 6.10b: Opening of “In the Sweet Bye and Bye,” in A \flat major for comparison.

Example 6.11a isolates the clarinet in mm. 32–34, while Example 6.11b transposes this melody to concert pitch and Example 6.11c shows the beginning of “In the Sweet Bye and Bye” for comparison.





Example 6.11c: Opening of “In the Sweet Bye and Bye,” in B \flat major for comparison.

Examples 6.11b and 6.11c have scale degree labels for ease of comparison. The clarinet part begins in m. 32 in a manner similar to the opening of “In the Sweet Bye and Bye”; however, it is derailed after its fourth note (as indicated by the example’s ellipses) and ends up in a different key entirely, as seen in Example 6.11d.



Example 6.11d: Measures 35–38 of *From Hanover Square North*, second clarinet.

As seen in Example 6.11d, the clarinet ends up in D major (concert pitch—written E major) by m. 36, again iterating motives heard in the opening phrases of “In the Sweet Bye and Bye.”

I suggest that this new stretto-like contrapuntal texture in mm. 32–39 results in a listener focusing on these instruments. Hearing the stretto-like imitation might prompt a listener to listen to this passage from a contrapuntal perspective. Example 6.12 isolates the counterpoint in mm. 32–39 between these instruments.



Example 6.12: Measures 32–39 of *From Hanover Square North*. The top staff isolates the second clarinet, the middle staff the right hand of the piano, and the bottom staff the celli/violas (concert pitch).

As seen in this example, all three instrumental groups clearly articulate a unique key: B \flat major in the lower strings, A \flat major in the piano, and D major (clear by m. 36—initially B \flat major) in the second clarinet. The product of these three simultaneous keys is a series of harmonically dissonant sonorities (again see Example 6.12).

I suggest that these dissonant chords could be interpreted “Democratically.” In mm. 32–39, each instrumental voice plays in its own distinct tonal center, recalling Ives’s written descriptions in his *Memos*. Ives wrote of the gradual build-up of the hymn melody at the train station: “Some workmen sitting on the side of the tracks began to whistle the tune, and others began to sing or hum the refrain.”²⁵ Ives’s stretto-like texture is reminiscent of different groups of people joining a song, as he described in his note. However, observe that in Ives’s musical rendition the instrumental “singers” are far from professional; the three instrumental groups each play in their own key area, and are

²⁵ Ibid., 92.

slightly “off” rhythmically from one another, vaguely replicating the sound of a (poorly rehearsed) amateur choir.²⁶

Ives’s simultaneous projection of three distinct tonal centers could be read as analogous to a “Democratic” plurality of different voices—metaphorically divergent types of people with different beliefs and opinions, united for a common cause. Though these voices are disparate, Ives indicated that they are compatible: they all articulate the same hymn melody in a hauntingly beautiful—though distinctly dissonant—combination. Furthermore, it is significant that the key of the clarinet becomes less related to the key of the lower strings as time goes on; though the former voice modulates over the course of this passage (perhaps indicating an increase in divergence from the others), it remains melodically fused with the lower two instrumental groups, indicating an overall joint mindset. A “Democratic” multiplicity of key areas has combined a plurality of distinctive individuals, united by their willingness to cooperate together.

Until now I have analyzed different passages in *From Hanover Square North* from one listening perspective, since the first sixty-seven measures of this movement remain relatively simple. Until m. 68 Ives gradually introduced different musical elements one at a time to segments of the verse of “In the Sweet Bye and Bye.” These musical elements included the presence of the off-stage orchestra, dissonant harmonies in the piano and strings, and stretto-like contrapuntal textures. Generally, only one new musical element was introduced at a time, lending such passages to a hearing that adopts a listening perspective focused on one such element.

²⁶ Burkholder makes a similar point in *All Made of Tunes*, 264–5.

In the measures immediately preceding the work's climax (m.102), more than one new musical element is introduced simultaneously; consequently, a listener may align with the passage from more than one listening perspective. The borrowing of "In the Sweet Bye and Bye" in mm. 68–82 invites listeners to hear two new musical elements simultaneously (or perhaps separately after multiple hearings): the first is the perspective of a listener who orients themselves melodically, with a musical borrowing and its original melody, while the second is the perspective of a listener who orients themselves melodically, with a second borrowed counter-melody that is reminiscent of the first.²⁷

First I will discuss the listening experience of a listener who orients themselves melodically with the musical borrowing of "In the Sweet Bye and Bye" and its original melody and rhythm. Example 6.13 shows mm. 68–75 of *From Hanover Square North*.²⁸

²⁷ I consider mm. 79–82 to be a transitional passage that does not contain a borrowing of "In the Sweet Bye and Bye." These measures form a short disruptive passage that suddenly clarifies with a clear statement of the hymn's chorus in m. 83.

²⁸ I have included mm. 68–75 of *From Hanover Square North*. I encourage readers to view the rest of the passage (mm. 76–78) in the critical edition of the work.

68 **H** più moto

Chimes

Harp

Piano

Vns. & Vs.

Db.

68 **H** più moto
(short notes)

1
Hrn.
in F

2

Tpts.
in Bb

1

2

Tbn. 1

Tuba

S.D.
B.D.
+ Cym.

Solo
Piano

Organ

68 **H** più moto

Vn. 1

Vn. 2

Va.

[non trem.] (short notes [through m. 82])

Vc.

(Low D only in absence of Organ.)
[div.]

Db.

* Notation of large triplets is simplified in Violin parts, through m. 75.

72

Chimes

Harp

Piano

Vnr. & Va.

Db.

Fls. 1 2

Cl. 1 in Bb

Hns. in F 1 2

Tpts. in Bb 1 2 3 4

Tbns. 1 2

Tuba

S.D. B.D. + Cym.

R.H. may be played with a slight shape upwards (hardly an arpeggio)

Solo Piano

Organ

Vn. 1

Vn. 2

Va.

Vc.

Db.

* Parts have 4 quarter notes in m. 72

Example 6.13: Measures 68–75 of *From Hanover Square North*.

Example 6.14a shows the first violin part in mm. 68–78, while Example 6.18b depicts the chorus of “In the Sweet Bye and Bye” for comparison.



Example 6.14a: The first violin part in mm. 68–78 of *From Hanover Square North*.



Example 6.14b: The chorus of “In the Sweet Bye and Bye” in D major.

The brackets in Example 6.14a show rhythmic alterations that Ives made to the chorus of “In the Sweet Bye and Bye” in mm. 68–75 of *From Hanover Square North* (beyond the obvious augmentation of the original rhythm). These rhythmic “insertions,” as they may be thought of, are audible (though subtle) and might lead to a feeling of disorientation or perhaps interruption in a listener; after all, they deviate from the rhythm that a listener familiar with the hymn would expect.

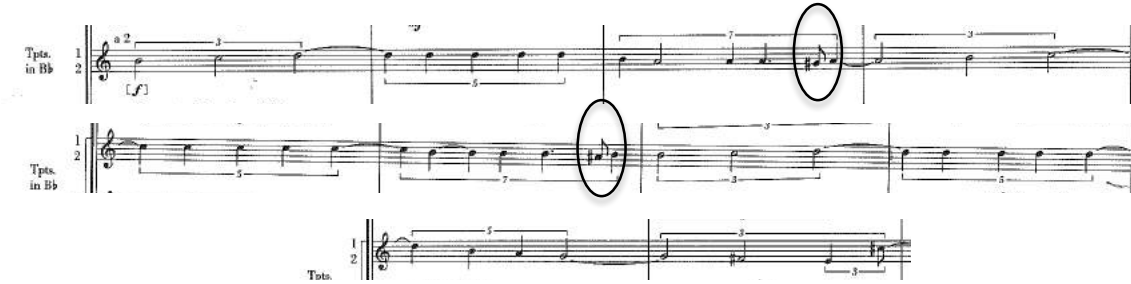
These rhythmic “insertions” could be interpreted from a constructive “Democratic” perspective. In measures where a listener familiar with the hymn would expect a long note, they instead hear the more active, three-note dotted rhythms bracketed

above. These active rhythms infuse the chorus of “In the Sweet Bye and Bye” with energy and vitality, changing a stagnant rhythm to one with a dynamic quality of motion. This increase in motion and subtle increase of energy allows for an interpretation of an increase of power or strength; after all, those with a quality of “weakness” tend to exhibit less animated properties (e.g., a sick or tired person), while those with a quality of “strength” are thought of as more energetic and active. Such an infusion of strength can be interpreted as “Democratic,” especially in light of the fact that one of Ives’s most common “Democratic” associations was between dissonant musical structures and strength.²⁹

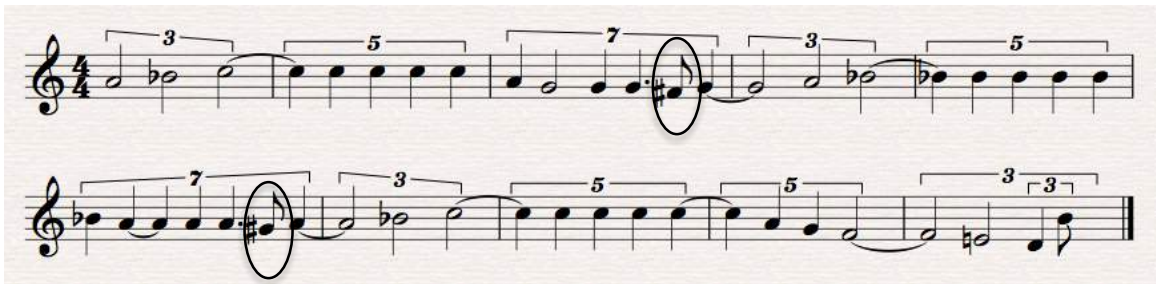
A second listening perspective will now be discussed. In mm. 68–82 a significant event is heard: the brass (horns, trumpets, trombones, and tuba) enter with a series of countermelodies played at forte or fortissimo dynamic levels; these echo segments of the chorus of “In the Sweet Bye and Bye.” The most prominent of these countermelodies is heard in the trumpets, which play a mostly unison version of the verse of “In the Sweet Bye and Bye” (see Example 6.13). Unlike the violins, which play the borrowed hymn chorus in D major, the trumpets play in F major.

Example 6.15a shows the trumpet melody in mm. 68–77, while Example 6.15b transposes this melody to concert pitch.

²⁹ See Table 4.4 in Chapter 4. In this passage I am extending a “Democratic” readings to rhythmic parameters that I have not discussed in terms of any “dissonant” features. I do believe that Ives’s rhythmic “insertions” could be read here as rhythmically “dissonant” in one sense of the word. These rhythms diverge from those of the original hymn melody, creating a sort of “dissonance” in a listener—i.e., a “dissonance” between and what is actually heard and their expectation of the original hymn melody.



Example 6.15a: Measures 68–77 of *From Hanover Square North*, trumpets 1 and 2. Note that the trumpet is in B \flat and consequently sounds down a whole step (in F major).



Example 6.15b: Transposition of the trumpet melody in mm. 68–77 in *From Hanover Square North* to concert pitch (compare with Example 6.15a).

Example 6.15c shows the chorus of “In the Sweet Bye and Bye” in F major for comparison.



Example 6.15c: Chorus of “In the Sweet Bye and Bye” in F major.

Ives’s borrowing of the hymn’s chorus is very similar to the original melody in terms of pitch and rhythm, though Ives’s version of the tune is once again inexactly rhythmically augmented.

However, there are a few chromatic alterations in mm. 70 and 73 (circled in Examples 6.15a and 6.15b) that do not appear in the original tune. The first in m. 70 could be read as $\sharp\hat{1}$ (a chromatic neighbor note to $\hat{2}$), while the second in m. 73 as $\sharp\hat{2}$ (a chromatic neighbor note to $\hat{3}$). Though this passage on the whole remains predominantly tonal and diatonic and is certainly less dissonant than other passages that I have interpreted as “Democratic,” it still contains dissonant chromatic alterations (melodic minor seconds) that do perceptibly alter the original hymn melody. These distinctive chromatic alterations could be read as dissonant “additions,” to the diatonic hymn, and we can interpret these chromatic neighbors as having their own constructive function. This function is one of amateurism; the “In the Sweet Bye and Bye” borrowed countermelody is not only rhythmically “off” from the original hymn melody, but it is also “off” with regards to pitch. This passage has been strengthened by a sense of “Democratic” unity: individuals both more professional (the violins) and more amateur (the trumpets) play together for a singular purpose.

Thus far I have claimed that listeners can read dissonant musical structures in *From Hanover Square North* as alterations to what could be interpreted as consonant, tonal frameworks. The same can be claimed for mm. 83–100.³⁰ I will draw on evidence from Ives’s manuscript sketches of these measures to suggest that he might have initially been thinking of his setting of the hymn “In the Sweet Bye and Bye” in a tonal fashion. Additionally, Ives’s sketch manuscripts also suggest that he may have been thinking

³⁰ Note that I consider mm. 97–100 to be another “disruptive” passage that leads to the clear climactic statement of the hymn’s chorus in m. 101.

about this passage bitonally from its very inception, further supporting the possibility of a “Democratic” interpretation of these measures.

Example 6.16 shows mm. 83–90 of *From Hanover Square North*.³¹

³¹ See the critical edition of *From Hanover Square North* for mm. 91–100 in this passage.

83 **I**

Chimes

Harp

Piano

Vns. & Va.

Db.

83 **I**

Fls. 1 2

Clas. 1 2 in Bb

Hn. 2 in F

Tpt. 1 in Bb

Tbn. 1

Tuba

S.D.
B.D.
+ Cym.

Solo Piano

Organ

83 **I**

Vn. 1

Vn. 2

Va.

1/4 section

Vc.

1/2 section [non trem.]

Db.

The musical score is divided into three systems. The first system (measures 83-86) includes Chimes, Harp, Piano, Violins & Viola, and Double Bass. The second system (measures 83-86) includes Flutes, Clarinets in Bb, Horn in F, Trumpet in Bb, Trombone, Tuba, Snare Drum, Bass Drum, and Cymbals. The third system (measures 83-86) includes Solo Piano, Organ, Violin 1, Violin 2, Viola, 1/4 section, Violoncello, 1/2 section [non trem.], and Double Bass. The score features various musical notations including notes, rests, slurs, and dynamic markings.

87

Chimes

Harp

Piano

Vns. & Va.

Db.

87

Fls.

1

2

Clo. in B \flat

1

2

Hr. 2 in F

(solo)

[p]

[mf] [Hr. 2 cued in Tpt. 2 & Tbn. 1]

Tpt. 1 in B \flat

Tbn. 1

Tuba

S.D.
R.D.
+ Cym.

Solo Piano

Organ

87

Vn. 1

Vn. 2

Va.

$\frac{1}{2}$ section

div. unis.

Vc.

$\frac{1}{2}$ section

Db.

Example 6.16: Measures 83–90 of *From Hanover Square North*.

I will now explore a bitonal listening perspective that is supported by Ives's notes on the manuscript sketches of *From Hanover Square North*. In mm. 83–100 of this movement, I suggest that a listener may orient himself or herself melodically and harmonically, with the melody and harmonic setting of the hymn's chorus that is heard clearly in several different instrumental groupings—the violins/piano and the flutes/piano. In other words, a listener's attention might be drawn to one (or both) of these melodic borrowings (violin or flute), and they might also notice some of the chords in the piano (marked at *ff*) which effectively replicate those found in the hymn's original setting.

Example 6.17a shows the piano, organ, and violin parts in mm. 83–86 (which I will focus on for the remainder of this analysis), while Example 6.17b shows the flute parts in these same measures.

Example 6.17a is a musical score snippet from measures 83 to 86 of the piece *From Hanover Square North*. It features four staves: Solo Piano, Organ, Vn. 1, and Vn. 2. The Solo Piano part is marked *ff* and contains complex chords and triplets. The Organ part is marked *ff* and features a prominent melodic line. The Violin parts (Vn. 1 and Vn. 2) are marked *ff* and feature a melodic line with triplets. The score includes various musical notations such as notes, rests, and dynamic markings.

Example 6.17a: The piano, organ, and violin parts in mm. 83–86 of *From Hanover Square North*.

Example 6.17b is a musical score snippet from measures 83 to 86 of the piece *From Hanover Square North*, focusing on the flute parts. It features two staves: Flute 1 and Flute 2. The Flute parts are marked *ff* and feature a melodic line with triplets. The score includes various musical notations such as notes, rests, and dynamic markings.

Example 6.17b: The flute parts in mm. 83–86 of *From Hanover Square North*.

When Ives composed this passage, he may have been thinking of this melody and its accompaniment in a bitonal, consonant context, attempting to relate these borrowed melodies to their original harmonies found in a traditional setting of the hymn. A typical setting of the beginning of the chorus of “In the Sweet Bye and Bye” would be harmonized first with a tonic and then a dominant triad, as shown in Example 6.18.



Example 6.18: The opening two measures of the chorus of “In the Sweet Bye and Bye” in D major shown with a traditional tonal-harmonic setting.

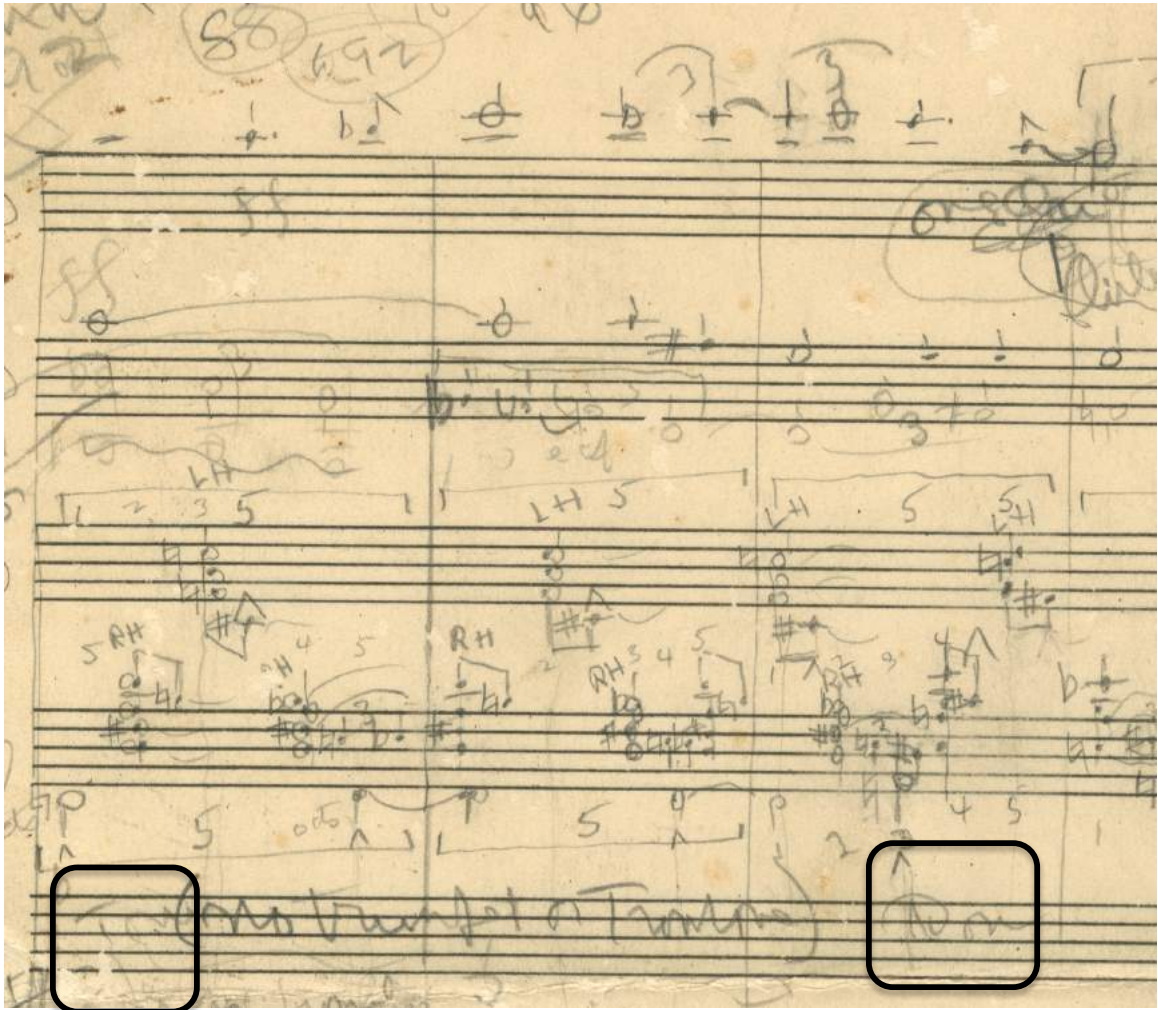
Example 6.18 contains the segment of the chorus of the hymn that is harmonized in mm. 83–86 of *From Hanover Square North* (in D major in the violins and in F major in the flutes), though the rhythms in Ives’s version have been inexactly augmented.

Early sketches of these measures indicate that Ives was initially thinking of harmonizing this hymn as related to either or both D major or F major. Example 6.19a shows an excerpt from f1310, the earliest existent sketch of these measures:

Additionally, Ives's harmonic labels align with a traditional tonal harmonization of the hymn (see Example 6.18). In other words, it is likely that Ives may have been thinking of this hymn in its conventional tonal context when he set it, going so far as to write the functions of a traditional tonal harmonization underneath his rhythmically augmented borrowings. However, in Ives's version this traditional harmonization appears in two keys simultaneously—D major and F major together.

Example 6.20 shows the same measures (mm. 83–85) from a later sketch of *From Hanover Squares North*.³⁵

³⁵ F1318 in MSS 14, The Charles Ives Papers in the Irving S. Gilmore Music Library of Yale University. Used by permission of Peer International Corporation.



Example 6.20: A later sketch of mm. 83–85 of *From Hanover Square North* (f1318).

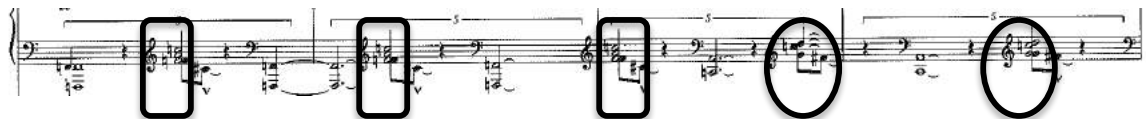
In this sketch, “Tonic” and “Dom” appear in analogous measures to their locations in the earlier sketch (Examples 6.23), as seen on the bottom staff of Example 6.24 (highlighted with black boxes). “Tonic” and “Dom” are written in very light pencil; additionally, on top of the “Tonic” marking Ives wrote “(no trumpet or trombone),” slightly obscuring it. Like Ives’s earlier sketch of these measures, in f1318 Ives chose to write in “Ton” (short for tonic) and “Dom” (short for dominant) in mm. 83 and 85—the same measures as his previous sketch. However, in this later sketch Ives has separated the F major and D major

iterations of the hymn into separate staves (the former on the top staff and the latter on the second from the top staff). The D major and F major harmonies can be seen clearly in the next two staves—the former on top, and the latter on bottom, closely resembling the work’s final piano part.

As demonstrated by these examples, Ives likely may have been initially thinking of the hymn melody “In the Sweet Bye and Bye” in a consonant, tonal context that aligned with a traditional harmonization of the borrowed hymn melody. These harmonies, in the keys of D and F major, still appear in the final draft of these measures, as Examples 6.21a and 6.21b demonstrate.



Example 6.21a: Right-hand piano part in mm. 83–86 of *From Hanover Square North*.



Example 6.21b: Left-hand piano part in mm. 83–86 of *From Hanover Square North*.

In Example 6.21a, harmonies that include the notes D, F \sharp , and A can be found inside the black boxes. Such harmonies could be interpreted as based upon a tonic harmony in D major. Additionally, harmonies that include the notes A, C \sharp ,³⁶ and E in Example 6.21a are found within the black circles. These harmonies could be interpreted as based upon a dominant harmony in D major. In Example 6.21b, harmonies that include the notes F, A, and C can be found inside the black boxes. Such harmonies could be interpreted as based upon a tonic harmony in F major. Additionally, harmonies that include the notes C and G

³⁶ Only the first and last circled harmonies contain the C \sharp .

in Example 6.21b are found within the black circles. These harmonies could be interpreted as based upon a dominant harmony in F major.

This bitonality results in a highly dissonant passage, leaving it open for a “Democratic” interpretation. In mm. 83–86 of *From Hanover Square North*, Ives has contrasted melodic borrowings of “In the Sweet Bye and Bye” in two different key areas, setting each with respective triadic harmonies that would be found in a traditional harmonization. These two different borrowings could again suggest a plurality of different “voices” that work together to achieve a similar melodic goal (iterating the same hymn melody) though by different harmonic means (i.e., different keys). The key areas of these two borrowings are distantly related, perhaps indicating that the sources of their metaphorical “voices” are divergent and potentially disagreeing. However, the musical representations of these voices are still willing to work together harmoniously, much as an ideal “Democratic” form of government would operate.

Measures 102–9 constitute the climax of *From Hanover Square North*.³⁷ In these measures, the entirety of the orchestra plays in a cacophonous sound mass. However, the borrowing of “In the Sweet Bye and Bye” is heard clearly in F major in the upper brass, while the lower brass play a harmonic accompaniment that is very similar to the original hymn’s accompaniment in this same key area. In these measures a listener’s attention will be drawn to several different musical features. First, a listener might focus not only on the borrowed hymn melody, but also on its prominent non-borrowed counter-melody heard in the first trumpets. In other words, a listener might orient melodically, with a non-

³⁷ Note that I consider mm. 97–100 to be another “disruptive” passage that leads to the clear climactic statement of the hymn’s chorus in m. 101. I have not included them since they do not contain a clear borrowing of “In the Sweet Bye and Bye.”

borrowed counter-melody in the work's setting. Second, a listener might focus on the prominent bass part heard in the trombones and celli. This would result in a listener who orients himself or herself harmonically, and who compares the work's actual bass line with the borrowing's original harmonic setting.

Example 6.22 contains mm. 102–9 of *From Hanover Square North*.

* Distant Choir score for these measures provided on page 68. *** Optionally col Horn 3 (upper part, to m.109).
 ** Triplet rhythms rationalized in Flute and Clarinet parts. **** Optionally col Theremin [I] (to m.109).

Example 6.23 contains a reduction of the first and third trumpet parts in these measures.

The image shows a musical score for two trumpets, likely in 4/4 time. The top system consists of two staves. The first staff (top) contains a melodic line with eighth and quarter notes, featuring a chromatic descent in the second measure. The second staff (bottom) provides a harmonic accompaniment with dotted half notes and quarter notes. The bottom system also consists of two staves. The first staff continues the melodic line with a prominent chromatic embellishment in the third measure, marked with a '5' (fingering). The second staff continues the accompaniment. The key signature has one flat (Bb), and the time signature is 4/4.

Example 6.23: The first and third trumpet parts in mm. 102–9 of *From Hanover Square North*. Note that the trumpets in Example 6.22 are in B \flat and are written in concert pitch in Example 6.23.

As seen in this example, the third trumpet plays the chorus of “In the Sweet Bye and Bye” in F major while the first trumpet plays a prominent embellishment of the main melody in mm. 102–9. When heard together, these parts sound unified due to their similar timbres and notes that they share (i.e., the beginning and ending of each measure). However, the first trumpet embellishment contains a plethora of chromatic notes outside of the diatonic F major collection—notes unexpected for a listener familiar with “In the Sweet Bye and Bye.”

Though not as dissonant as some “Democratic” passages previously interpreted, these chromatic notes do create a series of harmonic dissonances when played concurrently with the original hymn melody (see Example 6.23). I interpret these dissonances as “Democratic” and believe that this passage of *From Hanover Square North* most closely relates to the aesthetic of “Sneak Thief.” The song “Sneak Thief” begins with a solo trumpet playing a borrowed melody marked at a dynamic level of

fffff.³⁸ Near this trumpet opening Ives wrote the following note: “The people Do NOT SING = YELL! Then Kill the SLAVE maker.”³⁹ Ives’s treatment of borrowed materials in mm. 102–9 of *From Hanover Square North* is related in this passage of “Sneak Thief,” resulting in what could be interpreted as a depiction of “yelling” in the former work. In *From Hanover Square North*, Ives marked an extreme dynamic level (*fff*) similar to that marked in “Sneak Thief,” and also used the same instrument to prominently display a borrowed melody—the trumpet. However, I would suggest that the quality of “yelling” in *From Hanover Square North* is expressively very different from the “yelling” in the opening of “Sneak Thief.” The beginning of “Sneak Thief” is sharply dissonant, loud, and fast, resulting in “yelling” that seems to express frustration, agitation, and anger. In contrast, measures 102–9 of *From Hanover Square North* are slower, statelier, and are more clearly based on a tonal model, resulting in “yelling” that seems to express joy and a quality of triumph. This “yelling” could be interpreted as a “Democratic” shout of victory—over autocratic regimes, unprovoked military attacks, or perhaps even over death itself.

A second manner of hearing this passage might also focus on the prominent bass part heard in the trombones and celli in mm. 102–9, which would result in a harmonic orientation. Example 6.24 shows the isolated bass line presented in mm. 102–9.

³⁸ See Example 5.2a in Chapter 5.

³⁹ See Tables 4.15a and 4.15b in Chapter 4 for my complete transcriptions of Ives’s marginalia in “Sneak Thief.”



RNs: I I⁶ V V₂⁴ I⁶ $\frac{V^7}{V}$ V I



RNs: I I⁶ IV V I⁶ IV V I

Example 6.24: Bass line (in F major) heard in the trombones and celli in mm. 102–9 of *From Hanover Square North*.

This bass line has clear tonal implications as it outlines a harmonic progression that closely resembles the hymn melody’s traditional harmonic setting, seen in the Roman numerals (in F major) in Example 6.24. For this reason a listener might compare the work’s bass line to the borrowing’s original harmonic setting.

Numerous other instruments play snippets of “In the Sweet Bye and Bye” that form a dissonant counterpoint against this bass line in mm. 102–9 of *From Hanover Square North*. One such dissonant counterpoint can be found in the flute part, the highest voice in the orchestra. A conservatory-trained listener might naturally listen for these parts together (highest and lowest), as they are taught to do for taking harmonic dictations in aural skills classes. Example 6.25 juxtaposes the flute part against the trombone bass line in these measures.



Example 6.25: Flute (top staff) and trombone (bottom staff) parts in mm. 102–9 of *From Hanover Square North*.

These different instrumental groupings seem to suggest a bitonal hearing. The lower staff depicts a bass part with clear tonal implications in F major, while the top staff shows a segment of “In the Sweet Bye and Bye” in B major with some chromatic alterations.

A listener mentally comparing these different instruments might interpret this bitonal counterpoint as “Democratic.” In Chapters 1 and 5 I previously discussed one of Ives’s associations in his *Memos* that supports this point.⁴⁰

And the Puritan ‘no-compromise’ with mellow colors and bodily ease gives a natural reason for trying tonal and uneven off-counterpoints and combinations which would be the sound of sterner things—which single minor or major triads or German-made counterpoint did not (it seemed to me) come up to. This music must, before all else, be something in art removed from physical comfort.

In this excerpt Ives identified consonant counterpoint as “German-made,” linking it with his non-constructive associations between consonance and conventional musical rule

⁴⁰ Ives, *Memos*, 130.

following,⁴¹ and he also implied that such consonant counterpoint was not capable of expressing the “sound of sterner things,” which he associated with strength and a rugged individuality. Hearing different instrumental groupings in mm. 102–9 of *From Hanover Square North* in a dissonant, bitonal counterpoint results in a manifestation of the dissonant “Democratic” spirit in a manner more closely aligned with Ives’s ideal associations: different instrumental “voices” are again united together by their borrowing (the borrowed hymn in the flute and the hymn’s original harmonic implications in the trombones), though these voices exhibit individuality in their non-closely related key areas. The “Democratic” nature of this passage lies in this divergence—though seemingly disagreeing in their implied key areas, the flutes and trombones are united through their melodic implications, both working together towards the expression of the same hymn melody. This could again be interpreted as a musical metaphor for divergent members of society who work together ideally for a “Democratic” means of governance despite differences in background and opinion.

Repetitive fragments of the hymn’s chorus are heard in the upper violins in the final measures of *From Hanover Square North* (mm. 109–119). The movement suddenly drops to a “*ppp*” dynamic level, allowing listeners to once again hear the dissonant off-stage orchestra, who have repeated their ostinati for the entirety of the movement. Listeners might focus again on the sudden reappearance of this off-stage orchestra and hear it as juxtaposed with the consonant hymn fragments in the violins. Such a reading might be similar to that posed earlier for mm. 20–27 of this work: e.g., this off-stage

⁴¹ See Table 4.13 of Chapter 4 for a summary of Ives’s associations between consonance and musical rule following.

dissonant accompaniment could be interpreted as an alteration of the otherwise consonant hymn melody, and might consequently be interpreted in a “Democratic” fashion.

6.3 Conclusions

In this chapter I have demonstrate how one might employ different listening strategies in construing potential orientations for dissonantly set musical borrowings in connection with more conventional tonal readings. I have also shown how a listener might pay attention to other compositional procedures such as multiple concurrent borrowings, simultaneous pitch and temporal parameters, and contrapuntal and harmonic aspects within a single passage. In analyzing these passages from *From Hanover Square North* I have identified potential listening strategies, compared the passage with conventional tonal models, and interpreted their musical implications in those contexts.

My readings of “Democratic” dissonances in *From Hanover Square North* are distinctive and complementary to those of other scholars. Like “Sneak Thief,” few scholars have discussed *From Hanover Square North* in exhaustive detail. One scholar who has analyzed this movement is Glenn Watkins, in his book *Proof Through the Night: Music and the Great War*.⁴² According to Watkins, Ives’s use of the hymn tune “In the Sweet Bye and Bye” “offered the musical equivalent of a funerary oration, the time-honored means of capturing the pathos and sacrilege of war.”⁴³ Additionally, Watkins stated that the gospel hymn “emphasized the collective national memory of the nineteenth-century American camp meeting,” as well as the “present-day railway

⁴² See Watkins, *Proof Through the Night*, 346–48.

⁴³ *Ibid.*, 347.

station—a symbolic point of departure in Europe from the opening hours of the war.”⁴⁴ In his writings Watkins did not choose to focus on Ives’s dissonant settings of his musical borrowings; instead, he studied the expressive content of the hymn’s music and text.⁴⁵ However, like myself Watkins did draw on Ives’s own associations (such as his link between evoking the hymn “In the Sweet Bye and Bye” and his account of an event in a “railway station”).

Another scholar who discussed *From Hanover Square North* in detail is Lawrence Kramer.⁴⁶ Kramer read the movement as an example of Ives’s insincere patriotism as expressed through his musical works, stating that the movement “speaks too loudly not to strain credulity.”⁴⁷ Unlike other scholars,⁴⁸ Kramer did not interpret the movement from a positive perspective, but instead read the movement as a representation of “a world that Ives thought he had lost forever to urban modernity, the homogenous world of the New England countryside.”⁴⁹ Kramer’s reading of the movement is quite different from my own. I disagree with Kramer and read *From Hanover Square North* as a sincere expression of Ives’s patriotism (as shown through his use of various “Democratic” dissonances), though he makes several well argued points in his essay.

My readings may offer a listener, analyst, or performer other viewpoints. For example, no scholar has yet described Burkholder’s suggestion of a “cumulative” formal

⁴⁴ Ibid., 347.

⁴⁵ I take a similar approach in my article *The MACMIT Model for Musical Expressive Meaning*.

⁴⁶ Lawrence Kramer, “‘Au-delà d’une musique informelle’: Nostalgia, Obsolescence, and the Avant-Garde,” *Muzikologija* 6 (2006): 43–62.

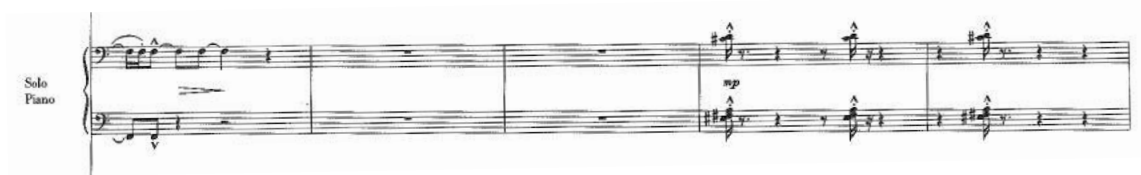
⁴⁷ Ibid., 60.

⁴⁸ Watkins, Von Glahn, and Betz.

⁴⁹ Kramer, “‘Au-delà d’une musique informelle,’” 52.

design in this movement from a music theoretical perspective in full detail.⁵⁰ The borrowed melody “In the Sweet Bye and Bye” relates to its original melody in different ways throughout the work: Ives initially borrowed from the tune’s verse before switching to its chorus about halfway through the movement, and his borrowings toward the beginning of the movement have a rhythm that is much less closely related to its original rhythm than his borrowings toward the end of the end of the movement. This gradual rhythmic clarification of the hymn supports Burkholder’s formal reading in *All Made of Tunes*.

Additionally, a musician may experience performance related gains from listening in the ways suggested in this chapter. Example 6.26 reproduces Example 6.7 from earlier in this chapter.



Example 6.26: Piano part in mm. 28–29 (starting in m. 25) of *From Hanover Square North* (reproduced from Example 6.7).

The piano chords seen in this example occur over a borrowing of part of the verse of “In the Sweet Bye and Bye” in the horn in mm. 28–31 of *From Hanover Square North*. As seen in this example, these dissonant harmonies were marked at a *mp* dynamic level by Ives. Interpreting these dissonances as “Democratic” associations suggests that a performer might choose to play them at a slightly louder dynamic level than they are marked, making absolutely sure that they are audible to audience members.

In Chapter 7 I consider the context of World War I and its effect on the perception

⁵⁰ Burkholder, *All Made of Tunes*, 137.

of Germany by Americans during and after the war. I discuss how this context might have affected Ives later in his life, suggesting that it may have contributed to his musical revisionary practices. Next, I hypothesize that these revisionary practices can be seen in two different works that Ives composed earlier in his career (either during or before World War I) and revised towards the end of his life. These works include the Symphony No. 2 and the song “He is There!”.

Chapter 7

“Democratic” Dissonances: Revisions

How about that, Mama Nature? Professors, Doctors of Music, and some Germans call you somewhat unnatural and a tough man, when you play a few quarter-tones!
—Charles Ives, *Memos*¹

7.0 Introduction

In his infamous article “Charles Ives: Some Questions of Veracity,” Maynard Solomon portrayed Ives as a chronic reviser.²

Charles Ives was by nature a reviser—and not only of scores. He wasn’t ever content with things as they were, whether these were his own or other people’s music, the way governments were run, life insurance was sold, or even the unshakeable facts of existence. If things needed changing, and they usually did, he would see what could be done about them.

In this essay, Solomon suggested that Ives might have purposely obscured the dating of some of his compositions by revising works later in his life so that his music would appear in a more modernist light to future generations. One piece of evidence that Solomon cited was a passage written by Elliott Carter on Ives’s revision process.³

I can remember vividly a visit on a late afternoon to his [Ives’s] house on East 74th Street ... —this must have been around 1929. He was working on, I think, *Three Places in New England*, getting the score ready for performance. A new score was being derived from the older one to which he was adding and changing, turning octaves into sevenths and ninths, and **adding dissonant notes**. Since then, I have often wondered at exactly what date a lot of the music written early in his life **received its last shot of dissonance** and polyrhythm. In this case he showed me quite simply **how he was improving the score**. I got the impression that he might have frequently **jacked up the level of dissonance of many works as his tastes changed**.

¹ Ives, *Memos*, 50.

² Solomon, “Some Questions of Veracity,” 443.

³ Account by Elliott Carter in Vivian Perlis, *Charles Ives Remembered: An Oral History* (Chicago: University of Illinois Press, 2002), 138. Emphasis is mine.

In this intriguing passage, Carter claimed that Ives was “improving” his scores later in life by “adding dissonant notes,” seemingly supporting Solomon’s suggestions.

Additionally, in “Some Questions of Veracity,” Solomon revealed that Ives scholar John Kirkpatrick (considered by many present-day musicologists and theorists to be an authoritative figure on Ives’s life and music) confirmed Carter’s claims. Quoting Kirkpatrick, Solomon wrote:⁴

[According to Kirkpatrick] Ives was led “on several occasions to find in his early musical works ... a dissonance which they had not contained when he had written them,” and he spoke of Ives’s penchant—of which he did not always approve—for stepping up the level of dissonance in his revisions.

In general, Ives scholars have reacted defensively to Solomon’s ideas, denying that Ives added dissonances into his works as part of his compositional revision process.⁵ I do not wish to add extensively to these defenses, but I do wish to briefly address them. Though I partially agree with the gist of these scholarly arguments—I do not think Ives deliberately added dissonances into his scores years later in order to appear more modern—I do think that their defensiveness may be a bit premature. What if the claims of Solomon, Carter, and Kirkpatrick are—in part, perhaps—correct, and Ives did sometimes add dissonances to his earlier music later in life? Perhaps Ives was not trying to create a pattern of falsification, as Solomon claimed, but instead he might have thought his revisions served to improve upon his music in some way, as Carter suggested.

⁴ Solomon, “Some Questions of Veracity,” 466.

⁵ See footnote 10 of Chapter 2 for more information on arguments against Solomon. However, it seems that the fact that both Carter and Kirkpatrick wrote specifically of Ives adding dissonances to his works may be telling. There are many other aspects of Ives’s compositions he could have revised—aspects of form, borrowings, scoring, or rhythm, to name a few—but both Carter and Kirkpatrick specifically described his addition of dissonance in their writings.

In this chapter I support this latter hypothesis with historical and biographical evidence, before turning to two patriotic works that Ives revised years after they were initially composed with the addition of dissonances. First, I suggest that Ives's behaviors and musical practices may have been influenced by practices during World War I undertaken by American citizens who attempted to erase or cover up various aspects of German culture (in section "7.1 The Influence of World War I"). Next, I explore Ives's own revisionary behaviors and musical habits (in section "7.2 Ives's Revisionary Behaviors"), showing how they may have been—at least in part—a reflection of this prior wider cultural phenomenon.

Finally, I analyze Ives's musical revisions and some "added" dissonances in two different patriotic works that both appear on Ives's "List: Music and Democracy!" including his Symphony No. 2 (in section "7.3 Symphony No. 2"), and the revision of his song "They are There!" from his earlier song "He is There!" (in section 7.4 "They are There!") before summarizing my results (in section "7.5 Conclusions").⁶ In these analytical sections I show how Ives's dissonant additions could be understood as "Democratic" dissonances that improve upon passages containing consonant, tonal musical borrowings, similar to my analyses in Chapters 5 and 6. However, unlike Chapters 5 and 6, the analyses in Chapter 7 are not meant to be extensive; they are simply meant to briefly illustrate examples of Ives's dissonant revisions in his later life.

⁶ See Table 4.20 of Chapter 4 for the complete list. The fourth movement of Ives's Symphony No. 2 is listed as number six, while "He is There!" is listed as number nineteen.

7.1 The Influence of World War I

During World War I, many Americans engaged in a reactionary practice against Kaiser Wilhelm II and the nation of Germany by attempting to erase or cover up various aspects of German culture. In this section I will explore this cultural phenomenon, first in regards to non-musical and then musical culture. I suggest that Ives's non-constructive associations between consonant compositional procedures and specifically "German" rules (and German political figures such as Kaiser Wilhelm II), as well as his revisionary behaviors and musical habits may have been—at least in part—a reflection of this wider cultural phenomenon.⁷

In her article written in 1921, "The Transformation of American Sentiment Towards Germany, 1870–1914," Clara Eve Schieber, who was a professor of history at Kingfisher College, provided a near-contemporaneous account of this change in attitude in the United States towards Germany in the years preceding and during World War I.⁸

To those who will make a careful study of the many and varied activities of Germany since 1871 and to those who will follow American reactions as found in the public press and in the sober judgment of its statesmen and its citizens in all walks of life—there must certainly come the realization that at the beginning of the World's War the majority of the American sentiment was opposed to Germany. This was but the natural and inevitable result of our growing suspicion of Germany in the fields of trade and colonization, in her general world policy, in her cold defiance of solemn treaties, and in our increasing fear of the possibilities of German militarism. In a word—the entire policy of the German Government was completely out of harmony with American institutions, and the majority of the people of the United States were opposed to German autocracy, in all its forms and modes of expression.

⁷ As described in Chapter 4.

⁸ See Clara Eve Schieber, "The Transformation of American Sentiment Towards Germany, 1870–1914," *The Journal of International Relations* 12, no. 1 (July, 1921): 50–74. Quotation if from p. 69.

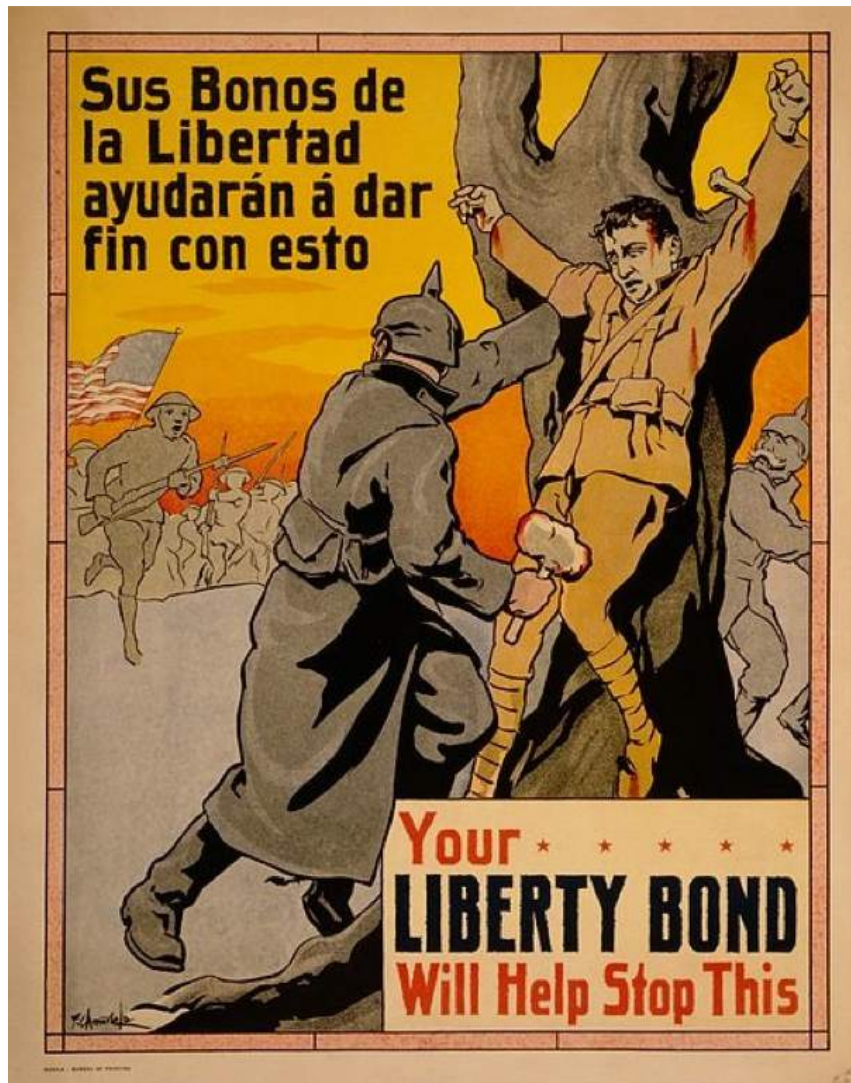
This attitude affected almost every aspect of culture in America. J. E. Vacha, a teacher of American History at Lincoln-West High School in Cleveland, Ohio, described this wider cultural situation during World War I in his article “When Wagner Was Verboten: The Campaign Against German Music in World War I.”⁹

Separated from the real enemy by 3,000 miles of water, Americans compensated by furiously attacking all vestiges of German culture in their own country. German place names were changed or defaced, bundles of German newspapers were burned in the streets, and German books were removed from school and library shelves—and sometimes burned also. An organized drive was undertaken to remove the study of the German language from school curricula: many German-Americans found it expedient to change or alter their names; and (one example of many) German staples like sauerkraut were rechristened with patriotic names like Liberty Cabbage. Many Americans convinced themselves that there was something inherently brutal and barbaric in the German soul.

This culture was fueled by American war propaganda, such as the following poster seen in Example 7.1.¹⁰

⁹ J. E. Vacha, “When Wagner Was Verboten: The Campaign Against German Music in World War I,” *New York History* 64, no. 2 (April, 1983), 172.

¹⁰ Amorsolo, Fernando C. *Your Liberty Bond Will Help Stop This*. Manila, Philippines: Bureau of Printing, 1917. From Library of Congress Posters: World War I Posters <http://www.loc.gov/pictures/item/2002722586/> (accessed February 17, 2015). Image is public domain.



Example 7.1: American World War I propaganda poster, c. 1917.

This poster by Fernando Amorsolo (1892–1972), a Filipino artist famous for his landscapes and war propaganda, was designed to encourage the purchase of Liberty Bonds that funded the war. In this poster, a soldier is visually likened to Jesus Christ. A German acts as a metaphorical Pontius Pilate, crucifying the soldier to a tree as his comrades run to save him, the American flag flying in their vanguard. Such graphic propaganda was not uncommon in the United States during World War I.

Musical culture was not immune to efforts by many Americans to erase or cover up aspects of German culture during World War I. By 1917 German-speaking concert artists, such as former Austrian army officer Fritz Kreisler and soprano Freida Hempel were having difficulty in scheduling performances, and symphony orchestras such as the Philadelphia Orchestra were pressured to keep music by German-born composers off of concert programs.¹¹ Likewise, the famous “Muck Incident” occurred, during which protests were held against the German conductor of the Boston Symphony, Karl Muck.¹² Eventually agents of the Justice Department and the Boston police arrested Muck as a dangerous alien enemy and held him in captivity for more than a year, despite never filing any official charges publically.¹³

Furthermore, in November 1917, the Metropolitan Opera declared that all operas in the German language would be stricken from the remainder of the season. Nearly a third of the Metropolitan’s repertoire was wiped out, including nine Wagnerian productions and Beethoven’s *Fidelio*.¹⁴ According to Vacha, after the Metropolitan banned German opera:¹⁵

other leading musical organizations also bore scars from that first wartime season. Following the Met's lead, the Chicago Lyric Opera also dropped German opera. Contemporary German composers were banned by the New York Philharmonic early in 1918 ... Frederick Stock ... near the end of the war ... took a voluntary six-months leave of absence from the Chicago Symphony.

Composer Suby Raman has recently published graphs that depict this phenomenon at the Metropolitan visually. Example 7.2 shows the nationalities of performed composers by

¹¹ J. E. Vacha, “When Wagner Was Verboten,” 173.

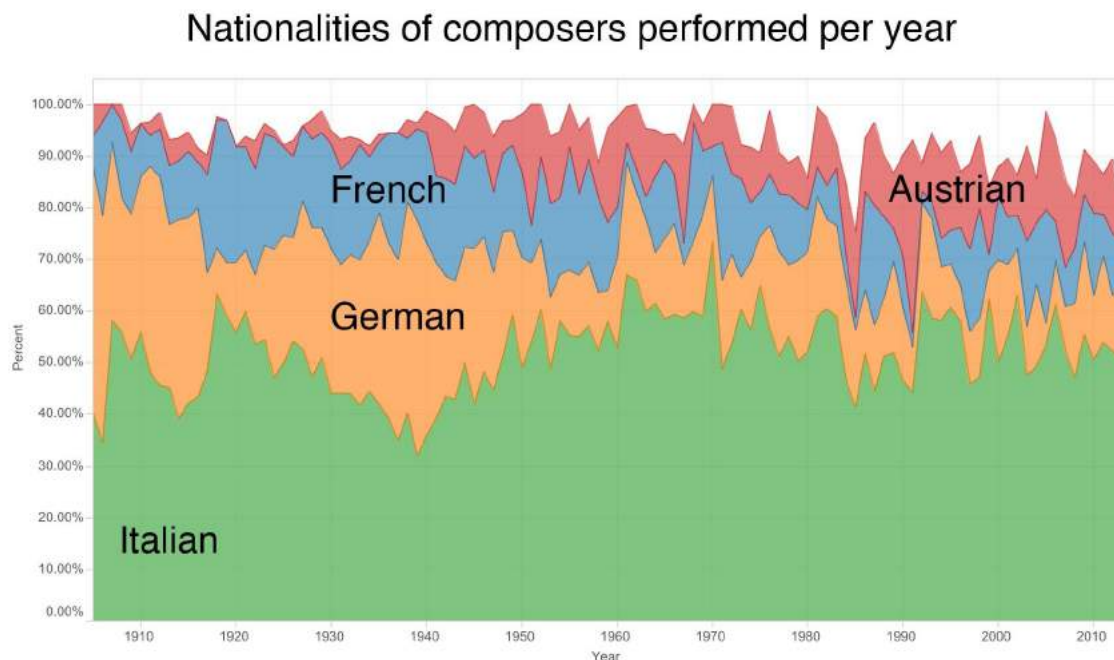
¹² Ibid., 173.

¹³ Ibid., 178.

¹⁴ Ibid., 175.

¹⁵ Ibid., 177–8.

year along the X-axis of the graph, while percentages are shown along the Y-axis.¹⁶ As seen in this example, the percentage of German operas in 1917 and 1918 (colored yellow) dropped significantly, and they were replaced largely by French and Italian operas (colored blue and green).



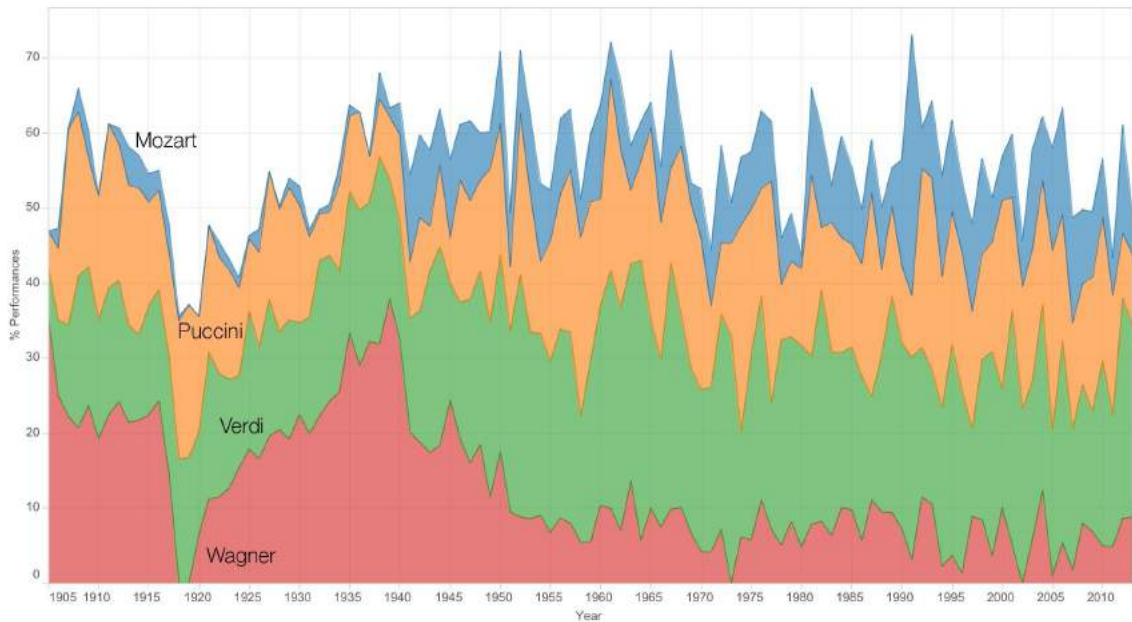
Example 7.2: Graph depicting the percentage of operas performed at the Metropolitan Opera by nationality and year.

Likewise, a second graph by Raman depicted in Example 7.3 shows that in the 1917–18 season, performances of Wagner (colored red) were completely eliminated, while the number of performances by Verdi and Puccini (colored yellow and green) skyrocketed.¹⁷

¹⁶ Suby Raman, “10 Graphs to Explain the Metropolitan Opera,” <http://subyraman.tumblr.com/post/101048131983/10-graphs-to-explain-the-metropolitan-opera> (accessed Nov. 16, 2014). Used with permission.

¹⁷ Ibid. [accessed November 16, 2014]. Used with permission.

% Performances of Selected Composers



Example 7.3: Number of performances of selected composers by year at the Metropolitan Opera. Years appear on the X-axis of the graph, while percentages appear on the Y-axis.

These wartime musical practices illustrate a potential context for better understanding Ives's motivations for the associations he made in the marginalia of *Sneak Thief*. Ives was not the only American musician to possibly react to German musical culture during World War I. German music was repressed throughout America, whether operatic, symphonic, or instrumental, and German musicians and conductors were persecuted, boycotted, and sometimes even arrested.

To be clear: in section 7.1 I mean to suggest that some of Ives's non-constructive associations between consonant compositional procedures and specifically "German" rules (and German political figures such as Kaiser Wilhelm II), as well as his revisionary behaviors and musical habits may have been—at least in part—a reflection of this wider cultural phenomenon. I do not mean to suggest that Ives would have tolerated the attacks

on Germans described above (such as the physical attacks, boycotts, persecutions, or arrests), nor that he would have participated in such attacks. Instead, it is clear that Ives felt sympathy towards the people of Germany during the war, and made a clear distinction between them and Kaiser Wilhelm II. There is evidence of this from some of Ives's writings, including a text to a patriotic song discussed in section 7.4 of this chapter.¹⁸ Nonetheless, it appears possible that Ives may have sought to disassociate himself from "German" musical rules in the years after the war, apparently motivated by his strong reactions against the actions of the Kaiser and the German government during World War I.

7.2 Ives's Revisionary Behaviors

Two behavioral practices in which Ives engaged after World War I could be read as attempts to potentially dissociate his music with German musical culture. When contextualized with the historical information found in section 7.1, a potential motivation for such behaviors becomes evident. Additionally, I suggest that these behaviors (as well as this historical contextualization) may provide insights into motivations and support for some of Ives's negative associations between consonant compositional procedures and specifically "German" rules (and German political figures such as Kaiser Wilhelm II), as previously described in Chapter 4.

First, Ives removed many of the "Made in Germany" markings on his manuscript paper. In his 1960 *Mimeographed Catalogue*, John Kirkpatrick hypothesized that Ives tore out many of these "Made in Germany" markings on his manuscript paper

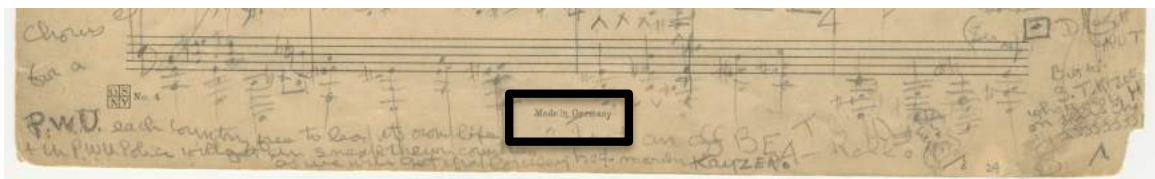
¹⁸ See my discussion on p. 73 regarding the text of "He is There!" Also see the *Memos*, 65, where Ives presented a sympathetic viewpoint towards his copyist Grienert, who had German ancestry.

deliberately, as a reflection of his dislike of the German nation after World War I,¹⁹ though not all scholars agree with Kirkpatrick's claims.²⁰ Tellingly, an example of this practice can be seen on the first page of the manuscript of "Sneak Thief," as seen in Example 7.4.²¹



Example 7.4a: The bottom of the first page (f5755) of the manuscript of "Sneak Thief," where the "Made in Germany" marking has been ripped off (note the jagged bottom).

This is not the case for the second page of "Sneak Thief," seen in Example 7.7b.²²



Example 7.4b: The bottom of the second page (f5756) of the manuscript of "Sneak Thief." The "Made in Germany" marking has not been removed, and is highlighted inside the black box (note the smooth bottom).

What is the reason that the "Made in Germany" marking appears on the second page of the manuscript of "Sneak Thief" but not the first? It is my opinion that Ives would have

¹⁹ John Kirkpatrick, *A Temporary Mimeographed Catalogue*, viii.

²⁰ See Maynard Solomon, "Charles Ives: Some Questions of Veracity," 443–70. See especially pp. 461–2, in which Solomon famously—or perhaps infamously—used this as evidence for Ives's deliberate concealment of the dates of his works. However, other important Ives scholars such as J. Peter Burkholder also remain unconvinced by Kirkpatrick's hypothesis.

²¹ See f5755 in MSS 14, The Charles Ives Papers in the Irving S. Gilmore Music Library of Yale University. Reproduced by permission of The American Academy of Arts and Letters, copyright owner.

²² See f5756 in MSS 14, The Charles Ives Papers in the Irving S. Gilmore Music Library of Yale University. Reproduced by permission of The American Academy of Arts and Letters, copyright owner.

removed the “Made in Germany” marking on the second page of “Sneak Thief,” but could not because it was written upon the back of another sketch—a page from the Pre-First Violin Sonata—a sketch which extended all the way to the bottom of the page. Ives could not remove the marking without damaging the sketch on the page’s front side. This was not a problem in f5755, the first page of “Sneak Thief,” since the sketch on its reverse side (a page from the second movement of the Symphony No. 1) does not extend to the bottom of the page. I read Ives’s removal of the “Made in Germany” markings on his manuscript paper—in “Sneak Thief” and in numerous other works—as Kirkpatrick did. I believe these removals could have been purposeful attempts to further dissociate his musical practices from so-called “German” musical culture.

Second, Ives’s decision to compose “Sneak Thief” (and other dissonant, post-tonal works) on the backs of compositions modeled in the guise of traditional German works could be read as evidence of a deliberate overwriting of the German musical tradition. Some of Ives’s dissonant, post-tonal works were written on the reverse side of earlier works that Ives composed in a “German” tonal idiom.²³ For example, the second page of “Sneak Thief” is found on the opposite side of a page from the first movement of the Pre-First Violin Sonata, a tonal movement based on a traditional German formal design—sonata form.²⁴ I read this as a deliberate (and literal) “overwriting” of the

²³ Using the blank backs of manuscripts to sketch another piece was a common practice of Ives, one that makes archival work on this composer’s manuscripts complicated and difficult. One cannot discount the possibility that Ives may have chosen to write on the backs of these pieces indiscriminately, simply basing his choice on the availability of random blank pages.

²⁴ See Burkholder, *All Made of Tunes*, 236–7. Of course, sonata form was not restricted to Germany, and was used throughout Europe by the late nineteenth-century. However, sonata form as Ives understood it—and was taught to compose by Parker—was

German musical tradition; that is, Ives wrote his comments and non-tonal music literally on top of a German-tonal-modeled work, replacing it with his self-proclaimed “NOT NICE- Pretty German Rule Blackboard sissy song.” Ives was a wealthy man in 1914, and would not have needed to conserve manuscript paper by writing on the backs of prior works. I believe that Ives choose to do this purposefully, deliberately overwriting the “Germanness” of his prior works in the process.

These revisionary behaviors and musical practices—Ives’s removal of the “Made in Germany” markings from his manuscripts and his writing of dissonant, post-tonal works on top of consonant, German-modeled forms—could be read in a “Democratic” manner. As I interpret them, these revisionary behaviors and musical practices serve to dissociate Ives’s compositions from “German” musical rules—but perhaps more importantly, they serve to dissociate his work from the musical culture that Ives may have associated with Kaiser Wilhelm II, whose terrible wartime actions—such as the invasion and “rape” of Belgium and the sinking of the *Lusitania*—so affected him emotionally and influenced him musically.

7.3 Symphony No. 2

Though Ives’s motivations may remain questionable, it is unarguable that Ives did in fact sometimes “add” dissonances into later versions of his earlier compositions after World War I. One example can be found in the ending of Ives’s *Symphony No. 2*, which

based on sonata form works by primarily German masters, such as Beethoven, Schumann, and Brahms.

was completed by 1909.²⁵ Jan Swafford has described Ives's revisions to the end of the symphony's last movement.²⁶

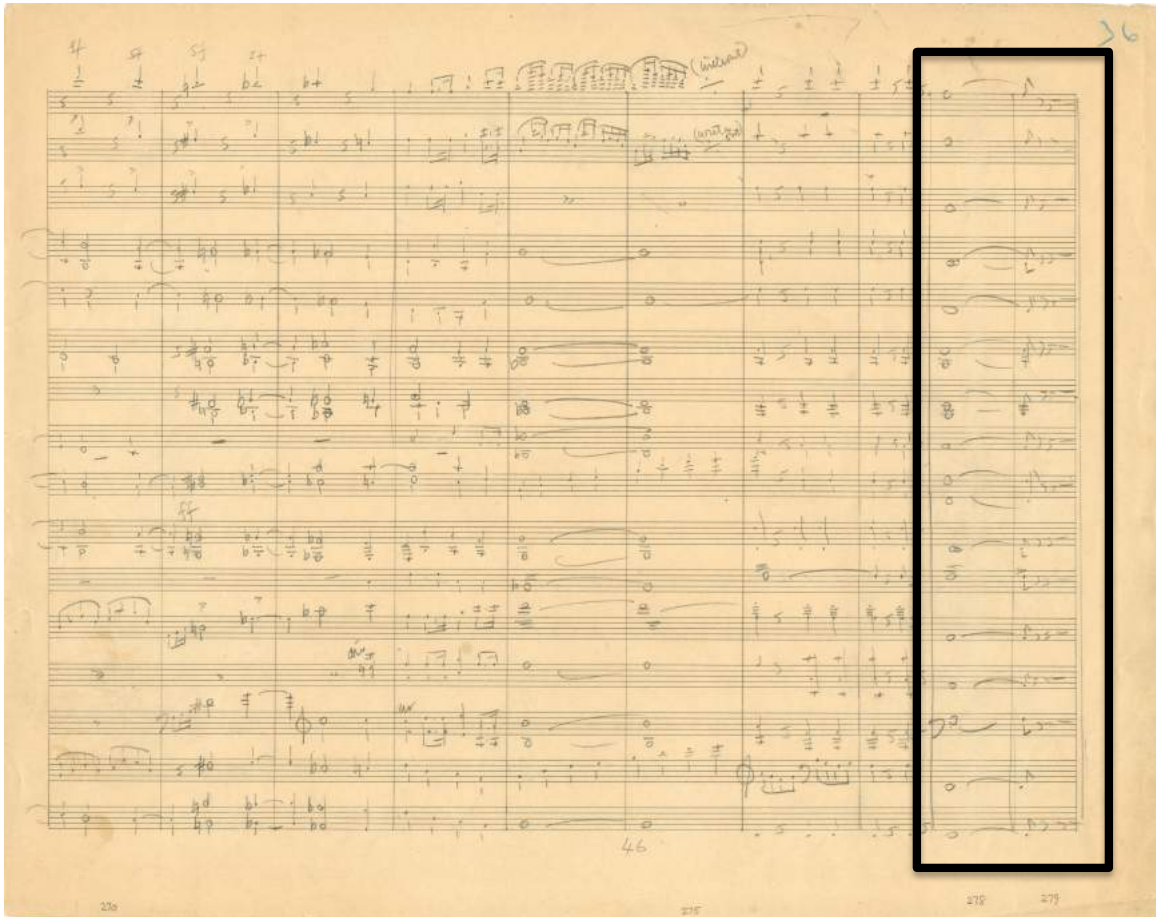
He [Ives] had trouble, though, getting the end [of the Symphony No. 2] to settle. The sketches and fair copy have several versions of a final cadence, none of them quite right: a bland F-major chord, a couple of more elaborate sketches working in "Columbia" awkwardly. Ives had one of his copyists do an ink score in 1909 ... since this copy was lost, there is no record of what sort of ending the symphony had at that point. Finally some forty years later, Ives added the present ending, the eruption of "Columbia" and famous final blat—an eleven-note cluster that finishes the piece.

Let us examine this process in more detail. The first ending Ives composed to this symphony was the "bland F-major chord," seen in the black box in the following manuscript in Example 7.5.²⁷

²⁵ See Burkholder, *All Made of Tunes*, 103 and 443n19. Sherwood Magee dated the work to between 1902 and 1907, while Ives dated the work to 1900–2.

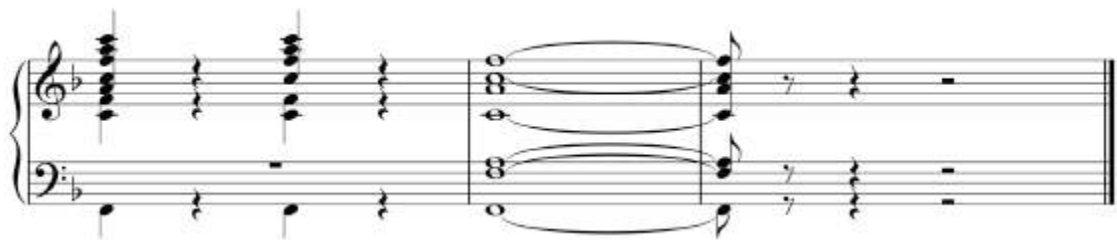
²⁶ Swafford, *Charles Ives: A Life with Music*, 155–56.

²⁷ Found in f2350 in MSS 14, The Charles Ives Papers in the Irving S. Gilmore Music Library of Yale University. Used by permission of Peer International Corporation.



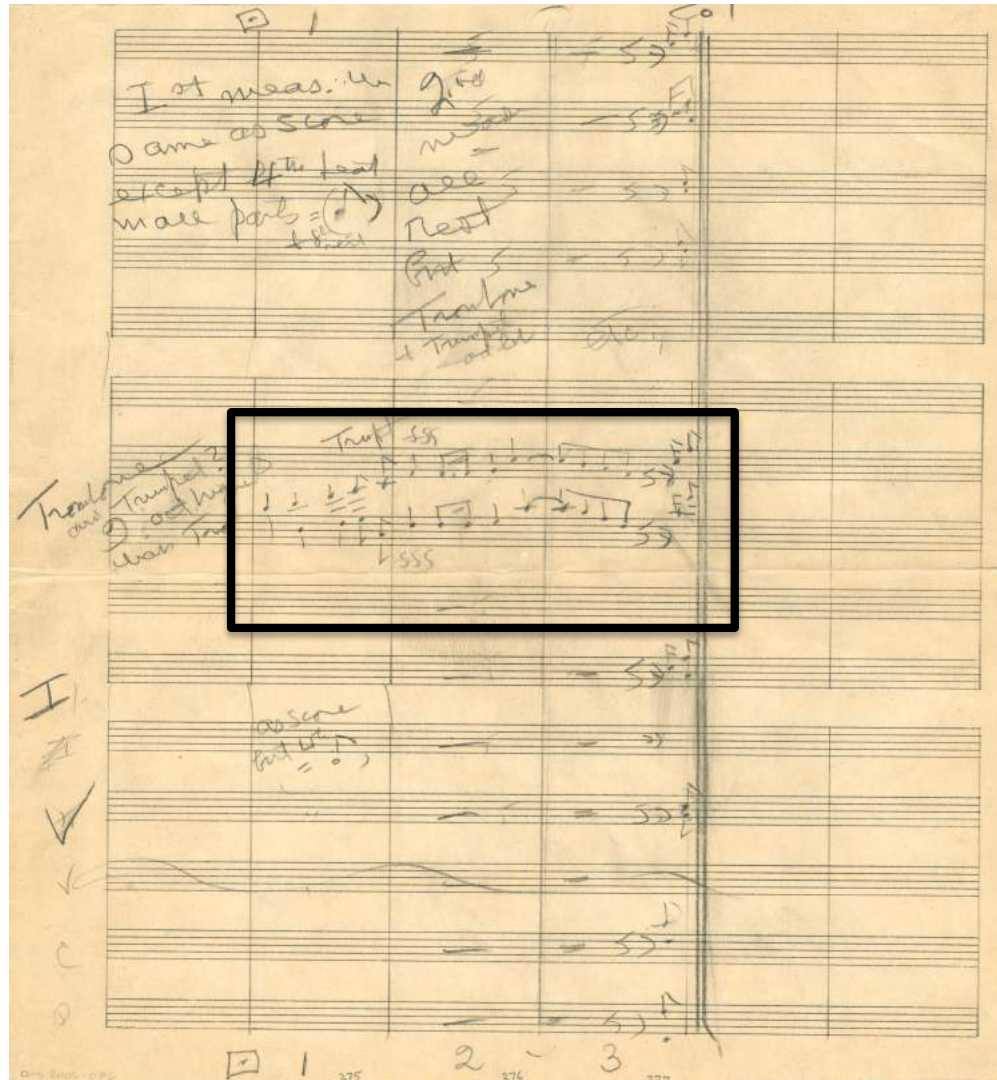
Example 7.5: The first known draft of Ives's ending of the fifth movement from Symphony No. 2 (f2350). The final chord, an F major triad, is highlighted in the black box.

This ending harmony is easier to digest in the following reduction found in Example 7.6.



Example 7.6: Reduction of last three chords seen in Example 7.5 from the ending of the fifth movement of Ives's Symphony No. 2.

According to Swafford, Ives's later sketches attempted to “awkwardly” mix in the tonal patriotic borrowed melody “Columbia the Gem of the Ocean” within this F major ending. Part of this song's melody is seen in Ives's next draft of the ending of this song, highlighted in the black box in the manuscript shown in Example 7.7.²⁸



Example 7.7: A later draft of the ending of the fifth movement from Symphony No. 2 (f0528). A segment of “Columbia, the Gem of the Ocean” is highlighted by the black box.

²⁸ Found in f0528 in MSS 14, The Charles Ives Papers in the Irving S. Gilmore Music Library of Yale University. Used by permission of Peer International Corporation.

Decades later, likely immediately preceding a 1951 premiere of the symphony by the New York Philharmonic, Ives changed the final F major triad to a dissonant eleven-note chord, as seen in Example 7.8a.



Example 7.8a: A reduction of the final version of the ending of the fifth movement from Symphony No. 2. As can be seen, the final chord of the work is a dissonant eleven-note cluster.²⁹

As these examples demonstrate, Ives did factually add dissonances into some of his compositions, such as the ending of the Symphony No. 2, after World War I—years after they were originally composed.

Interestingly, the revised last sonority of Ives’s Symphony No. 2 bears remarkable resemblance to penultimate chord of his earlier song “Sneak Thief,” as Example 7.8b demonstrates.



Example 7.8b: Last two measures of “Sneak Thief” (mm. 24–25).

²⁹ My source is Charles Ives, *Symphony No. 2 for Large Orchestra*, critical ed. Edited by Jonathan Elkus (New York: Peer, 2007).

Both contain eleven notes; therefore each chord is single pitch class shy of articulating a complete aggregate. In “Sneak Thief,” B \flat /A \sharp (pitch class 10) is omitted, while at the end of the Symphony No. 2 it is B natural (pitch class 11). Ives wrote about this eleven-note cluster chord in the margins of “Sneak Thief,” stating that it is not a “sissy doh chord” (which he illustrated with a C major triad), but that “a war will end on this iron cho.[rd]” (with an arrow pointing to the cluster for emphasis).³⁰

This similarity of harmonic construction can lead to a “Democratic” interpretation of Ives’s late-life dissonant revision of the ending of Symphony No. 2. The last movement of this symphony, which contains nationalist borrowed tunes such as “Columbia, the Gem of the Ocean” as well as American folksongs such as “Turkey in the Straw” and “Massa’s in the Cold Ground,”³¹ could be read as patriotic: after all, these borrowed melodies sound clearly and recognizably to listeners. However, Ives’s revision of the original tonal, consonant ending of the symphony and his dissonant alterations to the closing moments of “Columbia, the Gem of the Ocean” make the symphony’s ending quite disharmonious and very similar to the ending of “Sneak Thief.”

Ives’s revised ending of the Symphony No. 2 could be understood in relation to his prior marginalia on “Sneak Thief” regarding eleven-note cluster-like “iron chords.” According to Ives’s marginalia in “Sneak Thief,” such dissonant harmonic constructions

³⁰ Another plausible explanation comes from Cowell’s explanation of the chord which he claimed was from Ives himself: “Ives says this was the formula for signifying the very end of the very last dance of all: the players played any old note, good and loud, for the last chord. It was the common practice in the days of the Danbury Band conducted by Ives’s father. At the end of an otherwise conventional symphony this came as a real shock to the audience, but since no one doubted that it *was* the last chord, the intended effect was certainly achieved.” See Cowell, “Current Chronicle,” *The Musical Quarterly* 37 (July 1951): 402; reprinted in *Charles Ives and His World*, 358.

³¹ See Burkholder, *All Made of Tunes*, 115–24.

were so powerful that they were capable of ending a war with the German nation. By this reading, one could interpret Ives's revised ending to his Symphony No. 2 as a "Democratically" dissonant chord, which served to dissociate the symphony and the borrowing of "Columbia" with what might have been perceived as a weaker and more autocratic or "German" consonant ending. This interpretation is very different from Solomon's claims: though we may both agree that Ives did dissonantly alter the symphony's ending, I do not believe that Ives did so to appear more "modernist" to future generations. Instead, I hypothesize that Ives's "Democratically" dissonant ending served to enhance the symphony with the strength befitting a patriotic work embedded with specifically American patriotic melodies and folksongs.

7.4 "They are There!"

A second example of Ives's addition of dissonance into a post-World War I revision can be found in the alterations of his song "He is There!" "He is There!" was written towards the end of World War I—1917 according to Ives, though manuscript evidence may suggest a date of around 1918.³² Regardless, the song was almost certainly written during the war, and its lyrics (written by Ives) pertain to war-themed subject matter, as seen below.

Verse 1: "Fifteen years ago today
A little Yankee, little Yankee boy,
Marched beside his granddaddy
In the Decoration Day parade.
The village band would play those old war tunes,
And the G.A.R. would shout

³² See Sinclair, *Descriptive Catalogue*, 350, and Burkholder, *All Made of Tunes*, 313. Burkholder, Sinclair, and Ives all date the song to 1917, though Sherwood Magee has dated it slightly later at 1918.

“Hip Hip Hooray!” in the same old way
As it sounded on the old campground.”

Chorus: “That boy has sailed o’er the ocean,
He is there, he is there, he is there!³³
He’s fighting for the right,
But when it comes to might,
He is there, he is there, he is there!
As the Allies beat up all the warlords,
He’ll be there, he’ll be there, and then
The world will shout the Battle Cry of Freedom!
Tenting on a new campground ...”

Verse 2: “Fifteen years ago today
A little Yankee with a German name
Heard the tale of “Forty eight”:
Why his granddaddy joined Uncle Sam.
His fathers fought that medieval stuff,
And he will fight it now.
“Hip Hip Hooray!” This is the day
When he’ll finish up that aged job.”

[Chorus]

Verse 3: “There’s a time in every life
When it’s do or die, and our Yankee boy
Does his bit that we may live
In a world where all may have a say.
He’s conscious always of his country’s aim,
Which is Liberty for all.
“Hip Hip Hooray!” is all he’ll say,
As he marches to the Flanders front.”

The song’s second verse is especially significant. In this verse, a “little Yankee with a German name” heard his grandfather tell “the tale of ‘Forty eight.’” Here Ives was likely referring to the Revolutions of 1848 that occurred throughout many German states, and

³³ This part of Ives’s text refers to George M. Cohen’s hit song “Over There!” (1917). I call such textual allusions “verbal borrowings” in reference to the similarities between Ives’s textual and musical borrowing practices.

apparently spurred the speaker's familial immigration to the United States.³⁴ During these revolutions, civilians who were discontented with the current political structure and who wanted increased democratic political freedom conducted a series of protests and rebellions. Eventually, the German aristocracy defeated the revolutionaries, and many were forced into exile; a large portion of these refugees settled in the United States. Like his ancestors, the boy in the song chose to fight such oppressive political "medieval stuff"—non-democratic political oppression. I do not believe that it is a coincidence that Ives also described the German march through Belgium as "medieval" in the marginalia on his manuscript of "Sneak Thief."

It is interesting to note, however, that in "He is There!" Ives seemingly presented a simultaneous sympathy towards Germany and antipathy towards its leaders. Ives's text supports the idea that he was sympathetic to the German people—especially the victims of the Revolutions of 1848—those that were oppressed by autocratic unscrupulousness for generations. Additionally, the speaker of Ives's song has a "German name," but he is a hero—he has sailed off to the warfront to courageously fight with the Allies during World War I. At the same time, Ives drew on his lyrics of "Sneak Thief" by describing the political actions of the German autocracy as "medieval stuff," associating the song with his intense dislike of Kaiser Wilhelm II.

"He is There!" is generally free from dissonances and its harmonic plan could be considered mostly functionally tonal. It is possible that Ives wanted his song to be easily performable by amateurs; thus he might have purposely avoided dissonances in the

³⁴ For an introduction into the German Revolutions of 1848, see Priscilla Robertson, *Revolutions of 1848: A Social History* (Princeton: Princeton University Press, 1954), or Marshall Dill, *Germany: A Modern History* (Ann Arbor: University of Michigan Press, 1970).

song's written score so that performers would not shy away from it. This hypothesis concurs with the speculations of Swafford, who posited that Ives "hoped the song would be taken up by Yankee soldiers in Europe."³⁵ Even if that was not Ives's exact goal, he did enlist at least one amateur performer to sing the song, his nephew Bigelow, showing that he was at least somewhat interested in having the song performed.³⁶

Ives lived not only to see the end of World War I, but he survived World War II as well. He revised the lyrics to "He is There!" during World War II, renaming it "They are There!", though the music of the latter song was very similar to that of the earlier version. Ives initially sketched his new lyrics on a published copy of "He is There!" in *114 Songs*, as Example 7.9 shows.³⁷

³⁵ Swafford, *A Life with Music*, 280.

³⁶ *Ibid.*, 280.

³⁷ Found in "Copy A" of Ives's personal copies of the *114 Songs* in MSS 14, The Charles Ives Papers in the Irving S. Gilmore Music Library of Yale University. **ONE HUNDRED AND FOURTEEN SONGS** By Charles Ives. Copyright © by Associated Music Publishers, Inc. International Copyright Secured. All Rights Reserved. Used by Permission.

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A 107

He is there!

(May 30, 1917)

In march time

They are There!

Col 8 ad lib.

Fif-teen years a go to-day A lit - tle Yan-kee, lit - tle yan-kee boy
 Fif-teen years a go to-day A lit - tle Yan-kee, with a Ger - man name
 There's a time in ev' - ry life, When it's do or die, And our yan-kee boy

Marched be - side his grand-dad-dy In the dec - or - a - tion day par-
 Heard the tale of "for - ty - eight" Why his Grand-dad - dy joined Un - cle
 Does his bit that we may live, In a world where all may have a

NO. 1

Example 7.9: The first page of “He is There!” from one of Ives’s personal copies (copy “A”) of *114 Songs*. Ives wrote the text of “They are There!” above the original verses of “He is There!.”

This example shows that, initially, while Ives planned on changing the song’s lyrics, he did not anticipate musical alterations in his new edition of the song.

Though he left the music almost unaltered, Ives updated the lyrics of “They are There!” so that they were more appropriate for World War II, as seen in below.³⁸

Verse 1: “There’s a time in many a life
When it’s do, though facing death,
And our soldier boys will do their part that people can live
In a world where all will have a say.
They’re conscious always of their country’s aim,
Which is Liberty for all.
“Hip Hip Hooray!” you’ll hear them say
As they go to the fighting front.”

Chorus: “Brave boys are now in action:
They are there; they will help to free the world.
They are fighting for the right,
But when it comes to might,
They are there, they are there, they are there!
As the Allies beat up all the warhogs,
The boys’ll be there fighting hard,
And then the world will shout the Battle Cry of Freedom!
Tenting on a new camp ground.”

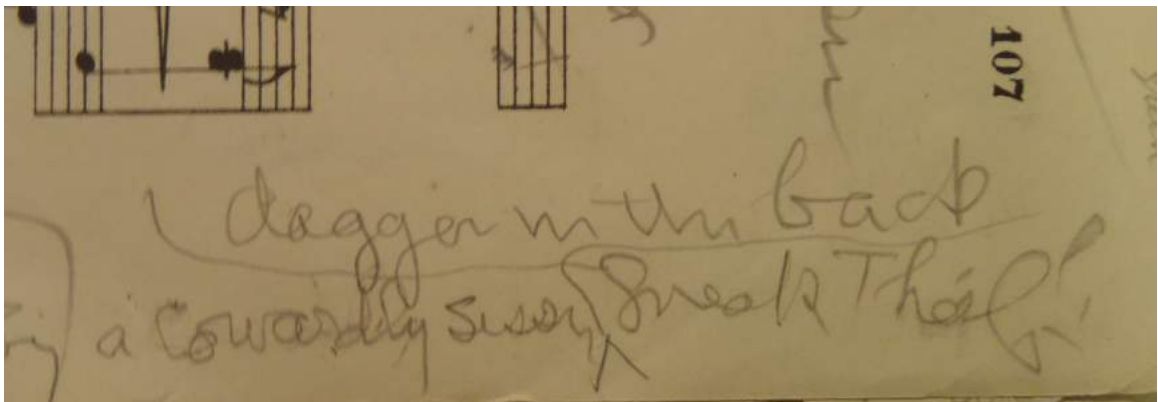
Verse 2: “When we’re through this cursed war,
All started by a sneaking gouger,
Making slaves of men, then let all the people rise
And stand together in brave, kind humanity.
Most wars are made by small, Stupid, selfish bossing groups
While the people have no say.
But there’ll come a day Hip Hip Hooray!
When they’ll smash all dictators to the wall.”

Chorus 2: “Then it’s build a people’s world nation (Hooray!).
Ev’ry honest country free to live it’s own native life.
They will stand for the right,
But when it comes to might,
They are there, they are there, they are there!
As the people, not just politicians, will rule their own lands and lives;
Then you’ll hear the whole universe shouting The Battle Cry of Freedom!”

Post-chorus: “For it’s rally round the flag of the people’s new free world,
Shouting the Battle Cry of Freedom!”

³⁸ Note that it was Ives who wrote these lyrics. The Youtube video referenced in subsequent pages incorrectly lists Lt. Col. John McCrae as the author of this text.

Though Ives updated the lyrics to better reflect the current political climate of World War II, much of the language he uses in “They are There!” harkens back to both “He is There!” and “Sneak Thief.” Examples include Ives’s references to the “people’s world nation,” and a “sneaking” war-starter who “makes slaves of men,” though in this song Ives was almost certainly referring to Adolf Hitler. Additionally, Ives’s marginalia on the first page of “He is There!” of his *114 Songs* (see Example 7.9) link this song with “Sneak Thief” specifically. A note along the side of the first page reads: “dagger in the back a cowardly sissy Sneak Thief,” as seen in Example 7.10.³⁹



Example 7.10: Marginalia on Copy A of Ives’s published copy of “He is There!” in *114 Songs*. The marginal read: “dagger in the back” (top line) and “a cowardly sissy Sneak Thief” (bottom line).

Some of Ives’s other textual alterations also serve to link “They are There!” with democratic ideals. In “He is There!” Ives’s protagonist is a single boy, who audience members grow to know well: they hear about his childhood, adolescence, and finally his adult journey as a soldier to a battlefield during World War I. This personal account of a

³⁹ Found in “Copy A” of Ives’s personal copies of the *114 Songs* in MSS 14, The Charles Ives Papers in the Irving S. Gilmore Music Library of Yale University. ONE HUNDRED AND FOURTEEN SONGS By Charles Ives. Copyright © by Associated Music Publishers, Inc. International Copyright Secured. All Rights Reserved. Used by Permission.

single boy/man becomes less personal in “They are There!” The singular boy—“he”—has been changed to a more vague “they”—“soldier boys” instead of the lone “boy.” This change in pronoun shows a lessening of personalization: it is not a specific boy that the audience grows to know and care about, but it is a crowd of boys, with no distinguishing characteristics. This change in lyrics could be interpreted in several different ways. For example, it could be explained as a potential coping mechanism: Ives has made the tragedy of a great loss of life due to war less specific, perhaps making it easier to accept. However, Ives’s change in lyrics to “they” is also more tragic in another sense: after all, it is not just a singular boy that might not come home from the battlefield, but potentially hundreds or even thousands of unknown faces. Such a plurality of men, who presumably come from diverse backgrounds and have divergent beliefs and opinions, could be read as a “Democratic” expression. In the first version of Ives’s song he focuses on a singular person, but in the second version a larger plurality of soldiers, united for a common cause. In “They are There!” a much larger and more diverse group of people work together for a “Democratic” fight for justice.

Recorded evidence suggests that Ives revised the piano part of “They are There!” in the 1940s during World War II, adding dissonant sonorities into this otherwise functionally tonal song. Ives’s dissonance additions have an improvisatory function; they were not written down by Ives and did not appear in any published version of the song. However, they can be heard clearly in his recordings in several different passages. Ives

recorded “They are There!” at the Mary Howard Studio in New York City on April 24th, 1943, singing and playing the piano at the same time.⁴⁰

One example can be heard as Ives sang “liberty for all” (0:26–0:28). During this passage, Ives added several dissonant chords beneath “all” (m. 15) which are not written into the score of “They are There!” as Example 7.11 illustrates.

The image shows a musical score for piano and voice. The piano part is written in G major (one sharp) and 4/4 time. The voice part has two staves. The lyrics are: "coun- try's aim, Which is Li- ber- ty for all. sel- fish boss- ing groups While the peo- ple have no say. But". The piano part has a treble and bass staff. At the end of the phrase "all.", there is a cluster chord in the right hand, marked with an "LH" and a "z" (accidental). Below the piano part, there is a note: "(coll' 8va bassa ad lib.)".

Example 7.11: Measures 13–15 of “They are There!” arranged for piano and voice. An E dominant seventh chord harmonizes the beginning of the word “all” in the published version of the song.⁴¹

As can be seen, an E dominant seventh chord harmonized the beginning of the word “all;” this relatively consonant harmony is contrasted by the cluster chords Ives played in the piano on the recording.

⁴⁰ In the following passage, I reference the time positions in the following Youtube video of Ives’s performance of this song: “Charles Ives: “They are There!” YouTube video, 3:35. Posted July 3, 2008. <https://www.youtube.com/watch?v=10pqluMwgXQ>.

⁴¹ The examples from “They are There!” (Examples 7.14, 7.15, 7.16, and 7.17) are taken from the following edition: *Charles Ives: 129 Song*, H. Wiley Hitchcock, ed. Music of the United States of America, vol. 47/Recent Researches in American Music, vol. 12 (Madison, WI: A-R Editions, Inc., 2004). Used with permission. www.areditions.com.

However, in another sense the E dominant seventh chord in m. 15 as well as the melody note in this measure—E6—is “dissonant” even without Ives’s seemingly improvised alterations. An E dominant seventh chord suggests V⁷ of A major/minor, a tonal reference not available as a diatonic chord in the key of B♭ major. Additionally, this moment may suggest the democratic idea of “liberty”; the E-natural found in this measure is unanticipated as a listener would be expecting its diatonic counterpart. In a sense, E-natural has been raised and “liberated” from the diatonic key of B♭ major and could be interpreted as a musical representation of the democratic ideal of freedom.⁴² Additionally, this E-natural forms a melodic tritone with the vocal-line B♭ in the previous measure, which serves to bring to mind Ives’s positive associations with “dissonant” fifths found in his marginalia of “Sneak Thief.”

A second example of Ives’s dissonant improvisatory additions can be seen and heard as Ives sang, “as they go to the fighting front.” During this text, Ives added in several more dissonant cluster chords in the piano, chords which do not appear in his notated version of the song. These can be heard from 0:31–0:33 of the recording. Example 7.12 shows that these measures are free of cluster chords in the critical edition of this song (beginning with m. 10).

⁴² I am grateful to Marianne Kielian-Gilbert who first suggested this idea to me.

10

world where all will have a say. They're con- scious al- ways of their

stand to- geth- er in brave, kind hu- man- i- ty. Most wars are made by small, Stu- pid,

loco

coll' 8va ad lib.

coll' 8va bassa ad lib.

13

coun- try's aim, Which is Li- ber- ty for all.

sel- fish boss- ing groups While the peo- ple have no say. But

(coll' 8va bassa ad lib.)

16

"Hip Hip Hoo-ray!" you'll hear — them say As they go to the fight- ing

there'll come a day— Hip Hip — Hoo-ray!— When they'll smash all dic- ta- tors to the

ff

Example 7.12 (previous page): Measures 10–18 (beginning in m. 16) of “They are There!” arranged for piano and voice. These measures are free from the cluster chords heard in the recording.

Several explanations could account for these added dissonances in Ives’s performances. The first possibility is that Ives made mistakes in the recording. After all, he was an elderly man—almost 70—when the recording was made. However, this seems unlikely for several reasons. First, Ives recorded three separate takes of the song, and the same dissonant cluster chords are heard in the same respective locations in each take. Second, these dissonance additions are heard in the same sections of the song—for example, right after each verse, and in the same measures of each chorus. This suggests that these dissonance additions were both deliberate and codified—i.e., Ives performed this song consistently with them, even though he did not ever write them down.

One place these dissonance additions are consistently heard is after every verse. In addition to the times cited above, examples of added cluster chords can be heard at the following times: 1:43–1:45, and 1:49–1:50. This last dissonant cluster (at 1:49), set to the words “when they’ll smash all dictators to the wall,” is perhaps the most poignant in the song. Right before articulating the word “smash,” Ives paused—mid-musical thought and mid-sentence—emphasizing “smash” by placing a deliberate rest immediately before it. Here Ives “smashes” the piano with several thick cluster chords. Though it is perhaps impossible to determine absolutely how Ives played these chords, it sounds as if Ives was pressing his forearm to the keys, smashing them down and simultaneously illustrating how dictators would be crushed. It is likely that this technique would have resulted in the articulation of many different notes over a wide range, as can be heard in the recording.

Another section to which Ives consistently added dissonant cluster chords in the piano is the “they are there” section of the chorus. Example 7.13 shows that there are no such cluster chords in the notated version of the song in mm. 25–27.

The musical score for measures 25-27 of "They are There!" is presented in three staves. The top two staves are vocal lines, and the bottom staff is the piano accompaniment. The piano part features a series of chords, some of which are dissonant clusters. The lyrics are: "when it comes to might, They are there, they are there, they are there! As the if it comes to might, They are there, they are there, they are there! Then the".

Example 7.13: Measures 25–27 of “They are There!” arranged for piano and voice. There are no cluster chords in the piano part in these measures.

Examples of these dissonances added to the “they are there” portions of the chorus can be heard at the following times: 0:43–0:46, 2:04–2:08, and 2:55–2:58. Again, these dissonances are consistently added to the same measure in each repetition of the chorus, suggesting that Ives had pre-planned them and consistently played the song with them, even if he never wrote them down.

As I have shown, Ives added dissonances consistently into the same respective places in “They are There!”, including the ends of verses and the “they are there” portions of each chorus. His addition of dissonant cluster piano chords was not random; their placement was carefully chosen and occurred in the analogous places in each verse and chorus. I would like to suggest that these non-notated revisions to “They are There!”—revisions that are only documented by recordings—were deliberately made, and could be interpreted as creating an affective force that is “Democratic.”

In his recording session, Ives chose to add numerous cluster chords to his accompaniment, constructively altering their musical fabric. These dissonant cluster chords occur at places in the text where Ives described fighting for liberty and democracy: “liberty for all,” a description of “the fighting front” to gain this liberty, and the lyrics “they are there,” which emphasize that American troops are physically away from their homeland, fighting for democracy and freedom. Ives’s dissonantly revised passages of “They are There!” could be understood as containing an increased strength or power, a power which was not as well represented by Ives’s original consonant, tertian accompaniment but which was perhaps better represented by his improvisatory cluster harmonies. Once again, my interpretation is very different from Solomon’s claims: though Ives clearly did alter the harmonic surface of “They are There!” by adding in dissonant cluster chords into his recording of the song, I do not believe that he did so to appear more “modernist” to future generations. Instead, I believe Ives’s alterations enhanced the song with an increase in strength and power befitting a patriotic wartime song celebrating America and democratic ideals.

The ending of “They are There!” further adds to this “Democratic” interpretation. Example 7.14 shows mm. 52–55, the songs final three measures.

The image shows a musical score for three staves. The top staff is for the voice, and the bottom two staves are for piano accompaniment. The key signature has one sharp (F#) and the time signature is 4/4. Measure 52 begins with a treble clef and a key signature of one sharp. The voice part starts with a quarter note G4, followed by eighth notes A4, B4, C5, D5, E5, F#5, and G5. The piano accompaniment consists of chords in the right hand and single notes in the left hand. In measure 53, the voice part has a quarter note G5, followed by a half note A5, and a quarter note B5. The piano accompaniment features a dense cluster of notes in the right hand. In measure 54, the voice part has a quarter note C6, followed by a half note D6, and a quarter note E6. The piano accompaniment continues with complex chords and clusters. The score ends with a double bar line in measure 54.

Example 7.14: Measures 52–54 of “They are There!” arranged for piano and voice.

This ending is remarkably similar to the final measures of both “Sneak Thief” and Ives’s Symphony No. 2. The chord in m. 53 marked with a fermata is a complete aggregate (note that both staves of the piano part are written in treble clef). This harmonic structure closely parallels the 11-note cluster chords found at the ends of both “Sneak Thief” and the Symphony No. 2. Such an ending might again be interpreted not as a “sissy doh chord,” but as an “iron chord” capable of ending a war with the German nation, as Ives’s marginalia in “Sneak Thief” indicate.

7.5 Conclusions

In Chapter 7 I have shown that Ives added dissonances into some of his earlier compositions in his later life. However, I have interpreted these dissonances in a manner very different from Maynard Solomon: I do not think that Ives was deliberately trying to appear more “modernist” to future generations or music historians. Instead, I believe that Ives may have been altering his works so that they were infused with the desirable qualities that he associated with some dissonances: strength, power, and certain democratic ideals. Ives may have deemed such infusions as especially necessary for patriotic songs such as the Symphony No. 2 and “They are There!”, which may be why he chose to revise these particular works with added dissonances instead of others.

Additionally, Ives recorded “They are There!” in 1943, during World War II, and he revised the ending of his Symphony No. 2 in 1951, shortly after the war had ended. I do not think that the timing of these revisions should be discounted. There are strong parallels between the dissonance revisions in these works and Ives’s earlier “Democratically” dissonant music written during World War I (e.g., “Sneak Thief” and *From Hanover Square North*). Ives used language in his marginalia of “They are There!”

that was very similar to his marginalia in “Sneak Thief,” and “They are There!”, “Sneak Thief,” and the Symphony No. 2 all end with similar near-aggregate or complete aggregate cluster chords—a harmonic structure that we know Ives associated with physical strength and the capability to “end” a war with Germany.

Consequently, a “Democratic” interpretation seems appropriate for all of these works, especially considering they were each written or revised during a major world war with the German nation, and because of the fact that Ives named both in his “List: Music and Democracy!” Ives considered both World Wars to have been caused by a political “Sneak Thief” (Kaiser Wilhelm II and Adolf Hitler respectively). It seems as if Ives may have vented his negative feelings against these political figures musically, by penning in musical dissonances that served as a form of opposition to their political ideals.

In the next section (“Epilogue: Conclusions”) I offer a few brief conclusions to the present work. This section outlines the contributions of the first seven chapters of this dissertation, summarizing the listening strategies presented in previous chapters as well as the interpretive analyses I set forth in Chapters 5, 6, and 7. Additionally, I describe a few possible expansions for future work, both for dissonances that I interpret as “Democratic,” and for other dissonances which may be suited to analytical methodologies focusing on Ives’s associations and historical contextualization.

Epilogue: Conclusions

The future of music may not lie entirely in music itself, but rather in the way it encourages and extends, rather than limits the aspirations and ideals of the people, in the way it makes itself a part with the finer things that humanity does and dreams of.
—Charles Ives, *New Music*¹

In the above passage from a 1929 issue of *New Music*, Ives made an evocative statement about the musical future: he proclaimed that it may lie not solely in music itself, but in the way music can encourage and extend the “aspirations and ideals of the people.” Like many of Ives’s written musings, this comment is subject to a variety of interpretations by the present-day analyst. One way in which it may be interpreted is as a personal goal of Ives—as an objective to which he hoped his music could and would strive. If this is the case, then we can presume that Ives hoped his musical legacy would live on not only in his written scores and their performances, but also in the way they affected subsequent generations. Perhaps Ives hoped that his compositions would make themselves “a part with the finer things that humanity does and dreams of,” and would consequently inspire, energize, and motivate future generations—both to consume and create new music and to positively impact the world around them in other ways.

Understanding Ives’s “Democratic” web of associations may result in such a motivating effect. It is clear from Ives’s writings that he sometimes constructively associated dissonant musical structures with strength, freedom from musical rule-following, and particular means of political governing and the nations that exemplified these political systems. Tracing this association in Ives’s writings and pairing these associations with Ives’s treatment of dissonance in certain warranted compositions opens

¹ Charles Ives, “Conductor’s Note,” *New Music* (Jan. 1929), reprinted in Charles E. Ives, *Symphony No. 4* (New York: Associated Music Publishers, 1965): 13.

up the ears and minds of present-day listeners and analysts to a myriad of different hearing and interpretive possibilities. We may choose to hear some of Ives's musical dissonances "Democratically" through the lens of these associations, which will subsequently influence the ways we teach and the narratives we tell about his music. Hearing, understanding, and interpreting in this "Democratic" manner may motivate more studies and performances of Ives's music—the ultimate goal of this dissertation, and potentially a goal of Ives himself, as the comment quoted above may indicate.

Such modes of analysis will still need to be contextualized with additional biographical and historical information in the future. Other compositions may be ripe for "Democratic" interpretation, similar to "Sneak Thief," *From Hanover Square North*, the Symphony No. 2, or "They are There!" but contextualizing Ives's milieu and personal circumstances will certainly make such analyses more convincing. Future analyses may utilize analytical strategies that I undertook in this dissertation, such as reading dissonances as indicative of American democratic values, such as liberty or a "Democratic" plurality of a multitude of voices, or as metaphorical enactors of physical attacks on autocracy. Such analyses may also diverge from these strategies, instead employing new interpretations, metaphors, and readings.

Two types of works are especially warranted for future "Democratic" interpretation: those written during World War I and those revised after World War I that have a "Democratic" connection to World War I-era compositions. In the future some of Ives's "War Songs" written during First World War—"Tom Sails Away," "In Flanders Fields," "A War Song March," and "The Things Our Fathers Loved" to name a few—could be considered in a "Democratic" manner. Additionally, it could be possible to

apply my analytical methodologies to some of the other works appearing on Ives's "List: Music and Democracy!", such as *Decoration Day*, the *Fourth of July*, movements from the Orchestral Set No. 1, the String Quartet No. 2, and several other songs (see Appendix 3 for the complete list).

Additionally, more work needs to be done regarding Ives's revisionary processes after World War I. Ives's revisions could be contextualized within the work of contemporaneous wartime composers, especially other Americans. It might be meaningful to compare his dissonant revisionary practices with those of the American Ultramodernists with whom he had contact. Additionally, a more thorough analysis of Ives's own revisionary habits should be undertaken outside of the works that I have examined in this dissertation. One place to start is with Ives's other patriotic works that he revised later in life with "added" dissonant passages, such as his *Variations on America*.

In the early stages of this dissertation I planned not only to discuss Ives's "Democratic" dissonances, but other sorts of dissonances as well. Ives associated dissonance and consonance with many different people, places, things, concepts, qualities, and/or feelings (see Appendix 1 for examples). Originally, I had hypothesized that certain other dissonant musical structures would also be well suited to analysis that included his associations and further historical contextualization. Soon, however, I realized that I had enough material for a dissertation that discussed only Ives's "Democratic" dissonances, and that adding additional dissonance associations and analyses would be beyond the scope of this work.

However, it is possible that I may come back to this idea in the future. For example, I may consider some of Ives's written associations that associate musical dissonance positively with Ives's father—his musical innovation, originality, and strength of character. Ives often described a particular type of dissonance in these passages: bitonal harmonic constructions and passages of music. Additionally, Ives associated other types of dissonances—especially particular harmonic constructions that feature a particular “stack” of intervals—with the natural world and with elements of Transcendentalist philosophy. In the future I may pair these associations with some of Ives's compositions that incorporate the particular type of harmonic constructions he described in his writings.

I close with the continuation of Ives's comment from the beginning of this section:²

Or to put it the other way around, what music is and is to be may lie somewhere in the belief of an unknown philosopher a half century ago, who said:

“How can there be any bad music? All music is from heaven. If there is anything bad in it, I put it there—by my implications and limitations. Nature builds the mountains and meadows and man puts in the fences and labels.”

He may have been nearer right than we think.

This unknown philosopher may indeed have been “nearer right” than perhaps first thought. I hope that this work on Ives's “Democratic” associations and treatment of dissonance in his music has not simply set “limitations” and “labels,” but that it opens new possibilities for further analyses and interpretations. If Ives's music is to be free from gratuitous restrictions in the future, then we should continue to strive to limit any

² Charles Ives, “Conductor's Note,” 13.

unnecessary methodological “fences” that may cage it. Only then can the analytical possibilities remain unlimited.

Glossary

Association: Ives's written descriptions that relate a compositional procedure and/or musical feature with one or more person, place, thing, concept, quality and/or feeling. Careful study of Ives's writings usually reveals a web of different associations for a single compositional procedure or musical feature. The language that Ives utilized in his writings was idiosyncratic; such language is sometimes difficult to evaluate and therefore may be subject to a variety of interpretations. See section 1.1 of Chapter I.

Autocracy: A system of government in which power is concentrated in one leader, whose decisions are absolute and are not regularized by popular control or legal restraints. See section 4.2 of Chapter 4.

Compositional Procedure: The description of a musical structure in a composition. An analyst may choose to describe compositional procedures independently, without referencing associations or contextualization; however, they may also choose to interpret compositional procedures as reflecting or emerging from associations or contextualization. See section 1.1 of Chapter 1.

Consonance: A quality in an interval or chord that, in a traditional tonal context, is perceived as relatively stable. This stability is the result of its perceived independence from a need to resolve; i.e., a tonal listener would likely regard said interval or chord as a "less" tensional entity that does not seem to actively seek a more stable pitch or pitches. See section 3.1 of Chapter 3.

Contextualization: An analyst's situating the likely historical and biographical sources for Ives's associations within a larger cultural context. An analyst may contextualize Ives's associations with primary and/or secondary sources outside of Ives's writings, and/or they may contextualize with additional writings by Ives. See section 1.1 of Chapter 1.

Counterpoint: Two or more independent musical voices that are harmonically interdependent, and yet are usually dependent on one another in terms of rhythm, contour, and pitch. See section 1.3 or Chapter 1.

Democracy: A system of government in which all or some members of the state's population vote (either directly or through elected representatives) regarding decisions about its affairs. It should be noted that notions of "democracy" are distinctive to different people and their milieus. Though the governing of the United States was similar in the 1930s and 40s to its governing today, it was nonetheless not governed exactly the same, and Ives may not have been thinking of "democracy" in an identical manner that a present-day American might understand it. See section 1.5 of Chapter 1.

"Democratic" Dissonance: .” I consider “Democratic” dissonances to be dissonances that could be heard and interpreted as “added” to consonant, tonal musical borrowings and/or their musical settings. In this dissertation, such dissonant passages of Ives's music are construed in connection with tonal recompositions and the listening strategies explored in Chapter 3. These “Democratic” dissonances can be interpreted as

representative of various democratic principles, ideals, or attacks. See section 5.0 of Chapter 5.

“Democratic” Web of Associations: In his writings both published and unpublished, Ives intermittently associated dissonance with strength and freedom from musical rule-following, and he likewise associated consonance and aspects of tonal harmony with weakness and the rules of outdated musical practices. These associations were valenced as either constructive (dissonance) or non-constructive (consonance) for Ives.

Additionally, Ives occasionally extended these associations and their valences to particular means of political governing and the leaders or nations that exemplified these political systems. These associations form what I call Ives’s “Democratic” web of associations, and they sometimes appear in conjunction with written descriptions of dissonant compositional procedures. See Chapter 4.

Dissonance: A quality in an interval or chord that, in a traditional tonal context, is perceived as relatively unstable. This instability is the result of its perceived dependence on a need to resolve; i.e., a tonal listener would likely regard said interval or chord as a “more” tense entity that does seem to actively seek a more stable pitch or pitches. See section 3.1 of Chapter 3.

Interpretative Study: A branch of music theory and analysis that pertains to explaining or describing one or more “meanings” of a musical composition. See section 2.5 of Chapter 2.

Meaning: Different meanings are assigned to musical works by musical analysts, listeners, and performers. Such “meanings” can be historical (those that a composer or historical listener might have engaged with, made, or described) or more recent (those that a present-day listener and/or analyst can engage with make, or describe). Examples of potential “meanings” include narrative meaning (very broadly, applying a formal system of recurring archetypes to a musical work), expressive meaning (describing the expressive states a composition suggests), or programmatic meaning (where elements of a work are assigned an association by a composer and said associations are communicated to an audience through program notes or another means). Scholarly approaches to describing “meanings” are many and varied, but may include topic theory, theories of musical narrative, studies in expressive meaning, theories of gesture or embodiment, or semiotic studies. See section 2.5 of Chapter 2.

Modernism: This term denotes a set of shared aesthetic sensibilities and musical characteristics that can frequently be found in the music of European and American composers in the first few decades of the twentieth century. Such musical characteristics include fragmentation, the use of unconventional and dissonant sonorities, an eschewing of tonality, an abstention from recognizable and traditional metric and rhythmic regularities and patterns, the addition of untraditional instruments and sound effects, the use of extended or abbreviated compositional forms, and innovative orchestral combinations. Aesthetic sensibilities include a break from conventional expectations about musical beauty, meaning, and musical expression, a penchant for empirical

experimentation, an embracing of the new and innovative, and the desire to express intense personal emotions. See section 3.2 of Chapter 3.

Musical Borrowing: The deliberate incorporation of pre-existing musical material into a composition. See section 2.0 of Chapter 2.

Musical Feature: A broad term that describes an aspect of a work that is more general than a compositional procedure. Some examples of musical features include key, dynamics, tempo, and timbre, all of which are the outgrowth of particular compositional procedures. See section 1.1 of Chapter 1.

Primary Source: Original documents, accounts, or objects which were created during a studied time period. Primary sources contrast with secondary sources, accounts, or interpretations that were created by someone after a studied time period. See section 2.4 of Chapter 2.

Rape of Belgium: A term describing the 1914–18 German invasion and occupation of Belgium during World War I. Recent scholarship has reaffirmed that a series of German war crimes were committed in the opening months of the invasion (August and September especially). See section 4.2 of Chapter 4.

Recomposition: Loosely, this term refers to the action of reworking an existing piece of music into something new. This “reworking” can be achieved in a variety of ways and the results can be used to demonstrate analytical points. See section 1.3 of Chapter 1.

Representative Claim: A representative claim occurs when an analyst interprets certain compositional procedures (including treatment of dissonance), musical features, and/or a passage from a composition as standing in for people, places, things, concepts, qualities, and/or feelings. An analyst may construe associations, contextualizations, treatment, affects, and effects in support of a representative claim. Claims of representations are interpretive—they form when an analyst makes a deliberate reading of a compositional procedure, musical feature, and/or passage. See section 1.1 of Chapter 1.

Tonality: A system of musical organization in which pitches and chords induce a hierarchy of perceived relations, stabilities, and attractions. Such relationships revolve around a referential “tonic” note in European Common Practice music from about 1650 to 1900. See section 3.1 of Chapter 3.

Treatment of Dissonance: This term refers to Ives’s compositional procedures that incorporate dissonance. Like his compositional procedures, Ives’s treatment of dissonance may be interpreted as reflecting and/or emerging from his associations and/or aspects of contextualization, a process for which I argue in this study; however, it is also possible to describe his treatment of dissonance independently. See section 1.1 of Chapter 1.

Ultramodernism: American Ultramodernist composers developed the relative independence of dissonant musical structures to a greater extent than their Romantic predecessors. The musical characteristics and aesthetic sensibilities of these American Ultramodernist composers were similar to those of their European modernist contemporaries. American Ultramodernism is generally credited as evolving in the mid-1910s in New York City through the activities of Leo Ornstein and his supporters. See section 3.3 of Chapter 3.

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Appendix 1

Ives's Writings on Dissonance and Consonance

Purpose

The purpose of Appendix 1 is to demonstrate that Charles Ives generally made constructive associations with dissonant musical structures in his writings; likewise, he often made non-constructive associations with consonant musical structures. This table details his written references to both dissonance and consonance in his published and unpublished writings. This list is, for the most part, exhaustive. Incipits from all references found in primary sources are included in this Appendix. Additionally, a few select unpublished references from manuscript marginalia are also included. Unpublished references that are not included are primarily redundant—they generally echo the sentiments expressed in included marginalia and/or in other published passages.

Using the Appendix

Appendix 1 is divided into two columns. The leftmost details the source of the reference, including page number(s) and chapter where applicable. The rightmost column provides a brief and relative incipit of the reference. These incipits are abbreviated and do not detail an entire passage; however, they generally include an allusion to or a direct mentioning of consonant or dissonant musical structures. Sources in Appendix 1 are listed in an order; first appear all of the *Memos* references, followed by those found in the *Essays*, *Selected Correspondences*, *Oral History*, and select marginalia from unpublished manuscripts.

Sources

The following sources were utilized for the creation of this table:

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Source	Incipit
Ives, <i>Memos</i> (1930s), 31	“His ears, for fifty years or so, have been massaged over and over and over again so nice by the same sweet, consonant, evenly repeated sequences and rhythms, and all the soft processes in an art 85 percent emasculated.”
Ives, <i>Memos</i> (1930s), 34	“I often played not exactly as written in the nice copied copies ... [I] would throw in 7ths on top of triads in [the] right hand, and a sharp 4th [f#] against a Doh-Soh-Doh in the left hand ... This would give a dissonant tinge to the whole that the Musical Courier man was not quite used to, and to him it seemed unusual.”
Ives, <i>Memos</i> (1930s), 34	“At the end of the Intermezzo ... the last chord is a minor 6th unresolved—in other words it doesn’t end in the key (tonic). Gustave Bach ... insisted he couldn’t stand it not to resolve ... At the concert he ... didn’t resolve. He is a nice man!”
Ives, <i>Memos</i> (1930s), 36–37	“A March Song ... some not strictly consonant chords.” “The Children’s Hour ... chord suggesting later tone clusters.” “Walking Song ... Dissonant chords.” “Tarrant Moss ... last measure of discords.” “Harpalus ... chords of the 4th.” “Rough Wind ... ending in two keys” “A Song to German Words ... shows a few vicious dissonances.” “The Cage ... atonality.”
Ives, <i>Memos</i> (1930s), 39	“The Postlude started with a C minor chord with a D minor chord over it, together, and later major and minor chords together, a tone apart. This was to represent the sternness and strength and austerity of the Puritan character, and it seemed to me that any of the major, minor, or diminished chords used alone gave too much a feeling of bodily ease, which the Puritan did not give in to.”
Ives, <i>Memos</i> (1930s), 40	“For instance, in picturing the excitement sounds and songs across the field and grandstand, you could not do it with a nice fugue in C.”
Ives, <i>Memos</i> (1930s), 41	“And in playing the songs ... I used to play off-beats on black keys ... Some said ... that it made the music stronger and better ... it shows what the ears can handle ... with practice ... If more of this and other kinds of ear stretching had gone on ... there might have been less ... soft headed ears running the opera and symphony societies in this country—and less emasculated art making money for the

	commercialists.”
Ives, <i>Memos</i> (1930s), 42	“Consonance is a relative thing (just a nice name for a nice habit). It is a natural enough part of music, but not the whole, or the only one. The simplest ratios, often called perfect consonances, have been used so long and so constantly that not only music, but musicians and audiences, have become more or less soft. If they hear anything but doh-me-soh or a near-cousin, they have to be carried out on a stretcher.”
Ives, <i>Memos</i> (1930s), 43	“Triads and chords without bites were quite out of place, or any combinations that suggested fixed tonalities.”
Ives, <i>Memos</i> (1930s), 43	“What started as boy’s play ... gradually worked into something that had a serious side to it that opened up possibilities ... valuable ... these various and many dissonant sound combinations ... going back to the unusual consonant triads, chords ... something strong seemed more or less missing.”
Ives, <i>Memos</i> (1930s), 46	“As said above, Father was not against a reasonable amount of ‘boy’s fooling’, if it were done with some sense behind it ... as playing left-hand accompaniment in one key and tune in right hand in another. He made us stick to the end, and not stop when it got hard.”
Ives, <i>Memos</i> (1930s), 49	“And I did sometimes do things that got me in wrong. For instance ... a couple of fugues ... resulted, when all got going, in the most dissonant sounding counterpoint. Parker took it as a joke.”
Ives, <i>Memos</i> (1930s), 55–56	“Technically this piece [<i>The Cage</i>] is but a study of how chords of 4ths and 5ths may throw melodies away from a set tonality ... Technically the principal thing in this movement is to show that a song does not necessarily have to be in any one key to make musical sense.”
Ives, <i>Memos</i> (1930s), 57	“In this little piece [<i>In the Night</i>] I tried to find three chords that might be used in a similar or parallel sense to the usual tonic, dominant, and subdominant—a combination of chords that would not be undignified, that would have some musical sense and relation, and about which melodies or counterpoints could be used as a natural outcome from these combinations.”
Ives, <i>Memos</i> (1930s), 64	“This was about the time the Subway was started, and ‘blocks’ were regular things—getting out of the block and back into it again. So—half-tone chords opening up [into] wider and wider chords and back again ...

	[visual representation of this process] ... This may not be a nice way to write music, but it's one way!—and who knows the only real nice way? Right or wrong, things like these ... gave the ears plenty of new sound experiences—it strengthened the ear muscles, and opened up things naturally.”
Ives, <i>Memos</i> (1930s), 73	“The Kneisel Quartet [famous string quartet] played so exquisitely ‘nice’ that I lost some respect for those four instruments. A whole evening of mellifluous sounds, perfect cadences, perfect ladies, perfect programs, and not a dissonant cuss word to stop the anemia and beauty during the whole evening ... I got to feel, at a Kneisel Quartet concert, finally that I was resting my ears on a perfumed sofa-cushion—so got out!”
Ives, <i>Memos</i> (1930s), 76	“But the themes [of the Second Piano Sonata] themselves ... were trying to catch the Browning surge into the baffling unknowables, not afraid of unknown fields, not sticking to the nice main roads, and so not exactly bound up or limited to one key or keys (or any tonality for that matter) all the time.”
Ives, <i>Memos</i> (1930s), 86	“The first movement of this First Symphony was not shown to Wally, as it went into several different keys, and it had not been favorably received by Professor Parker. This incident brings the bind back to the past, for everything that Wally said ... reminded me of everybody of that breed (I mean mentally, not racially) that I had run into... They all run [true] to form when they talk about the same thing or anything ... the label ‘workmanship’ is one of their easy fall-backs ... reflecting almost literally some sofa-cushion formulism which they’ve slept on for generations—the little, usual, tried-out, played-out expediencies in harmony, melody, time ... every right sound (sound or unsound) in just the nice way they’ve always seen it done.”
Ives, <i>Memos</i> (1930s), 91	“This [<i>Halloween</i>] was one of the best pieces (from the standpoint of workmanship) that I’ve ever done. The four strings play in four different and closely related keys ... I happened to get exactly the effect I had in mind ... Allie S. made some criticism implying that the workmanship was poor—the ‘four keys to once’ didn’t seem nice to him ... these Rollos are like the chicken fancier who had seen nothing but chickens all his nice lifetime, and had never seen a lion. And so, on seeing a lion enter, he says, ‘He’s

	built all wrong—no feathers, wrong color, too long, too many feet—he’s not like a chicken.’ ... You see above, Rollos, I rather seem to tend to compare my music to a lion, and the music you like to a chicken—which is quite all right, as the other way around would not be!”
Ives, <i>Memos</i> (1930s), 101	“When phrases with no accent [are at a] beginning, a grit chord on the strings starts the space. That ‘grit chord’ (as chord sense) is to do the same thing [as] what, in other phrases, is done by accent, etc. Why should music be so even, so grooved in?—so smooth [that] our ears must become like unto feather beds, our muscles all drop out, and we have to have false-teeth ears to hear it with!”
Ives, <i>Memos</i> (1930s), 107	“And with this counterpoint, a few of the (same kind of) instruments [as those] playing the melodic lines are put into a group playing masses of chords built around (various sets of) intervals, in each line. This is to represent the body of the earth, from whence the rocks, trees, and mountains rise ... Each ‘continent’ has its own wide chord of intervals.”
Ives, <i>Memos</i> (1930s), 108–110	“The only other music that I might speak of is that in quarter tones ... This, at first, seemed very disturbing,—but when the ears have heard more and more (and year after year) of uneven ratios, one begins to feel that the use, recognition, and meaning (as musical expression) of intervals have just begun to be heard and understood ... and one thing that has kept the progress [of quarter tones advancing as a musical structure] ... [is that] consonance has had a monopolistic tyranny, for this one principal reason:—it is easy for the ear and mind to use and know them—and the more uneven the ratio, the harder it is. The old fight of evolution—the one-syllable, soft-eared boys are still on too many boards, chairs, newspapers, and concert stages!”
Ives, <i>Memos</i> (1930s), 115	“I couldn’t have been over ten years old when he [Ives’s father] would occasionally have us sing, for instance, a tune like The Swanee River in the key of E \flat , but play the accompaniment in the key of C. This was to stretch our ears and strengthen our musical minds, so that they could learn to use and translate things that might be used and translated.”
Ives, <i>Memos</i> (1930s), 116	“In the beginning of Freshman year ... Parker asked me to bring him whatever manuscripts I had written ... Among them, a song, At Parting—in it, some

	<p>unresolved dissonances, one ending on a [high] E\flat ([in the] key [of] G major, and stops there unresolved. Parker said, ‘There’s no excuse for that ...’ I told Father what Parker had said, and Father said, ‘Tell Parker that every dissonance doesn’t have to resolve, if it doesn’t happen to feel like it, any more than every horse should have to have its tail bobbed just because it’s the prevailing fashion.’”</p>
Ives, <i>Memos</i> (1930s), 120–121	<p>“This reminds me of how all chords, most of two major or minor 3rds, and occasionally [of] three 3rds, chords of the dominant, subdominant, etc., were the only ones to use (in the classroom, slave-like blackboard, Rollo!). I remember, even on Stevens Street, Father used to let me, half in fun and half seriously, make chords up of several 3rds, major and minor, going on top of themselves ... if you can have two 3rds, major or minor, in a chord, why can’t you have another one or two on top of it, etc.—[is] as natural ... as thinking, if three bases in baseball, why not four or five, Mr. Gumbo?”</p>
Ives, <i>Memos</i> (1930s), 123	<p>“And the thing that bothered Stowell, Wally [Damrosch], etc. most, next to dissonance, was to hear and try to play any rhythm except 1–2 and 1–2–3 and their variables.”</p>
Ives, <i>Memos</i> (1930s), 127	<p>“Some of the ‘old ladies’ purred out about playing the piano with a stick—‘and how just terribly inartistic to have octaves of all white or black notes as chords of music!’ ... [this] made me feel just mean enough to want to give all the ‘old girls’ another ride—and then, after they saw the first page ... it would keep them from turning any more pages and finding something ‘just too awful for words, Lily!’”</p>
Ives, <i>Memos</i> (1930s), 127	<p>“There were also some songs which ought to have gone in the book [<i>114 Songs</i>], but the ‘old ladies’ again stopped it, I’m ashamed to say. There were some with wide jumps, 9ths, 7ths, almost two octaves, and almost impossible piano parts to boot ... Today these songs are quite reasonable, singable, and playable—for instance, one a Glory trance [<i>General Booth</i>] and a Soliloquy.”</p>
Ives, <i>Memos</i> (1930s), 130	<p>“The Thanksgiving movement in this set is, in a way, an exception, because, when it was first written ... it was quite experimental harmonically ... But in considering the case of the Thanksgiving music as it is, a kind of paradox seems to appear. Dissonances, or what seemed to be dissonances at the time, had a</p>

	<p>good excuse for being, and in the final analysis a religious excuse, because in the stern outward life of the old settlers, pioneers and Puritans, there was a life generally of inward beauty, but with a rather harsh exterior. And the Puritan ‘no-compromise’ with mellow colors and bodily ease gives a natural reason for trying tonal and uneven off-counterpoints and combinations which would be the sound of sterner things—which single minor or major triads or German-made counterpoint did not (it seemed to be) come up to. This music must, before all else, be something in art removed from physical comfort.”</p>
Ives, <i>Memos</i> (1930s), 131	<p>“Father felt that a man could keep his music-interest stronger, cleaner, bigger, and freer, if he didn’t try to make a living out of it ... if he [a composer] had a nice wife and some nice children, how can he let the children starve on his dissonances—answer that, Eddy! So he has to weaken (and as a man he should weaken for his children), but his music (some of it) more than weakens—it goes ‘ta ta’ for money—bad for him, bad for music, but good for his boys!!”</p>
Ives, <i>Memos</i> (1930s), 132	<p>“Once a nice young man (his musical sense having been limited by three years’ intensive study at the Boston Conservatory) said to Father, ‘How can you stand it to hear old John Bell (the best stone-mason in town) sing?’ ... Father said, ‘He is a supreme musician.’ The young man (nice and educated) was horrified—‘Why, he sings off the key, the wrong notes ...’ Father said, ‘Don’t pay too much attention to the sounds—for if you do, you may miss the music.’”</p>
Ives, <i>Memos</i> (1930s), 134	<p>“Richy Wagner did get away occasionally from doh-me-soh, which was more than some others did. He had more or less of a good brain for technical progress, but he seems to put it to such weak uses—exulting, like a nice lady’s purple silk dress, in fake nobility and heroism, but afraid to jump in a mill pond and be a hero ... Music has been, to too large an extent, an emasculated art—and Wagner did his part to keep it so.”</p>
Ives, <i>Memos</i> (1930s), 140	<p>“The above is a good illustration of how much fuss the Rollos make about some things their little ears are not used to ... For instance Father used to say, ‘If one can use chords or 3rds and make them mean something, why not chords of 4ths? ... If you can learn to like and use a consonance (so called), why</p>

	not a dissonance (so called)? ... If the mind can understand one key, why can't it learn to understand another key with it?' A nice old lace-capped professor says—'because it is all against the natural laws of tone underlying music!'—in other words, he uses a nice nickname for something his aunt taught him to sleep on 'comfortable'!"
Ives, <i>Memos</i> (1930s), 187 (from Appendix 7)	"[Regarding <i>Hawthorne</i>] Dr. Griggs got it immediately, but Stowell didn't like not having a nice key in every room ... He couldn't see that if there isn't (in the whole or only a section) a key—that is, when the notes are not used in the tonal relations that a key superimposes on the substance—that signs which would suggest that tonality should not be used as such—they are more or less misleading, first the eye, then the ear. And why not in music—yeah Art!"
Ives, <i>Memos</i> (1930s), 188 (from Appendix 7)	"They [music professors] want to have Ralph Waldo Emerson or Henry Thoreau sing Do-Me-Soh—but those men were men—they didn't sing Doh-Me-Soh—they knew the Doh-Me-Soh, but they didn't sell it to the ladies all the time, they used it as one of the windows, not the whole parlor, etc."
Ives, <i>Memos</i> (1930s), 190–91 (from Appendix 7)	"Thus, when a movement, perhaps only a section or passage, is not fundamentally based on a diatonic (and chromatic) tonality system, the marked notes (♭, ♯, or ♮) should not be taken as literally representing those implied resolutions, because in this case they do not exist ... Often, what is called awkward is easily called unmusical—a good hurdler doesn't have a pole to help him over—let the muscles of the hand get as strong as the Concord muscle of 1840, et al—and perhaps the muscles of the ear and soul will join in."
Ives, <i>Memos</i> (1930s), 192 (from Appendix 7)	"They [music professors, teachers, theorists] assume that fundamentally all of this (music?) ought to be and supposedly is based ... on their tonal habitudes, or call them the normal scales, the diatonic, tempered, major and minor scale platforms. And these resulting uses, by years of custom and habit, these chordal progressions, modulating tones growing around them, systems of suspensions, etc., etc., assume something that in this Sonata is not assumed."
Ives, <i>Memos</i> (1930s), 193–94 (from Appendix 7)	"A part of or different parts of a movement may be based entirely on the major or minor tonal scales as we know [them] in our usual tonality system—then just as naturally, as soon as the ear has had some acquisition and use, this and other tonal groups may

	be used together in other passages, and find their natural part in the general expression—then the other tonal groups may be used only—the ear, with practice in listening and hearing, making reasonable and natural chordal and melodic ways of expressing what is underneath the music.”
Ives, <i>Memos</i> (1930s), 196 (from Appendix 7)	“That a symphony, sonata, or jig—that all nice music should end where it started, on the Doh key, is no more a natural law than that all men should die in the same town and street number in which they were born. The academics—‘\$50 please’—fall back over the nice waste basket and say ‘natural laws’—that’s an easy excuse. Anything their ears (and that above their ears, wherever that is) hasn’t heard for thirty-three years or before ... they scold ... in other words anything that isn’t easy to play, hear, or sell.”
Ives, <i>Memos</i> (1930s), 239 (from Appendix 11)	“At times like these one senses ... that the mode of work ... idiom ... through which he has worked [up] to that time are becoming less sustaining; they do not seem to carry him along in the way they did. He cannot use the former progressions, cadences, tonal relations, tonalities, rhythms, and the like, with the sense of satisfaction of earlier days ... But the changing attitude does not and should not necessarily mean any loss of respect or appreciation for the ‘old’ (either in music in general or in his own). It may be rather a process in which the nature of the old is germinating. That ... may be one of the outward signs of ... creative evolution of art.”
Ives, <i>Essays Before a Sonata</i> (c. 1920), 24 (“Emerson”)	“Jadassohn [German music theorist], if Emerson were literally a composer, could no more analyze his harmony than a Guide-to-Boston could. A microscope might show that he uses chords of the ninth, eleventh, or the ninety-ninth, but a lens far different tells us they are used with different aims from those of Debussy. Emerson is definite, in that his art is based on something stronger than the amusing, or, at its best, the beguiling of a few mortals.”
Ives, <i>Essays Before a Sonata</i> (c. 1920), 53 (“Thoreau”)	“Thoreau’s susceptibility to natural sounds was probably greater than that of many practical musicians ... Thoreau ... weave[s] ... perfect transcendental symphonies ... Thus it is not the whole tone scale of the Orient but the scale of a Walden morning—‘music in single strains,’ as Emerson says—which inspired many of the polyphonies and harmonies that come to us through his poetry. Who

	can be forever melancholy ‘with Aeolian music like this’?”
Ives, <i>Essays Before a Sonata</i> (c. 1920), 71 (“Epilogue”)	“In some centuries to come, when the school children will whistle popular tunes in quarter-tones—when the diatonic scale will be as obsolete as the pentatonic is now—perhaps then these borderland experiences may be both easily expressed and readily recognized ... it is better to hope that music may always be a transcendental language in the most extravagant sense.”
Ives, <i>Essays Before a Sonata</i> (c. 1920), 80 (“Epilogue”)	“The man ‘born down to Babbitt’s Corners’ may find a deep appeal in the simple but acute Gospel hymns of the New England “camp meetin’” of a generation or so ago. He finds in them ... a vigor, a depth of feeling ... a sincerity ... These tunes have, for him, a truer ring than many of those groove-made, even-measured, monotonous, non-rhythmed, indoor-smelling, priest-taught, academic, English hymns (and anthems)—well-written, well-harmonized, things, well-voice-led, well-counterpointed, well corrected, and well OK’d, by well corrected Mus. Bac. R.F.O.G.’s— ... those proper forms of stained-glass beauty.”
Ives, <i>Essays Before a Sonata</i> (c. 1920), 97–98 (“Epilogue”)	“Beauty in music is too often confused with something that lets the ears lie back in an easy chair. Many sounds that we are used to do not bother us, and for that reason we are inclined to call them beautiful ... when a new or unfamiliar work is accepted as beautiful on its first hearing, its fundamental quality is one that tends to put the mind to sleep. A narcotic is not always unnecessary, but it is seldom a basis of progress—that is, wholesome evolution in any creative experience.”
Ives, <i>Essays Before a Sonata</i> (c. 1920), 109 (“Some Quarter-Tone Impressions”)	“It will probably be centuries, at least generations, before man will discover all or even most of the value in a quarter-tone extension. And when he does, nature has plenty of other things up her sleeve. And it may be longer than we think before the ear will freely translate what it hears and instinctively arose and amplify the spiritual consciousness. But that needn’t keep anyone from trying to find out how to use a few more of the myriads of sound waves nature has put around in the air ... for man to catch if he can and ‘perchance make himself a part with nature,’ as Thoreau used to say.”
Ives, <i>Essays Before a</i>	“My father had a weakness for quarter-tones—in fact

<i>Sonata</i> (c. 1920), 110 ("Some Quarter-Tone Impressions")	he didn't stop even with them... He would pick out quarter-tone tunes and try to get the family to sing them ... he became sure that some quarter-tone chords must be learned before quarter-tone melodies would make much sense and become natural to the ear ... he ... got some sounds as beautiful, sometimes, as they were funny."
Ives, <i>Essays Before a Sonata</i> (c. 1920), 112 ("Some Quarter-Tone Impressions")	"If listened to several times in succession, it [chord comprised of quarter-tones] gathers a kind of character of its own—neither major, minor, nor even diminished. A chord of these intervals, it seems to me, may form a satisfactory and reasonable basis for a fundamental chord ... It gives a feeling of finality and supports reasonably well a simple quarter-tone melody."
Ives, <i>Essays Before a Sonata</i> (c. 1920), 115 ("Some Quarter-tone Impressions")	"If a movement of music ... built primarily on a progression of chords ... seems more and more to hold up that organic flow ... it halts us so severely that a resort to other material is almost forced on us. As an instance, we may go perhaps to a series of chords, each different, occurring in cyclic repetition."
Ives, <i>Selected Correspondence</i> (1935), 117 ("Health")	"Dear John: Am sorry to be such a bad letter writer,—but we were glad to hear from you & see your newspaper interview—what you say is to the point & well said—and the dissonance solution and the need for mental development in the listener—(especially those lily pad—lady birds—in charge or too many college orchestras & dress suits,—emasculating art for money!) = make it easy for the sort ears! Percy!"
Ives, <i>Selected Correspondence</i> (1935), 120 ("Health")	"As for music, sometimes for days at a time—can't see it, hear it or play it—not even a nice wrong note!"
Ives, <i>Selected Correspondence</i> (1936), 126 ("Health")	"He makes Beethoven an Emasculated lily-pad—he plays the notes B. wrote down—plays it nice, even, up-down precise, sweet pretty tone, cissy-sounding way—not the music of Beethoven ... He isn't quite good enough to be as bad as the radio ... in emasculating art for money ... A Nation Mollycoddled by commercialized pap—America losing her manhood—for money—Whatever faults the puritans—they were men—& not effeminate!"
Ives, <i>Selected Correspondence</i> (1930), 173 ("Collaborators and Champions")	"Radio! Art & business all bitched up together. 91 3/8% (I like to be precise) of all radio & phonograph records—are "subaceous [sic] cysts" and soft ones at that—and they sell—though if a 3 yr. old is always fed candy for breakfast he will always be a 3 yr.

	old—the oatmeal market will die. The letter from the Victor Co ... —just look at their G— D— soft headed lists!—94 5/8% ‘ta ta’ stuff...”
Ives, <i>Selected Correspondence</i> (1938), 208 (“Travel”)	“London is a ‘nice’ place for ‘nice’ music!—Rollo says—(you know those Rollo lilies who write nice pieces about nice music in the newspapers). 5 columns to say Toscannini [sic] played that nice C maj-Sym ‘real nice’—but Rollo forgot to say that it was the 587629th time Tossy had played it—and he knew every note ‘real nice’—Believe it—or ‘note’!”
Ives, <i>Selected Correspondence</i> (1938), 265 (“Editors and Performers”)	“However I guess it’s better for these [scores to be published] ... for with the exception of men like you and your friends and associates, there are still too many ... among musicians who are ‘lillyears’ et al, who look at music as a baby doll looks at a nice pansy. They all sing the same nice chorus = write it easy to play, easy to hear, easy to sell and please the ladies (male and female)—even Rollo knows that!”
Perlis, <i>Charles Ives Remembered</i> , 72–73 (“Family, Friends, and Neighbors”; account by Brewster Ives)	“My earliest recollection of Uncle Charlie’s music was a concert that he took me to alone ... His music wasn’t played until toward the end of the concert. It was a violin sonata, and he had his music with him. It started with what sounded to most people like discords, and there were protests from the audience that you couldn’t miss. There were one or two who just shouted ‘No, No’ and got up and stalked out of the room. Others did the same thing, and there were boos and catcalls. Uncle Charlie turned, tapped me on the knee, folded up his music and said, ‘I think we’d better go home.’ It hurt him no end ... I think it did shake him.”
Perlis, <i>Charles Ives Remembered</i> , 104 (“Family, Friends, and Neighbors”; account by George Grayson Tyler)	“Mr. Ives used to talk to me about the musicians who liked what he would call ‘soft notes for soft ears’ or the ‘lily pads.’ He would sound off about it—not to them, but to members of the family.”
Perlis, <i>Charles Ives Remembered</i> , 134 (“Music”; account by Elliott Carter)	“When Ives expressed opinions about the music profession as it existed in his time in America, there was much anger at its timidity and its secondhand cultural attitudes. He expressed himself in the Essays, verbally, but also in the many marginal comments in his music manuscripts. Some of the music itself is a direct reflection of his scorn and anger—poking fun at the music profession, and sometimes, I think, punishing it by intentionally peculiar cacophony or vulgarity. Every American composer cannot help but

	understand this attitude. During Ives's lifetime, Dvořák was brought over here to explain and demonstrate what American music should be."
Perlis, <i>Charles Ives Remembered</i> , 138 ("Music"; account by Elliott Carter)	"A matter which puzzles me still is the question of Ives's revision of his own scores. I can remember vividly a visit on a late afternoon to his house on East 74th Street ... He was working on, I think, Three Places in New England ... A new score was being derived from the older one to which he was adding and changing, turning octaves into sevenths and ninths, and adding dissonant notes ... I got the impression that he might have frequently jacked up the level of dissonance of many works as his tastes changed."
Perlis, <i>Charles Ives Remembered</i> , 197 ("Music"; account by Lehman Engel)	"He [Ives] was also constantly throwing out venom about the musical establishment of his day. He hadn't approved of it, probably largely because they hadn't approved of him, hadn't accepted him in any possible way."
Perlis, <i>Charles Ives Remembered</i> , 221 ("Music"; account by John Kirkpatrick)	"So I tried to explain to Ives that as far as I could perceive the musical beauty of that song, I thought my admiration for it was largely based on the beauty of that perfect fourth, and why didn't he spell it as a perfect fourth? He exploded and that went on and on, largely about, 'Why the hell, when something looks as if it might be 'la soh me'—why do you have to spell it 'la soh me'?' He finally ended up with, 'I'd rather DIE than change a note of that!' But much later, after he died, it finally dawned on me that what he had in mind was a suggestion of an interval that wasn't really a perfect fourth ... So it was really slightly more than a perfect fourth, and for the words 'The most are gone now,' 'gone' would be a little under what you'd expect as the interval of a fourth, and would be correspondingly expressive in that way."
Ives, manuscript of "Take-Off on 'Surprise Symphony'" (f. 7457, MSS 14, The Charles Ives Papers in the Irving S. Gilmore Music Library of Yale University) (1909)	"Nice little easy sugar plum sounds, for the soft ears' pocket books Nice pretty Dachy' perfumed sounds for the soft Ears velvet pocket Books! nice sweetie silk bonnet Melodies! NICE Sweetie Jelly cake Harmonies! Rinky Dinky Dinky Dinky Rhymick [sic] flees! OHVER [sic] and OVER and over and over AGAIN! ["Repeat 998 Times" written above lyrics]"
Ives, manuscript of "Take-	"All this G String had to be made after getting back

<p>Off on ‘Surprise Symphony’” (f. 7457) (1909)</p>	<p>from Kinsel Q[uartet] concert in winter ‘09 (nothing but triads [6 repeat signs])” “TONE ICK TRY ADS over + over (8 times Percy Boy Dumb in Aunt - Tryads 8 times Rollo! Dum in ANT 8 Times!!!!!!” “SuB DooM in AUNT 4 NICE Times TONEICK” “This work of Art above composed after hearing the Famous Kanisel Quartet play for the 999th time the famous Ta Ta Ta Ta Ta Ta S.Q. [String Quartet] for nice German Blackboard Rules”</p>
<p>Ives, manuscript of “Sneak Thief” (from p. 1, f. 5755, MSS 14, The Charles Ives Papers in the Irving S. Gilmore Music Library of Yale University) (1914)</p>	<p>Top of page 1: “Down with the war hold—cowardly one bossy SNEAK THIEF is a better Titel [sic] The Politicians make all WAR The people Do NOT SING = YELL! Then Kill the SLAVE maker” Middle of page: “These are not those weak + pretty German rule chords to please the soft ears, etc. but they are hard ‘swats’ on the Kaiser’s brains? No he hasn’t any—but they’re “” [swats] on his ‘guts’ soft + mushy!” Bottom of page: “NOT NICE- Pretty German Rule Blackboard sissy songs no TRIADS + Dom. 7ths But CluBs-Blows on K[aiser]! Soft headed bat bellied cissy Kizero”</p>
<p>Ives, manuscript of “Sneak Thief” (from p. 2, f. 5756, MSS 14, The Charles Ives Papers in the Irving S. Gilmore Music Library of Yale University) (1914)</p>	<p>Top of page: “Sometimes a soft ‘TRIAD’ NEVER MORE than 3 notes—KZERO would not understand any thing but 3 nice Notes = AURAL COWARD!!!!” Top of page, right: “if medieval Slave MAKER is used to sing[?] her[?] [picture of a person singing] — SO MEH DoH D B\flat [picture of what appears to be a face in the first capital D]” Middle of page, left: “This is the final ch[ord] for MEN TO LIVE NOT K[aiser’s] Mush Slave [Chord from bottom: F\sharp G B C\sharp F A C D E\flat A\flat B E (first chord of m. 25)]” Middle of page, right: “This sissy doh chord is for Kai [Chord from bottom: C E G C (second chord of m. 25)] Now Cissy KIZERO, as it starts on Doh—it should end on DOH—the soft weak sissy ears of the K[aiser] will be the only thing he understands—but men[,] a war will end on this iron cho.[rd] [arrow pointing back to the first chord of m. 25 on the left side of the</p>

	<p>page]”</p> <p>Middle of page, middle [below last two notes]: “NOT Con.[sonant?] 5th but blow on KW’s JAW!”</p> <p>Bottom of page, left: “P.W.U. [People’s World Union] each country free to lead its own life + the P.W.U. Police will get the sneak thieving countries as we will get that lousey [lousy?] KayZERO”</p>
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Appendix 2

Musical Manuscripts and Permissions

Permissions

Below is a table of musical examples and permissions utilized in this dissertation. This table is organized into four vertical columns. The leftmost column (“Chapter and Example”) contains chapter and example numbers for examples in this dissertation that reproduce a musical example or an excerpt from a score. The “Source” column contains citations of reproduced works, while the “Permission” column contains the permission and copyright information of reproduced works. Finally, the rightmost column contains additional pertinent information about reproduced works, such as the measure numbers reproduced in this dissertation or the page number on which a reproduced example can be found.

Chapter and Example	Source	Permission	Source Information
Chapter 1, Example 1.1	Sinclair, James. <i>A Descriptive Catalogue of the Music of Charles Ives</i> . New Haven: Irving S. Gilmore Music Library of Yale University, 2012.	Reproduced with permission from Yale University Press.	Incipit for work number 139 (mm. 1–5), p. 285.
Chapter 1, Examples 1.2, 1.3, 1.4a, 1.11a, 1.11b, 1.13b	Ives, Charles. Ed. Jonathan Elkus. <i>Thanksgiving and Forefathers’ Day</i> . New York: Peer International Corporation, 1991.	© Copyright 1971, 1991 by PEER INTERNATIONAL CORPORATION. International Copyright Secured. Printed in U.S. A. All rights reserved including the rights of performance. Reprinted with	Measures 1–4.

		permission.	
Chapter 2, Example 2.1	Johnson, Timothy. "Chromatic Quotations of Diatonic Tunes in Songs of Charles Ives." <i>Music Theory Spectrum</i> 18, no. 2 (Autumn, 1996): 236–261.	By permission of Oxford University Press and the Society for Music Theory.	Example 1b, p. 241.
Chapter 2, Example 2.2	Johnson, Timothy. "Chromatic Quotations of Diatonic Tunes in Songs of Charles Ives." <i>Music Theory Spectrum</i> 18, no. 2 (Autumn, 1996): 236–261.	By permission of Oxford University Press and the Society for Music Theory.	Example 1c, p. 241.
Chapter 2, Example 2.3	Johnson, Timothy. "Chromatic Quotations of Diatonic Tunes in Songs of Charles Ives." <i>Music Theory Spectrum</i> 18, no. 2 (Autumn, 1996): 236–261.	By permission of Oxford University Press and the Society for Music Theory.	Example 1d, p. 241.
Chapter 3, Example 3.1	Handel, George Frideric. 12 Concerti Grossi, Op. 6. Ed. Friedrich Chrysander. Leipzig: Deutsche Händelgesellschaft, 1869. Accessed June 8, 2016, International Scores Music Library Project, http://hz.imslp.info/files/imglnks/usimg/1/12/IMSLP17698-Handel_Concerti_Grossi.pdf .	Score is public domain.	Reproduced in Joseph Straus, <i>Remaking the Past: Musical Modernism and the Influence of the Tonal Tradition</i> (Cambridge: Harvard University Press, 1990) as example 3–2A, p. 48.
Chapter 3, Example 3.2	Schoenberg, Arnold. <i>Concerto for String Quartet and Orchestra</i> . New York: G. Schirmer, Inc., 1963.	CONCERTO FOR STRING QUARTET By Arnold Schoenberg Copyright © 1933 (Renewed) by G. Schirmer, Inc. (ASCAP) International Copyright Secured. All Rights Reserved. Reprinted by Permission.	Measures 1–4, movement 1. Reproduced in Joseph Straus, <i>Remaking the Past: Musical Modernism and the Influence of the Tonal Tradition</i> (Cambridge: Harvard University Press, 1990)

			as example 3–2B, p. 49.
Chapter 4, Example 4.1	MSS 14, The Charles Ives Papers in the Irving S. Gilmore Music Library of Yale University.	Reproduced by permission of the American Academy of Arts and Letters, copyright owner.	Small excerpt of f5755.
Chapter 4, Example 4.2	MSS 14, The Charles Ives Papers in the Irving S. Gilmore Music Library of Yale University.	Reproduced by permission of the American Academy of Arts and Letters, copyright owner.	The entirety of f5755 and f5756.
Chapter 4, Examples 4.3, 4.4	MSS 14, The Charles Ives Papers in the Irving S. Gilmore Music Library of Yale University.	Reproduced by permission of the American Academy of Arts and Letters, copyright owner.	The entirety of f7457.
Chapter 5, Examples 5.1, 5.2a, 5.3, 5.5, 5.7, 5.8a, 5.9, 5.12a, 5.14a, 5.16, 5.17a, 5.18a, 5.19, 5.21, 5.22, 5.23a, 5.24	My transcriptions from f5755 and f5756 of MSS 14, The Charles Ives Papers in the Irving S. Gilmore Music Library of Yale University	Transcription and transcription excerpts reproduced by permission of the American Academy of Arts and Letters, copyright owner.	Excerpts from f5755 and f5756. Some excerpts have been rewritten in music notation software.
Chapter 5, Examples 5.2b, 5.4, 5.18b	My source is Clayton W. Henderson, <i>The Charles Ives Tunebook</i> , 2 nd ed (Bloomington: Indiana University Press, 2008), 98–99.	Score is public domain.	“Columbia, the Gem of the Ocean.”
Chapter 5, Examples 5.6, 5.8b, 5.12b, 5.14b, 5.23b	My source is Henderson, <i>The Charles Ives Tunebook</i> , 108–9.	Score is public domain.	“Reveille.”
Chapter 7 5.17b	My source is Henderson, <i>The Charles Ives Tunebook</i> , 111–12.	Score is public domain.	“The Star Spangled Banner.”
Chapter 6, Examples 6.1, 6.3b,	My source is Henderson, <i>The Charles Ives Tunebook</i> , 49–50.	Score is public domain.	“In the Sweet Bye and Bye.”

6.5c, 6.6c, 6.9b, 6.10b, 6.11c, 6.14b, 6.15c, 6.18			
Chapter 6, Examples 6.2, 6.3a, 6.4, 6.5a, 6.5b, 6.6a, 6.6b, 6.7, 6.8a, 6.9a, 6.10a, 6.11a, 6.11b, 6.11d, 6.12, 6.13, 6.14a, 6.15a, 6.15b, 6.16, 6.17a, 6.17b, 6.21a, 6.21b, 6.22, 6.23, 6.24, 6.25, 6.26	Excerpts from Charles Ives, ed. James B. Sinclair, <i>Orchestral Set No. 2</i> (New York: Peer Music, 2001).	Used by permission of Peer International Corporation.	Some excerpts have been rewritten in music notation software.
Chapter 6, 6.19a, 6.19b	Excerpts from f1310 in MSS 14, The Charles Ives Papers in the Irving S. Gilmore Music Library of Yale University.	Used by permission of Peer International Corporation.	Excerpts from f1310.
Chapter 6, 6.20	Excerpts from f318 in MSS 14, The Charles Ives Papers in the Irving S. Gilmore Music Library of Yale University.	Used by permission of Peer International Corporation.	Excerpts from f1318.
Chapter 7, 7.1	Amorsolo, Fernando C. Your Liberty Bond Will Help Stop This. Manila, Philippines: Bureau of Printing, 1917. From Library of Congress Posters: World War I Posters http://www.loc.gov/pictures/item/2002722586/ (accessed February 17, 2015).	Image is public domain.	
Chapter 7, Examples 7.2 and 7.3	Graphs from Suby Raman, "10 Graphs to Explain the Metropolitan Opera,"	Used with permission.	

	http://subyraman.tumblr.com/post/101048131983/10-graphs-to-explain-the-metropolitan-opera (accessed Nov. 16, 2014).		
Chapter 7, Examples 7.4a and 7.4b	MSS 14, The Charles Ives Papers in the Irving S. Gilmore Music Library of Yale University.	Transcription and transcription excerpts reproduced by permission of the American Academy of Arts and Letters, copyright owner.	Excerpts from folios 5755 and 5756.
Chapter 7, Example 7.5	MSS 14, The Charles Ives Papers in the Irving S. Gilmore Music Library of Yale University.	Used by permission of Peer International Corporation.	Reproduction of f2350.
Chapter 7, Example 7.7	MSS 14, The Charles Ives Papers in the Irving S. Gilmore Music Library of Yale University.	Used by permission of Peer International Corporation.	Reproduction of f0528.
Chapter 7, Example 7.8b	My transcription from f5756 of MSS 14, The Charles Ives Papers in the Irving S. Gilmore Music Library of Yale University	Transcription and transcription excerpts reproduced by permission of the American Academy of Arts and Letters, copyright owner.	Excerpts from f5756.
Chapter 7, Examples 7.9, 7.10	MSS 14, The Charles Ives Papers in the Irving S. Gilmore Music Library of Yale University.	ONE HUNDRED AND FOURTEEN SONGS By Charles Ives Copyright © by Associated Music Publishers, Inc. International Copyright Secured. All Rights Reserved. Used by Permission.	Copy “A” of Charles Ives’s personal copies of <i>114 Songs</i> .
Chapter 7, Examples 7.11, 7.12, 7.13, and 7.14	Charles Ives, <i>Charles Ives: 129 Song</i> , H. Wiley Hitchcock, ed. Music of the United States of America, vol. 47/Recent Researches in American Music, vol. 12 (Madison, WI: A-R Editions, Inc., 2004).	The examples from “They are There!” (Examples 7.14, 7.15, 7.16, and 7.17) are based on the following edition: <i>Charles Ives: 129 Song</i> , H. Wiley Hitchcock, ed. Music	Excerpts from the song “They are There!”

		of the United States of America, vol. 47/Recent Researches in American Music, vol. 12 (Madison, WI: A-R Editions, Inc., 2004). Used with permission. www.areditions.com	
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Manuscripts

Below is a table that contains a list of frame numbers of the master microfilm of Ives's manuscripts which are used as the numbering system for his music in MSS 14, The Charles Ives Papers in the Irving S. Gilmore Music Library of Yale University. This table is divided into two columns. The leftmost column contains frame numbers, while the rightmost column contains the names of the works. For information about the chapters and examples these frames are reproduced in, or for copyright and permission information, please see the prior table.

Frame	Title
f0528	Second sketch of Symphony No. 2 (last page)
f1310	Earliest sketch of <i>From Hanover Square North</i> (page 1)
f1318	Second sketch of <i>From Hanover Square North</i> (page 4)
f2350	Earliest sketch of Symphony No. 2 (last page)
f5081	<i>Postlude for Thanksgiving Service</i>
f5755	Page 1 of "Sneak Thief"
f5756	Page 2 of "Sneak Thief"
f7457	<i>Take-Off on "Surprise Symphony"</i>

Appendix 3

“List: Music and Democracy!”

A transcription of this list can be found in James Sinclair’s *A Descriptive Catalogue of the Music of Charles Ives* (New Haven: Irving S. Gilmore Music Library of Yale University, 2012), 671. The list is a handwritten, unpublished memo on the front and back of a leaf, (ff. 2793–94 of MSS 14, The Charles Ives Papers in the Irving S. Gilmore Music Library of Yale University). It is subtitled: “in Re Music and Democracy!”

Works Found in “List: Music and Democracy!”

1. “The Majority”
2. “Election” from Down with Politics
3. Decoration Day
4. Fourth of July
5. Thanksgiving
6. Symphony no. 4, II and IV
7. Symphony no. 2, IV
8. Orchestral Set no. 1, I and II
9. Anti-Abolitionist Riots
10. “Lincoln”
11. “West London”
12. Tone Roads
13. Gong on Hook & Ladder
14. “The Indians”

15. String Quartet no. 2
16. "Antipodes"
17. "Aeschylus & Sophocles"
18. "Sluggin' a Vampire"
19. "He is There"
20. "Paracelsus"
21. "Walt Whitman"
22. "New River"
23. Rainbow
24. "Night Thought Moon"
25. "Rough Wind"
26. Orchestral Set No. 2
27. "The Things Our Fathers Loved"

Education

Degrees

- | | |
|------|---|
| 2016 | Ph.D. in Music Theory completed December 2016
Indiana University
Recipient of Jacobs School of Music Doctoral Fellowship |
| | <ul style="list-style-type: none">- Dissertation: "Charles Ives and Democracy: Association, Borrowing, and Treatment of Dissonance in His Music"- Advisor: Marianne Kielian-Gilbert- Readers: Andrew Mead, Blair Johnston, J. Peter Burkholder
- First Minor Field: Music History and Literature- Exam Chair: J. Peter Burkholder
- Second Minor Field: Horn Performance- Exam Chair: Richard Seraphinoff |
| 2010 | M.M. in Music Theory and Composition
Florida State University, Tallahassee, FL |
| 2007 | B.M. in Music Theory, Music Education, and Horn Performance
Ithaca College, Ithaca, NY
Graduated <i>Magna Cum Laude</i> |