

A STUDY OF TWO VERSIONS OF CARMEN FANTASIES BY
SARASATE AND WAXMAN

In the comparison of composition style and change of performance trends in the
Nineteenth Century through the Twentieth Century

BY

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Table of Contents

Table of Contents	iii
List of Examples	iv
List of Figures	vi
List of Table	vii
Preface	1
Chapter 1: BIZET’S OPERA CARMEN	3
Chapter 2: CARMEN FANTASY BY PABLO DE SARASATE (1883)	22
Chapter 3: CARMEN FANTASY BY FRANZ WAXMAN (1946)	31
Chapter 4: PERFORMANCE PRACTICE ISSUES	41
Chapter 5: CONCLUSION	83
Bibliography	86

List of Examples

Example 1.1(a) Yradier El Arreglito	7
Example 1.1 (b) Bizet Carmen Act 1 No.5 Habanera.....	8
Example 1.2 (a) García Polo.....	9
Example 1.2 (b) Bizet Carmen Entr'acte to Act 4	9
Example 1.3: Bizet Carmen Prelude Opening	9
Example 1.4: Bizet Carmen Prelude Carmen's Fate Motif	14
Example 1.5 Bizet Carmen Act 1 Scene 5 Carmen's Appearance	14
Example 1.6: Bizet Carmen Act 1 No. 5 Habanera	15
Example 1.7: Bizet Carmen Act 1 No. 9	16
Example 1.8: Bizet Carmen Act 1 No.10	16
Example 1.9: Bizet Carmen Act 2 No. 12	17
Example 1.10: Bizet Carmen Act 3 No.20	19
Example 1.11: Bizet Carmen Act 4 Entr'acte.....	21
Example 2.1 (a): Bizet Carmen Act 4 Entr'acte	26
Example 2.1 (b): Sarasate Carmen Fantasy mm.18-25.....	27
Example 2. 2: Sarasate Carmen Fantasy mm.179-190	28
Example 2. 3: Sarsasate Carmen Fantasy mm.222-231	28
Example 4.1: Schubert Piano Trio D. 898 1st Movement mm.85-91.....	48
Example 4.2: Joachim Romanza Op.2 No.1mm.1-2	54
Example 4.3: Rode Violin Concerto No.7 1st Movement mm.1-16	60
Example 4.4: Rode Violin Concerto No. 7 2nd Movement mm.1-32	62
Example 4.5: Beethoven String Quartet Op. 59 No.3 1st Movement mm.1-29	63

Example 4.6: Haydn String Quartet Op.33 No. 2 2nd Movement mm.51-54	63
Example 4.7: Beethoven Violin Sonata Op.96 4th Movement Adagio	65
Example 4.8(a): Berwald Violin Concerto in C sharp minor 1st Movement m.70	65
Example 4.8(b): Berwald Violin Concerto in C sharp minor 2nd Movement mm.11-12	65
Example 4.8(c): Berwald Violin Concerto in C sharp minor 3rd Movement mm.251-253	65
Example 4.9: Mendelsshon Violin Concerto 2nd Movement mm. 35-36	67
Example 4.10: Ysaÿe, Lointain Passe, mm.156-157	76
Example 4.11: Chopin-Sarasate Nocturne in E flat Op.9 No.2 m. 4 and mm. 27-28	76

List of Figures

Figure 1: Four Types of Vibrato by Spohr from <i>Violinschule</i>	56
Figure 2: Three Signs of Vibrato by Bériot	56
Figure 3: Three Types of Portamento by Bériot from <i>Méthode de violon</i>	65

List of Table

Table 1: A Comparison of the Carmen Melodies in Sarasate's and Waxman Fantasies	36
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Preface

Carmen is one of the most popular operas Bizet composed, and the melodies associated with the main character, Carmen, have been transcribed by many composers in various genres. Despite the failure of the 1875 Paris premiere, where the opera was criticized as ‘immoral’ and ‘superficial’, its charming and heroic features have attracted audiences and motivated composers to incorporate the tunes in their own music.

Two composers from different backgrounds and time periods, Pablo de Sarasate and Franz Waxman, wrote their own Carmen Fantasies for violin and orchestra. Sarasate was a virtuoso violinist in the late nineteenth century and Waxman gained his fame as a film composer in the mid twentieth century. These two pieces have survived as popular show pieces and have been frequently performed in concerts and violin recitals throughout the world.

As a violinist, I found learning and performing the two different fantasies to be interesting and fascinating because of the composers’ unique ways of writing with the same resources, creating various effects. Their differences between the two fantasies stems from the different individual backgrounds of the composers as well as the musical time periods during which the pieces were written. It is also interesting to note how the compositions were performed differently by various violinists reflecting performance trends of the time. Thus, this document will examine the two composers’ backgrounds and composition styles and compare their transcriptions with Bizet’s original opera tunes, taking into account performance trends and interpretation in different periods. Therefore, the purposes of this project are as follows:

1. Analysis of each composition: Thorough examination of the original opera tunes as compared to the compositional treatments by two composers from different musical backgrounds. The document will cover the characteristics of the original themes and melodies from *Carmen* that are used in the Carmen Fantasies, and analyze the composers' distinctive writing styles found in their fantasies.
2. Observation of the performance trends: Historical observation of the performance trends in both eras found in written resources and early recordings. The document will focus on the diverse performance styles based on bowing, vibrato, portamento, and tempo rubato. It will also examine the change of performance style as it evolves from the nineteenth century to the twentieth century.

Chapter 1: BIZET'S OPERA CARMEN

1.1 The Birth of the Carmen Character

a. Origin

In 1872, Georges Bizet was commissioned to write an opera in collaboration with the librettists Ludovic Halévy and Henri Meilhac from the Opéra-Comique. He rejected the idea of the three scenarios that were suggested, and insisted on writing a new work based on Prosper Mérimée's novel *Carmen* which described Don José's love for Carmen and created the Gypsy heroine. In the collaboration, Meilhac wrote the prose dialogue and Halévy provided the verse to the opera.

The librettist, Halévy, insisted on having a "softer and tamer" *Carmen* than the *Carmen* in the novel and wanted to introduce a young, innocent and pure girl character in the tradition of the "Opéra-Comique". As a result, Carmen's character in the opera was somewhat cleaned. Her criminal activities, such as theft, were omitted, but the *femme fatale* figure and her sexuality became more conspicuous. These features are apparent in the first two acts. Bizet creates the vivid image of Carmen, her sexuality and racial and class difference, more intricately in the music than in the novel.

Bizet was attracted to all kinds of musical discourses throughout his life such as German Symphonies, popular songs, and dances of the Bohemian cabaret. More importantly, Bizet was always drawn to exotic subject matter. Orientalism was also in vogue in France at this time. Narratives containing *femme fatale* and her innocent male victim were found in many of his works, and it was also a common obsession in the late nineteenth century culture.

b. Characteristics of the tunes

1. Exoticism

“Distant” vs. “Near” Exoticism

The term, “Exoticism” in music describes non-European musical cultures from the European point of view, and it can be classified in two categories: “distant” exoticism and “near” exoticism.

“Distant” exoticism or music is considered to be music of the East beyond Europe including Africa, Asia, the Americas, and other locales. In the seventeenth century, especially in the second half of the century, Turkish music takes center stage in European interests. The major characteristics of Turkish style music played by Turkish military bands include 2/4 meter, duplicated melodies in octaves, and a harmonic structure that features frequent use of thirds. The Enlightenment period saw increased interest in other exotic music such as dance of African music and music from the Pacific islands. Major-minor scales were used more frequently than pentatonic scales. In the eighteenth century, European focus turned to Chinese and, later in the century, Arabian cultures. Chinese motifs were also commonly found in operas, as evidenced in Nicholas Dalayrac’s *Koulouf ou Les Chinois* (1806).

Europe in the nineteenth and twentieth centuries saw enormous interest in the Orient: Japan, Egypt, Arab, India, and other Far East countries. Best known works from this era are Puccini’s operas *Madame Butterfly* (1904, set in Japan) and *Turandot* (1926 posthumously, set in China). George Bizet wrote *Les Pêcheurs de perles* (The Pearl Fishers, 1863) choosing Ceylon as the location and *Lakmé* (1883) set in India.

The interests in Exoticism in the nineteenth century became extremely fashionable when “historicism and medieval mystery had lost their influence”. Using strange, unknown, and exotic places in operas and other works was the key for composers who were looking to create diversity in music. According to Dahlhaus, exoticism “served an unlimited reservoir of ideas. They needed only to locate the set through so-called ‘Orientalist signifiers’ instead of having thorough knowledge of aesthetic and compositional norms of European musical culture. Therefore, ‘exoticism’ is defined as a distortion and also a reflection of the West itself.”

“Near” exoticism originated from folk music in the European borderlands, particularly southern Spain and Eastern Europe. They were considered as “semi-oriental exotics”¹ containing an atmospheric color that was viewed as attractive and unfamiliar by the Western Europeans. Hungarians, Armenians, Gypsies, and Jews were considered Asians in the nineteenth century in Austria-Hungary as opposed to the European Germans, Czechs, and Italians.²

The distinctions between “distant” and “near” exoticism were removed as exoticism and folklorism began to share similar aesthetic functions through widely used techniques such as open fifths, Lydian fourths, and chromatic melodies. Among diverse approaches to exoticism, the musicologist, Scott, did not distinguish between “near” and “far” exoticism when he classified Spain and Hungarian territories as exotic lands, associated with the *style hongrois*. Instead, he associated exoticism with the musical

¹ Gilbert Chase, *The Music of Spain* (New York: Dover, 1959), 291.

² Tamás Hofer, “Construction of the ‘Folk Cultural Heritage’ in Hungary and Rival Versions of National Identity,” in *Hungarians between “East” and “West”: Three Essays on National Myths and Symbols*, ed. Tamás Hofer (Budapest: Museum of Ethnography, 1994), 43.

traditions of Gypsies. They were presented in many musical works including operas, particularly through the *style hongrois*.

Exoticism in Carmen

Bizet's incorporation of Exoticism can be found in his earlier works before *Carmen*. The compositions include his Symphony in C with the use of chromatics, and his operas *The Pearl Fishers* (1863, set in Ceylon) and *Djamileh* (1871, set in Egypt) with exotic materials. Bie wrote in 1920, "As a composer of lyrical operas Bizet is a clear exoticist, embellishing them... as far as possible with national colorings, not authentic yet sublime."³

The exoticism in *Carmen* was considered to be 'the true source of upsurge in the nineteenth century interest in the exotic'⁴ by many scholars. It shows the European fascination with Gypsies and the culture as well as a connection to European literature. The exotic qualities in *Carmen* have been discussed in many ways throughout history. When composing *Carmen*, Bizet collected numerous folk tunes of Spanish Music, and used a few numbers in the opera. His intention was not to imitate the music of a foreign country, but "to conjure up a Spanish background for French listeners."

He wrote "Habanera" (a dance from Havana of Cuban origin) based on the song *El Arreglito* by the Spanish composer, Sebastián Yradier. Yradier., despite his Spanish origin, wrote exotic music as an exercise in exoticism, not as an expression of his own ethnic music. Habaneras were trendy in the late nineteenth century in France. While traveling to Latin America, Yradier collected folk materials which were based on his

³ Oskar Bie, *Die Oper* (Berlin: S. Fischer Verlag, 1920), 351.

⁴ Susan McClary, *Georges Bizet: Carmen* (Cambridge: Cambridge University Press, 1992), 33.

pseudo-folk compositions, including the African-Cuban song that Bizet rearranged in his Habanera. (Bizet, at first, thought it was a folk song, realized his mistake later, and cited his resources in his score). The quality of descending chromatic lines and African-Cuban impulses perfectly fit the dramatic concept of Carmen, and Bizet even enhanced the melodies by reworking the rhythms of *El Arreglito* to clearly express the seductive character of Carmen. Example 1.1 (a) and 1.1 (b) show the comparison between Yradier's original composition and Bizet's adaption.

Example 1.1 (a) Yradier

The image displays a musical score for Yradier's Habanera. It consists of two systems of music. The first system features a vocal line on a single treble clef staff and a piano accompaniment on a grand staff (treble and bass clefs). The lyrics for the vocal line are: "Chi-ni-ta mi-a ven por a-qui que tu ya-sa-bes quemuero por ti Chi-ni-ta mi-a ven por a-qui que tu ya". The second system shows a continuation of the piano accompaniment, with lyrics "sa-bes quemuero por-ti" written below the treble clef staff. The music is in 2/4 time and features characteristic descending chromatic lines and syncopated rhythms.

Example 1.1(b) Bizet Carmen Habanera

HABANERA.

Allegretto quasi Andantino. (♩=72)

CARMEN.

The musical score consists of three systems. The first system shows the beginning of the piece with a piano introduction marked 'pp'. The second system continues the piano accompaniment, featuring a triplet in the right hand and a 7-measure rest. The third system concludes the piano introduction with another triplet in the right hand.

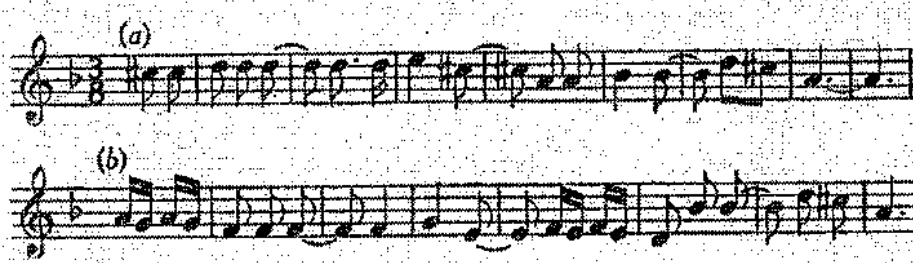
The seguidilla from Act 2, is also associated with the flamenco music, but it was probably written simply to express the character of Spanish Gypsies.⁵ According to Tiersot, the Seguidilla is written in ‘admirable style’ and gives a ‘vivid impression of Spanish song.’

Another example of Bizet’s adaption of the resources is the Entr’acte to Act IV. It is based on a Spanish *polo* (an Andalusian song) from Manuel García’s *tonadilla, El criado fingido*. Like Yradier, García was also a collector of folk materials, and he sang this song in Madrid in 1804. Bizet had the song in his library of Spanish songs, and transformed it into a masterpiece. Bizet maintains García’s emphasis and conclusion on the dominant key, which is the characteristic of *cante jondo* (literally ‘deep song’), the

⁵ McClary, *Georges Bizet*, 87.

folk melody of southern Spain. Example 1.2 (a) and (b) present a comparison of García's polo and Bizet's modification.

Example 1.2 (a) Garcia's two themes from his polo



Example 1.2 (b) Bizet's Carmen Entr'acte to Act 4



Although the influence of Spanish music is apparent, Bizet freely composed in his own way altering his resources to fit his purposes, and the results superficially resemble the indigenous music. The characteristics of European exoticism are described by Carl Dahlhaus as: pentatonicism, the Dorian sixth and Mixolydian seventh, the augmented second and augmented fourth, non-functional chromatic coloration and finally bass drones, ostinatos, and pedal points as central axes. Susan McClary added more to this: colorful timbral effects (especially percussion), phrygian seconds, simple formal designs and insistent dance rhythms.⁶ Several examples are shown as follows in *Carmen*.

⁶ Ibid., 53.

1. Augmented Second

Carmen's Fate (Overture) Andante moderato

Musical score for Carmen's Fate (Overture), Andante moderato. The score is written in bass clef with a 3/4 time signature. It features a dynamic marking of *ff* (fortissimo). The melody consists of a series of eighth notes with a chromatic interval of an augmented second between the second and third notes.

2. Nonfunctional Chromatic Coloration

Habanera

Sung by Carmen and the Chorus Allegretto, quasi Andantino

Musical score for Habanera, Allegretto, quasi Andantino. The score is written in treble clef with a 2/4 time signature. It features a dynamic marking of *p* (piano). The melody is characterized by triplet rhythms and chromatic coloration. The lyrics are: L'a - mour est un oi - seau re - bel - le Que nul ne peut ap - pri - voi - ser, Et c'est bien en vain qu'on l'ap - pel - le, S'il lui con - vient de re - fu - ser.

3. Bass drones, pedal points: Habanera accompaniment "D"

The static bass lines are against the Western belief of harmonic progression, and it's the characteristic of 'Orientalism'

HABANERA.

Allegretto quasi Andantino. (♩=72) CARMEN.

The image shows the piano accompaniment for the Habanera from Bizet's opera Carmen. It consists of three systems of music. The first system is marked *pp* and includes the tempo and metronome marking. The music is in 2/4 time and features a characteristic habanera rhythm: a triplet of eighth notes on the first beat followed by two eighth notes on the second beat. The second system continues this pattern with some melodic variation in the right hand. The third system concludes the excerpt with a final cadence.

4. Insistent dance rhythms: Habanera rhythms (binary rhythm: the triplet on the first beat followed by two eight-notes on the second), Seguidilla (in ternary time beginning on an off-beat)

- Habanera (Binary Rhythm: the triplet on the first beat followed by two eight-notes on the second)

A single system of musical notation in 2/4 time, illustrating the habanera rhythm. The bass clef is used. The first beat contains a triplet of eighth notes, and the second beat contains two eighth notes.

- Seguidilla (In ternary time beginning on an off-beat)

A single system of musical notation in 3/4 time, illustrating the seguidilla rhythm. The treble clef is used. The music begins on an off-beat, with the first note falling on the second eighth of the first beat. The rhythm consists of a quarter note followed by two eighth notes, repeated across three measures.

2. Gypsy Violin

In *Carmen*, the fate motif (D-C sharp-B flat-C sharp-A) is composed as the romantic connotation of Gypsy music. (see Example 1.4) It consists of the repetition of the augmented second, centered on B flat. The use of the augmented second refers to Carmen and her fate, and even to Gypsy music. The motif indirectly becomes a Gypsy motif, and a counter-point to non-Gypsy references such as those to Don José.⁷

Gypsy Song in *Carmen* is simply used as a functional marker to express the exotic elements of the opera, not to show the authentic traits of the Gypsiness. In Act 2, Carmen's performance of Gypsy song merely gives an example of Carmen as a cabaret performer and it is not intended to express Carmen herself. Bizet utilizes the instruments in various ways to show Spanishness connected with Gypsy color. He uses harp, viola, and pizzicato cello accompaniment to mimic the flamenco guitar accompaniment and evoke Gypsy Spain. When Carmen sings for Don José in Act 2, this use of pizzicatos accompanied by Spanish castanets is a simple stage tool for Spanish entertainment, dance and song. The castanets are also accompanied by Carmen and her friends to indicate their carefree attitude of Gypsies in general. In addition, the solo violin in Act 3 for fortune telling is for bringing up the image of the nineteenth century wandering Gypsy fiddler.

Summary of Carmen

A Gypsy cigarette girl in Seville, Carmen attracts and seduces the men in the town. Young men plead with her to be chosen as her lover. As she chooses and teases Don José who has been ignoring her, he denies her and is annoyed by her impudence. When Carmen attacks a cigarette girl with a knife, Don José receives an order to take her

⁷ Anna G. Piotrowska, *Gypsy Music in European Culture: From the Late Eighteenth to the Early Twentieth Centuries* (Boston: Northeastern University Press, 2013), 121.

into custody. However, Carmen deceives and lures Don José to release her. As a result, Don José is imprisoned for a month. When he comes back, he learns about Carmen's mutual love for Escamillo. Escamillo challenges Don José to a bullfight, and Don José pleads with Carmen to promise to return to him. On Carmen's refusal, Don José stabs Carmen, and she dies.

Prelude:

Example 1.3: The music is set the festive atmosphere of the square.

The image displays three systems of musical notation for a piano prelude. Each system consists of a grand staff with a treble clef on the upper staff and a bass clef on the lower staff. The key signature is one sharp (F#) and the time signature is 2/4. The first system is marked with the tempo 'Allegro giocoso' and a metronome marking of quarter note = 116. The music is characterized by a rhythmic pattern of eighth notes in the right hand and chords in the left hand. The second system continues this pattern with some melodic variation in the right hand. The third system concludes the prelude with a final cadence. The notation includes various musical symbols such as slurs, accents, and dynamic markings like 'ff' (fortissimo).

Example 1.4: Carmen's Fate theme

Andante moderato (♩ = 58)

ff *espressivo*
tutto forza.

The score consists of two systems of piano accompaniment. The first system is a 7-measure phrase in 3/4 time, marked 'Andante moderato' with a tempo of 58 beats per minute. It features a treble clef with a melody of eighth notes and a bass clef with a rhythmic accompaniment of eighth notes. Dynamics include *ff* and *espressivo*, and the instruction *tutto forza.* is present. The second system continues the melody and accompaniment for 4 measures.

Act 1:

Example 1.5: Carmen's Appearance from Scene 5

a Tempo.

Peut - ê - tre ja - mais!... peut-
- ê - tre de - main!...
(résolument)
Mais pas au - jour - d' - hui... c'est cer - tain.

The score shows a vocal line in 3/4 time, marked 'a Tempo.' The melody is in a minor key. The lyrics are: 'Peut - ê - tre ja - mais!... peut-
- ê - tre de - main!...
(résolument)
Mais pas au - jour - d' - hui... c'est cer - tain.'

No. 5 Habanera: Carmen sings her famous Habanera about her observation of love.

Example 1.6: Act 1 No.5 Habanera

HABANERA.

Allegretto quasi Andantino. (♩=72) CARMEN.

The image displays a musical score for the Habanera. It consists of three systems of music. The first system shows the piano accompaniment in the left hand and the vocal line in the right hand. The tempo is marked 'Allegretto quasi Andantino' with a quarter note equal to 72 beats per minute. The key signature has one flat (B-flat), and the time signature is 2/4. The piano part features a characteristic rhythmic pattern of eighth notes and chords. The vocal line begins with the lyrics 'CARMEN.' and consists of a few notes. The second and third systems continue the piano accompaniment with various musical notations such as slurs, accents, and dynamic markings like 'pp'.

The lyrics are as follows:

Love's a bird that will live in freedom,
That no man ever learned to tame
And in vain men may call and call her
If she's no mind to play their game!
They'll find nothing they do will tempt her,
The one tries charm, the other's dumb!
And that other's the one I fancy,
He may not talk, but he's the one!

No. 9 Allegretto molto moderato

Carmen was accused of attacking a woman, and when she was challenged, she merely hums (Tra-la-la-la) a defiant.

Example 1.7: Act 1 No.9

Allegretto molto moderato. (♩ = 76)
CARMEN (frédonnant)

Tra la la la la la la la, Coupe-moi, brûle - moi, je ne te di - rai
rien; Tra la la la la la la la. Je brave tout le feu, le fer et le ciel
me - me...

Tra la, la, la, la, la, la, la,
 Though you beat me or burn me, I've nothing to say,
 Tra la, la, la, la, la, la, la,
 Nothing scares me. Not fire, not swords, not heaven itself!

No.10 Allegretto

Carmen sings, drinks, and dances looking for a new love in the tavern that is closed by the walls of Seville. She starts her exquisite Seguidilla looking for a new love.

Example 1.8: Act 1 No.10

pp et léger.

Près des rem - parts de Sé -
- vil - le, Chez mon a - mi Lil - las
Pas - tia J'i - rai dan - ser la Se - gue - dille Et boi - re
du Man - za - nil - la. J'i - rai
chez mon a - mi Lil - las Pas - tia...

Act.2

No.12 Andantino

Introduction by orchestra followed by Gypsy song sung by Carmen

Example 1.9: Act 2 No.12

Orchestra Introduction

The musical score is written for piano and harp. It begins with the tempo marking "Andantino. (♩ = 100)" and the dynamic marking "pp". The score is divided into five systems, each with a piano part on the left and a harp part on the right. The harp part is marked "RIDEAU. (Danse)". The piano part features a steady eighth-note accompaniment. The harp part consists of arpeggiated chords and melodic lines. The score concludes with a "dim." marking.

Gypsy song by Carmen

CARMEN. *bien rythmé.*

(La danse cesse.)

Les
 c. triangles des sistres tin - taient. Avec un éclat métal - li - que. Et
 c. sur cette étrange mu - si - que Les Zing - rellas se le - vaient.
 c. Tam - bours de Basque allaient leur train. Et
 c. les guitares force - né - es Grinçaient sous des mains obsti - né - es. Même chan -
 c. - son, même re - frain. *rit. molto.* *dim.* **a Tempo.** Même chanson, même re - frain!
 c. *pp* tra la la la tra la la la
 c. tra la la la tra la la la la la la la

The triangles they used to play
 Would set the gypsy rhythms tingling,
 Till roused by their metallic jingling
 The gypsy girls began to sway.
 Their tambourines took up the theme,
 While mad guitars in rhythm beating
 Were unrelentingly repeating
 This very song, this same refrain!
 Tra la la la la la.

Act 3

No.20 Andante molto moderato

This is a famous card scene that Carmen acknowledges her fate to death.

Example 1.10: Act 3 No.20

Andante molto moderato. *complètement et très-légerement.* *pp*

En vain pour évi-fer les réponses a-
-mères, En vain tu mê-le-ras. Ce-la ne sert à rien, les car-tes sont sin-
-cè-res Et ne men-ti-ront pas! Dans le li-vre d'en-
haut si ta page est heu-reu-se, Mê-le et cou-pe sans peur:
pp La carte sous tes doigts se tour-ne-ra joy-eu-se, T'annonçant le bonheur! -
puco cresc. Mais si tu dois mou-rir, Si le mot redou-table Est écrit par le sort, - Recommence vingt
cresc. molto fois, la carte impito-yable Répé-te-ra: la mort! Oui, si tu dois mou-rir, Recommence vingt
sf fois, - *moins* la carte impito-yable. *mf poco rit* Répé-te-ra: la mort! *a Tempo.*
sf *sf* *sf* Usant les cartes, En-cor! En-cor! Toujours la

You never can escape their unrelenting answer,
However hard you try!
You only waste your time, because the cards are honest
And will not tell a lie!
If in the book of fate your happiness is written,
then deal and have no fear,
For every card you turn, to look into your future,
Will show good fortune there.
But if you are to die, the terrifying sentence
Is written there on high,
Though you deal twenty times ... the cards will show no mercy -
They still repeat: "You die!"

Act 4

Entr'acte to Act 4 Allegro vivo

Composition based on a genuine Spanish polo, and Andalusian song and dance

Example 1.11: Act 4 Entr'acte

Allegro vivo, (♩ = 80)

The musical score is written for piano and voice. It begins with a tempo marking of *Allegro vivo* and a metronome marking of $(\text{♩} = 80)$. The piano part features a complex, rhythmic accompaniment with many chords and moving lines. The vocal part consists of several lines of music with lyrics. The lyrics are: "di - mi - ni - en - du." The score includes dynamic markings such as *ff*, *pp*, and *f dim. p*. There is a small star symbol in the fifth system of the piano part.

ff

di - mi - ni -

en - du. *pp*

f dim. p

Chapter 2: CARMEN FANTASY BY PABLO DE SARASATE (1883)

2.1 Musical Background of Pablo de Sarasate (1844-1908)

As a Violinist

Sarasate was born on March 10, 1844 in Pamplona, the capital of Navarre. He changed his name to Pablo de Sarasate from Martín Meltitón Sarasate y Navascues after he started his professional career as a violinist.

Sarasate was a child prodigy similar to most other virtuoso violinists. His father, Don Miguel, was a bandmaster and amateur violinist. There is an interesting episode told. One day Sarasate's father was practicing technically difficult passages. Listening rather impatiently, five-year old Sarasate picked up his father's violin and played the passages perfectly. From that day on, the father never again played the violin.

Sarasate's first public appearance was at La Coruna in 1852 at the age of eight, and the concert was well received. At the concert, he got a sponsorship from the patron, Condesa Espoz y Mina, to continue his studies under Spain's foremost violin professor, Don Rodríguez Saez. Afterwards, the teacher sent him to the Paris Conservatoire to study with Jean-Delphin Alard at the age of twelve. Alard was the successor to the famous Baillot at the Conservatoire, and took full charge of Sarasate and his training. As a pupil of F. Habaneck, who had studied with Baillot, Alard was a representative of the modern French violin school and influenced Sarasate's composing of brilliant violin show pieces.

Sarasate's career soared when he won the coveted Premier Prix du Conservatoire at the age of seventeen. He already considered himself more of a Frenchman than a Spaniard. He thought that Spain was a "Land of Barbarians" in musical aspects and lacked official education about teaching and practicing music. This was supported by

other enlightened musicians at the time, both Spaniards and foreigners. One of Spain's best-informed musical critics, the Marqués de Alta Villa, wrote in 1900:

In Madrid, where one would naturally expect to find the most gifted interpreters of the various arts, including that of the teaching and practice of music, we have in this last field absolutely no official education. That of the Conservatorio de Música y Declamación is an unbelievable disgrace!⁸

In 1876, Sarasate was already famous in France, Spain, Belgium, England, and the United States, but he was still relatively unknown in Germany. At the time, he had not toured Germany, and had even turned down multiple invitations to do so. Urged by friends Massenet and Diemer, he finally decided to visit Germany for a series of concerts. His first concert took place in a small auditorium in Berlin in front of an extremely critical audience. Critics of the concert were very cold and harsh and he was compared very unfavorably to Joachim and Wilhelmj, who were considered true artists of the violin in Germany. After several concerts in Germany, his reputation gradually improved until he finally secured his fame in Germany.

As a Composer

Sarasate was an unusually successful adapter for the violin of beautiful popular and folk melodies. He continually integrated popular and folk melodies into his own melodies, often making it difficult to discern where the original tunes began or ended. In addition, his playing style and the compositions were beautifully matched to each other, and he was an enormously successful playing those pieces everywhere he went. Sarasate wrote the pieces with Spanish color, evident in his four Spanish books and many other pieces like *Jota aragonesa*, *La Chasse*, *Jota de San Fermín*, *Peterneras*, and *Navarra* (for two violins). They feature original melodies, popular melodies, and folk melodies of

⁸ Marqués de Alta Villa, "Sarasate y el arte musical en España," *Revista Sarasate* (June 1900).

Navarre and the Basque countries. He also based compositions on Scottish and Russian music. His affection for Scottish tunes is evident in his own composition, *Airs écossais*, and other works written for him: the *Scottish Fantasy* by Max Bruch (1884) and the *Pibroch* by Alexander Mackenzie (1889).

Sarasate had good relationships with French composers Massenet, Franck, Lalo, and Saint-Saëns. Three of those composers, Massenet, Lalo and Saint-Saëns, paid tribute to Spain in their music. Even though composers hesitate to admit receiving help from outside sources, Saint-Saëns once admitted receiving assistance of Sarasate when he stated, “In circulating my compositions throughout the world on his magic bow, Pablo de Sarasate rendered me the highest of services.”

Lalo’s case was similar to that of Saint-Saëns. Lalo never credited Sarasate in his writing, but referring to Lalo’s *Symphonie Espagnole*, Gilbert Chase said

... Lalo had Spanish blood in his veins, and writing his ‘Symphonie espagnole’ he profited moreover from the help and advice of Sarasate, who gave the first performance of the work at Paris on February 7, 1875.

It is quite likely that Sarasate even recommended the beautiful Spanish tunes to Lalo that he successfully used in the ‘Symphonie espagnole’ after his concert tour in the Scandinavian countries. The remarkably similar tunes are found in collections of Spanish traditional melodies, especially in the second movement.

Chase writes about Sarasate’s original pieces:

As a composer, Sarasate wrote with extreme effectiveness for his instrument, and he was, moreover, one of those who contributed most efficaciously to popularizing “the Spanish idiom” abroad, sharing honors with Albéniz in this respect. His numerous Spanish Dances (both violin alone and with piano) will long remain in the violinistic repertoire, for they are full of color and charm, as well as of technical brilliance.

As one of the violinist composers in the nineteenth century, he effectively uses the singing character of the instrument using many popular songs, folk songs, and folk

dances in his violin compositions. Moreover, he uses pizzicato and staccato to imitate the guitar or mandolin. His capability of employing these techniques was unmatched by other composers.

2.2 Sarasate's Compositions of Opera Fantasies

Sarasate wrote many other Opera Fantasies in his life besides Carmen. The following is the list of his Opera Fantasies:

Fantasy on *La Forza del destino* Op.1 for Violin and Piano

Fantasy on *Roméo et Juliette*, Op.5 for Violin and Piano

New Fantasy on *Faust*, Op.13 for Violin and Orchestra

Fantasy on *Der Freischütz* Op.14 for Violin and Orchestra

Fantasy on *Martha* Op.19 for Violin and Piano

Fantasy on *Don Giovanni* Op.51 for Violin and Piano

Fantasy on *The Magic Flute* Op.54 for Violin and Orchestra

In his early career, Sarasate started out writing the Fantasy genre using existing tunes from famous operas. After writing the Carmen Fantasy, there was a time period where he didn't write any opera fantasies until he wrote the next opera fantasy on Don Giovanni.

2.3 Analysis of the composition

Sarasate wrote his fantasy in a part form that is distinctively divided into individual sections. It consists of five sections: Introduction-I-II-III-IV. He clearly marks

the sections with roman numerals as movements and he closes each section with double bar-lines.

Introduction

The introduction starts with the tune from Entr'acte to Act 4 in a tempo of *Allegro Moderato* as opposed to *Allegro vivo* from the opera. This is a dancing scene of street sellers, dancers, and spectators waiting for the procession of the toreadors. After the fanfare in the orchestra, when the solo violin comes in, Sarasate slightly modifies the nuance of the main melody line by adding rests between the quarter notes as they are connected in the opera. While the legato lines in the opera move towards the downbeat of each bar (dotted rhythms fall into the strong beats), Sarasate's articulation highlights the weak beat note after the rest. This accented weak beat can be as a strong beat which creates the effect of meter displacement and gives a more urgent and gasping character to the line. Additionally, Sarasate uses a totally opposite side of the register than the opera and different tone colors: Playing on the G String in the two- octaves lower in the register than in the opera compared to Oboe in the high register in Bizet's. In Bizet's opera, the tune, shown in Example 2.1 (a), is connected with slurs and moves in a smooth, lyrical fashion. Sarasate's tune, shown in Example 2.1 (b), is more segmented, lending itself to a wide variety of interpretation and phrasing possibilities for performers.

Example 2.1 (a): Bizet's Carmen



Example 2.1 (b): Sarasate's Carmen Fantasy



Another observation seen in the introduction is that Sarasate uses various instrumental techniques for virtuoso violin playing. These include fast running and passing scales with trills, consecutive octaves, ad libitum passages, left-hand pizzicatos, fingered harmonics, slurred staccatos, and chromatic glissandos. As a virtuoso violinist himself, he not only rearranges the original tunes from the opera into a new fantasy form, but he also takes advantage of virtuosic playing techniques to create a brilliant sound with multiple layers of texture.

Section I

In Section I of the Fantasy, Sarasate works with the Habanera from Act 1. No.5 in the opera. He continues to show more of his virtuosic violin writing, and furthermore, he utilizes several compositional techniques as well: Variation technique in the solo violin and Imitation between and the solo violin and the accompaniment (canon).

First of all, let us look at the first eight-bar phrase after the Habanera rhythm. In the entrance of the solo violin, Sarasate expands the register of the violin even wider from an octave to a two octave range which creates a completely different tone color from Carmen's low mezzo-soprano voice. By adding grace notes to the chromatic lines and voicing at the end of four-bar phrases, he produces a mini-dialogue between the bright and sparkling color of the chromatic line that is answered by a responsive statement (see example 2.2). The voicing enhances the effect of the contrast even more in the next variation. When the melody appears an octave higher, the register between the two voices

become even more pronounced: a bird-chattering sound followed by a beefy gentleman-like voice. The next thing he does with this eight-measure phrase is polyphonic writing using triple stops. The character of the phrase is now far more distant from the original. The tune becomes more powerful and firm in the solo violin.

Example 2.2

The musical score for Example 2.2 is written in 2/4 time with a key signature of one flat. It is marked 'Moderato'. The score consists of three systems. The first system shows the solo violin (V) and piano accompaniment (p) with measures 1, 2, and 3. The second system continues with measures 4 through 7, featuring triplets and dynamic markings of *fz* and *p*. The third system shows measures 8 through 11, with further triplets and dynamic markings of *f* and *p*. Roman numerals IV and V are indicated above the notes in the second and third systems.

Secondly, Sarasate uses a canon technique between the solo violin and the accompaniment. The leading voice starts in the accompaniment (leader), the solo violin (follower) chases by an interval of a quarter note (see example 2.3).

Example 2.3

The musical score for Example 2.3 is in 2/4 time with a key signature of two sharps. It features a solo violin (V) and piano accompaniment. The score is divided into two systems. The first system shows the beginning of the piece with a *mp* dynamic. The second system shows the canon technique, with the solo violin (V) and piano accompaniment (p) playing the same melodic line at different times. The word 'Tutti' is written above the piano part, and dynamic markings of *f* and *p* are present. Fingerings and breath marks are indicated throughout the score.

Lastly, Sarasate keeps working with the phrases that are shown earlier, but this time, he shows off his skill in variation techniques even more than the first time by adding sixteenths, left hand pizzicato with the bow attack (ricochet), double stops, and rhythmic changes in the form of triplets.

Section II

In this section, Sarasate chooses the tunes from Carmen's song in Act.1 No. 9, which Carmen merely hums in an insolent voice that annoys the soldiers accusing her of stabbing her opponent. Sarasate changes the tempo marking in this section originally from *Allegretto molto moderato* to *Lento assai*. Sarasate maximizes impudent character of Carmen by using a slower tempo marking, and adds the character of her capricious temperament by using sudden dynamic changes (*pp-ff* and *ff-p*). He also covers a wide range of registers and dynamics: from the G string to the high positions in E string, and from *pp* to *ff*. This helps him create a more dramatic atmosphere which describes Carmen's character.

Section III

Section III is from Act.1 No.10 from the opera when Carmen drinks, dances, and sings her Seguidilla searching for a new love. Unlike other sections, the section continuously moves onto the next section, and it functions as a transition that builds tension to the final section. The solo violin becomes even fancier with more virtuosic techniques: continuous trills, slurred staccatos, fingered harmonics, a wide sweeping range of register, consecutive octaves string-crossings, and so on. The figures are required to move faster and it is more instrumentally written than those in the opera, magnifying the charm of the violinistic idiom.

Section IV

The transition to Section IV is achieved by slowing down the tempo from the previous section. It is the scene of Carmen and her two friends singing about the exotic spell cast by a Gypsy melody at the Lilas Pastia's inn. Carmen starts off the song and when two friends join her, the tempo speeds up to *presto*. Sarasate sets up the tempo a bit faster than the opera: *Moderato* as opposed to *Andantino*.

For the most part, Sarasate retains the consecutive double stops in thirds as they are in the orchestra introduction of the opera, but he slightly changes the articulations of those in the sixteenths. When Carmen starts singing, the solo violin virtuosically elaborates the main tune of Carmen alternating with the accompanied part. Sarasate's arpeggios are written with more of a pattern than Waxman's are, making it more logical and easier for the violinists to play. We will examine that in more detail later. Sarasate also hides the main tunes in the elaborated violin melodies as shown in the example. That, along with the fast tempo, makes it challenging for a performer to project the melodic lines efficiently. Once again, Sarasate uses a wide four-octave range in the solo violin and speeds up the tempo to *animato* towards the end.

Chapter 3: CARMEN FANTASY BY FRANZ WAXMAN (1946)

3.1 Musical background of Franz Waxman (1906-1967)

Franz Waxman was born in Upper Silesia, Germany, on December 24, 1906 to a Jewish family as the youngest child of seven children in a family that did not have any affinity for music at all. His father was a steel industry salesman and did not support young Waxman's interests and talent in music, because he did not believe in making a living from music. Instead, he encouraged his young son to become a bank teller. Waxman started his first job as a bank teller and paid to take lessons in piano, harmony, and composition with the money he earned.

In 1923, at the age of sixteen, he enrolled in the Dresden Music Academy, and studied composition and conducting at the conservatory. He earned his living by playing popular music at nightclubs and working as a pianist of the Weintraub Syncopaters, one of the most popular jazz bands in Europe in the late 1920s. Waxman did some arrangements for the band, and this opened up the door for him to orchestrate some early German musical films. He got in contact with the composer, Friedrich Hollaender, who had written some music for the band and became a movie composer in Hollywood. Hollaender was impressed with the musical talent of Waxman, and helped him connect with musicians such as Bruno Walter.

Waxman started his composition career by arranging Hollaender's score, *The Blue Angel*, a film that gave international fame to Marlene Dietrich. The producer of the film and the head of the Universal Film Company, Erich Pommer was pleased with Waxman's orchestration and gave him another assignment later with Fritz Lang's film of Molnar's *Liliom*. Waxman, however, had to get out of Germany because of the rising

Nazi movement. In 1934, he was beaten by the Hitlerites on a Berlin street. Soon thereafter he and his wife moved to Paris. He worked in the French film industry for a while and then on an invitation from Erich Pommer, the producer of the film *Liliom*, he moved to Hollywood.

The first production Waxman worked on in Hollywood was James Whale's *The Bride of Frankenstein* (1935), and it led Waxman to a two-year contract with Universal as head of the music department. Over two years, he wrote the music for twelve of the fifty plus films produced by Universal. Then he transferred to M-G-M (Metro-Goldwyn-Mayer) studio with a seven-year contract. He liked composing more than directing the music department. During his time at M-G-M, he composed an average of eight scores a year. In this period, he composed for films such as *Rebecca* (1940), *Dr. Jekyll and Mr. Hyde* (1941), and *Suspicion* (1941) among others. With *Rebecca*, he was nominated for his third Academy Award. In 1943, Waxman completed his contract with M-G-M, and moved to Warner Brothers with a five-year contract.

In 1947, Waxman found the Los Angeles International Music Festival which he headed for twenty years. He conducted concerts, wrote concert music, brought great artists to perform, and premiered new compositions by composers such as Stravinsky, Walton, Shostakovich, and Schoenberg. Over the years, Waxman devoted himself to the Festival featuring music from familiar great masterworks to contemporary compositions. This helped the audience achieve a greater appreciation of classical music. *Carmen Fantasy* was written in 1947 when he worked with classical music more seriously than previous years. It was composed for the movie *Humoresque*, and was played by Issac Stern on the Soundtrack.

During the fifties, Waxman got more public attention by winning Oscars in two consecutive years for his music, *Sunset Boulevard* (1950) and *A Place in the Sun* (1951). He orchestrated both pieces in a very subtle way, and he continued demonstrating his ability to write varied settings. For example, Waxman experimented with Japanese motifs and Oriental instruments in *Sayonara* (1957). In *The Spirit of St. Louis* (1957), he scored for percussive xylophones, cymbals, and pizzicato strings, accompanying the building of Lindbergh's plane. He even explored the use of twelve-tone sequences in *The Nun Story* with the thematic material derived from Gregorian chants.

3.2 The role of music in Film and Waxman's *Humoresque*

Music for film contains many elements that concert music does not encounter. Film music is an auxiliary to the visual image, and the film score is evaluated based on its relationship to the motion picture it accompanies. Therefore, a film composer's job is very similar to that of an opera composer. Frank Skinner wrote that, "He must be able to understand moods in music and be able to grasp a mood in a pictorial situation."

First of all, film music serves to intensify or relax the pace of a film. Movies often portray events and actions in an intense, larger-than-life fashion, and the audience has to be stimulated and encouraged to believe what is happening on screen. It is film music's responsibility to help create an emotional intensity that sets the mood for the audience. For example, composers create an element of agitated tension when disaster is imminent. The audience is not supposed to be cognizant of thematic transformation of musical material. It is merely that their emotional level should increase and their hearts beat faster because of the music. Conversely, music should help create relaxation in the viewer when

tense moments are resolved.

The purpose of movie music is also to reflect emotion and provide atmospheric shading. Appropriately timed music provides subtle shading and color to express emotion. A composer creates particular texture to be associated with a character or situation, and reintroduces the music when it is needed to remind the audience, even if the characters are not shown on the screen. In addition, the textures can be intensified as the atmosphere is heated and a sense of conflict arises.

A composer often provides his own commentary on a character's true intention or thoughts. For example, a man could look happy on screen, but the right music can create the impression that he is actually lonely. George Antheil mentioned that the music in film should always 'know' what is happening to the characters in the movie, even if they themselves do not know. Gerald Fried stated a similar thought, "The point about music is that it can say what is not being shown on the screen. The really satisfying function music can serve is to reach out to the audience and tell it that there is more going on than meets the eye."

Waxman composed the Carmen Fantasy for the film *Humoresque*. The piece is used for the scene when the main character, Paul, was at a rehearsal. He was a noted violinist at the time that had a wealthy patron named Helen. Helen fell in love with him and wrote a note that she was getting divorced and wanted to see Paul immediately. He crumbled the note and continued to rehearse Waxman's Carmen Fantasy. As Carmen can't have Don José, Helen was also not able to have a happy-ending with Paul. Carmen is killed by Don José and Helen takes her own life. Waxman wrote the Carmen Fantasy and used it for the most appropriate place in the film implanting his thoughts and

comments about the scene.

3.3 Waxman's other Composition of Opera Fantasy

Tristan und Isolde Fantasy for violin, piano, and orchestra (1947)

Besides *Carmen Fantasy*, Waxman wrote only one Opera Fantasy:

Tristan und Isolde Fantasy for violin, piano, and orchestra.

3.4 Analysis of the composition

Waxman wrote his fantasy in a continuous form in which each section smoothly transitions into the next section. It is divided into five parts with a short introduction. Waxman did not clearly separate the piece into sections with double bar lines like Sarasate did. Instead, he linked individual sections with solo violin cadenzas. Table 1 shows the comparison of the arrangement of Bizet's *Carmen* melodies in the two *Carmen Fantasies*.

Table 1. A Comparison of the Carmen Melodies in Sarasate's and Waxman's Fantasies

Note: Because of the issue with the copyright, measure numbers are used instead of musical examples for Waxman's. Cadenzas are counted as one measure.

	Sarasate Carmen Fantasy	Waxman Carmen Fantasy
Introduction (mm. 1-20)	Allegro moderato (Opera: Entr'acte between Act 3 and 4, Allegro vivo)	Allegro Giocoso (Opera: Prelude, Allegro Giocoso)
Linkage 1 (mm. 20-29)		Solo Violin Cadenza, Thematic Material from Act 1 scene 5
Section 1 (mm. 29-69)	I. Moderato (Opera: I. Act 1 No.5, Habanera Allegretto, quasi Andantino)	No Tempo Marking ^a (Opera: Act 1 No. 5, Habanera Allegretto, quasi Andantino) ^a considered to be the same tempo marking as the original
Linkage 2 (mm. 69 - 71)		Solo Violin Cadenza
Section 2 (mm.72- 106)	II. Lento assai (Opera: II. Act 1 No. 9, Allegretto molto moderato)	Andante molto moderato (Opera: Act 3 No.20, Andante molto moderato)
Linkage 3 (m.106)		Solo Violin Cadenza
Section 3 (mm.108-203)	III. Allegro moderato (Opera: Act 1 No.10, Allegretto)	Allegro (Opera: Entr'acte between Act 3 and 4, Allegro vivo)
Linkage 4 (mm.203-211)		Solo Violin Cadenza (from previous material) Tutti Orchestra (Opera: Act 1 No. 8)
Section 4 (mm.235- 429)	IV. Moderato (Opera: Act 2 No.12, Andantino. quasi allegretto)	Allegretto (Opera: Act 1. No.10, Allegretto)
Linkage 5 (m.429)		Solo Violin Cadenza
Section 5 (mm. 430- 518)		No Tempo Marking ^b (Opera: Act 2 No.12,

		Andantino) ^b considered to be the same tempo marking as the original
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Introduction and Linkage 1: Allegro Giocosso from *Prelude* (mm. 1- 20) and

Thematic Material from Act No.1 Scene 5 (mm.20-29)

Waxman opens his fantasy in the same way as in the opera. The festive opening theme from the Prelude is carried by an accompaniment, and it is immediately followed by a flashy virtuosic solo violin cadenza. Waxman introduces the virtuosic solo violin right from the beginning of the cadenza by using an even wider, five-octave range of the register than Sarasate did. After the cadenza, the elaborated solo violin with the orchestra accompaniment leads into the next section. In mm. 20-29, Waxman used the thematic material from Act 1 Scene 5 in a half-step higher key than the original tune, which makes the color of the tone brighter.

Section I: Habanera with lead-in from Act No.1 No. 5 (mm. 29- 69)

After the Solo Violin cadenza, Waxman uses a specific phrasing symbol (//)⁹ to show the separation of the phrasing.

In the Habanera, unlike Sarasate's, Waxman starts by maintaining the same rhythm and character of melody as in the opera, and embellishes the melody later utilizing a wide range of register. He introduces the tune with even smoother gestures than Sarasate's using slurs, tenuto markings, and glissandos (*portamenti*) in the score, reinforcing the seducing character of Carmen in a way that is closer to the original opera. Overall, he varies the thematic material less and modifies the rhythm less than Sarasate.

⁹ Bériot annotated in the specimen with the symbols; Large separation (//), Moderate separation(/), Slight separation(/).

Section II: *Andante molto moderato* from Act 3 No. 20

Waxman takes the Carmen tune from Act. 3 No. 20, the scene where Carmen finds out from a card reading about her fate of death. He writes in the key of D minor, instead of the original F minor. This change of key forces the lowest register possible for the violin, and he notates with *sul G* all the way to the peak point of the tune (D, even more fortified with *poco sforzando*) to increase the tension as Carmen realizes her fate of death. The color created by *sul G* with shortened length of the string in the high positions on the G string intensifies the dramatic effect of the fate theme.

Section III: *Allegro* from *Entr'acte* between Act 3 and 4

While Sarasate uses the opening of this scene as the opening of his Fantasy, Waxman chooses the linkage material in the accompaniment of the opera after the opening theme in Section III. He takes the trill-like figures consisting of seconds through written tempo rubato marking and accelerando to a tempo, to make a smooth transition to the next section. This tempo marking of rubato is clearly notated. In earlier compositions like Sarasate's, it would have been expected to be played that way by performers without a written notation. Unlike Sarasate, Waxman writes out all the markings that he wants to hear in specific passages throughout the work. He certainly collaborated with J. Heifetz, and many markings are presumably suggested and edited by Heifetz, such as portamenti (glissando), string suggestions (II, III, IV), bowing suggestions (for example, consecutive down bows), and tempo rubato (tenuto and accelerando). In addition, Waxman explores virtuosic violin techniques even more than Sarasate by adding consecutive fingered-octaves (mm.175-181).

Linkage 4: Solo Violin Cadenza and Tutti Orchestra

The linkage 4 consists of two parts different from other linkages: solo violin cadenza and tutti orchestra. The solo violin plays snippets from Act 3 No.20 (m.204) that were not used in Section 2. In the opera, the flute plays in a high register with descending lines, but in the Fantasy the solo violin starts in a lower register and plays ascending lines. The solo violin smoothly links the snippets to the running material that was used in Section 3 in thirds, and tutti orchestra takes over. Tutti Orchestra borrows the ending material from Act 1 No. 8 in the same key, A Major, as the opera.

Section IV: Allegretto Opera: Act 1. No.10

Waxman starts Section IV in the same key as in the opera, however when the solo violin first comes in, the character of the tune is indicated differently than in Bizet's. In the opera, Carmen's tune is written with *pp* and *leggiero*, however, in Waxman's Fantasy, he marks *mf* with accents on every note in the solo violin (mm.247-248) As we have seen in Sarasate's Carmen Fantasy, Waxman also provides as wide a range of register as possible with an even faster pace, and uses more diverse violin techniques such as ascending glissandos (mm. 280, 282, and 284), down and up slurred-staccatos (mm. 414-417), and consecutive sixths (mm. 421-427).

Section V: from Act 2 No.12

The final section shows the culmination of virtuosic violin writing. It starts with fast running ascending harmonic scales containing many augmented seconds to portray the distinctive Spanish gypsy characters. The pace of the scales is far faster than Sarasate's composition with smaller note values, and it is more demanding and challenging to perform. Additional technical difficulties include: sixths, staccatos,

saltando, consecutive octaves (mm. 462, 464, and 466), broken octaves (mm. 474-476), consistent fast sixteenths, big octave leaps moving up and down (mm. 502-506), and consecutive tenths (m. 508). In contrast to Sarasate's *Carmen Fantasy*, Waxman's composition is more difficult for violinists to devise natural and proper fingerings, because the notes are composed of all kinds of intervals with unexpected patterns. The ending of Waxman's *Carmen Fantasy* is interesting in several ways. It is compressed in one and a half bars, instead of a three-bar ending as in Sarasate's, and it creates the effect of dislocation in the beats (m. 518). It also contains tremendous contrast between the high-registered *arco* and the *pizzicato* chord. Additionally, the solo and tutti orchestra end at different times, creating a hint of humor.

Chapter 4: PERFORMANCE PRACTICE ISSUES

4.1 The Nineteenth Century Violin Performance

It is evident that the two violin schools in the nineteenth century, the German School and the Franco-Belgian School, did not teach the same concepts stylistically. While the German School stressed a classical style of performance, the Franco-Belgian School stressed training for virtuosi and was more focused on technique than musicality.

German School

The German School of Violin was established by Louis Spohr (1784-1859), and its considerable violinists include Ferdinand David (1810-1873), Joseph Joachim (1831-1907), Andreas Moser (1859-1925), and Leopold Auer (1845-1930). Considered as a founder of the German School, Spohr had two tendencies in his playing style: classicism and refinement. He strictly adheres to vocal aspects of style resulting in classicism and this had an impact on conservative players such as Joachim. The refinement of his playing style acted as a unifying force among German players. These two elements mainly led the German school in the nineteenth century's violin playing, even though there was 'self-conscious' virtuosity by individual players. Joachim was one of the strictest and most conservative advocates of the School having great influence to other players. Once Carl Flesch commented on Joachim, a figure who had become synonymous with the German School, implying that Joachim's playing was more about tasteful musicality than virtuosic and technical dexterity:

It was not the perfection of his execution to which he owed his lonely greatness... Rather it was the inner life of his performance...¹⁰

Unjustly, he used to be known as a 'classical' violinist in the slightly suspicious sense which the adjective had acquired in the course of time.¹¹

¹⁰ Carl Flesch, *Memoirs* (London, 1957-; English translation, Freiburg, 1960-1), 30.

¹¹ *Ibid.*, 31.

However, ironically, Joachim studied with Joseph Böhm who recommended the French style of bowing to his pupils. Arguably, his pupils also developed their techniques in the ‘fashionable’ schools in Paris and Belgium. Auer also agreed with many of Joachim’s stylistic traits, though he developed independently, seeking instructions from Wieniawski before the so-called ‘Russian’ School at St Petersburg was established. His pupils developed distinctly various ways, as seen in the case of Jascha Heifetz (1901-1987).

The German School was less unified than we might expect, and was open to outside influences. The Geographical location of the German School felt moved to travel to France and Belgium for instruction. The Franco-Belgian School was considered as the most testing place for training violinist, especially for those who were pursuing a virtuoso career. Furthermore, the debate had risen between the conservatives, such as Schumann, Brahms and Joachim, and progressive figures such as August Wilhelmj who was admiring Liszt, Berlioz, and Wagner. At the time, the German School was being influenced by the Franco Belgian School, so its characteristics, austerity and taste of musical principle faded away, and it would seem that the German School was not totally separate from the Franco-Belgian in spite of its distinct principle and character.

Franco-Belgian School

The advance of the techniques had its root in the centers of Brussels and Paris in the nineteenth century, and the Franco-Belgian School was established by Charles de Bériot (1802-1870), who was considered to be “the Father of the Belgian School and who

exerted a great impact on the French School.”¹² His pupil, Henri Vieuxtemps (1820-1881) led us to key figures of the later Franco-Belgian school such as Pablo de Sarasate (1845-1908) and Eugène Ysaÿe (1858-1931). He admitted that Paganini was his inspiration, and certainly the efforts for technical perfection and virtuosity of the Franco-Belgian School seemed to stem from Italy’s huge influence on France. The style of the Franco-Belgian School with its greater use of vibrato and tonal expression by violinists such as Ysaÿe, Sarasate, and Kreisler, had a strong impact on early twentieth century violin playing. Other significant violinists include Henri Wieniawski (1835-1880) and Fritz Kreisler (1875-1962), pupils of Lambert Joseph Massart (1811-1892).

Sarasate’s playing styles fall into what we call the Franco-Belgian School. He was seen as a counter to Joachim in the late nineteenth century, and was considered mainly as “the grace, elegance and effortless virtuosity of playing, as opposed to Joachim’s stricter adherence to theoretical and intellectual principals.”¹³ Reimann comments on Sarasate:

This violinist has all the best qualities of a virtuoso: perfect intonation, marvelous technique, and captivating charm of tone.¹⁴

In addition, Carl Flesch adds comments on his playing by saying that “from him, in fact, dates the modern striving after technical precision and reliability.”¹⁵

Ysaÿe, like Sarasate, studied with Massart, Vieuxtemps, and Wieniawski, and was considered as one of the essential leading violinists in modern violin playing with his variety of vibrato, and masterful use of tempo rubato, and great interpretation of the late

¹² E. van der Straeten, *The History of the Violin* (London, 1933), Vol.III, 134.

¹³ David Milsom, *Theory and Practice in Late Nineteenth-Century Violin Performance: An Examination of Style in Performance, 1850-1900* (Burlington,VT: Ashgate, 2003), 24.

¹⁴ Hugo Reimann, *A Dictionary of Music*, 4th ed, trans. J.S. Shedlock (London), 381.

¹⁵ Flesch, *Memoirs*, 30.

Romantic and modern compositions. There is an interesting comment made by Wechsberg regarding his reception by the German School:

He became concertmeister of the Bilsse orchestra in Berlin, but his Belgian temperament and French training didn't conform to the strict German standards; the critics considered 'shocking' his performance of the Beethoven Violin Concerto. Joachim, after listening to him, said archly, 'I've never heard the violin played in that manner.'¹⁶

German School vs. Franco-Belgian School

The two different principal traditions of the nineteenth century do not seem to agree with their musical concepts and stylistic traits. While the German School was seen as more 'classical' oriented, the Franco-Belgian School represents a more technical approach than musicality for training of virtuosi.

There is a famous passage in Joachim and Moser's treatise summarizing this position from the German School's point of view:

The crux of the whole matter is, that without detriment to their musical proficiency otherwise, there French and Belgian virtuosi, although possessed of an astonishing technique of the left hand, have not only entirely forgotten than natural method of singing and phrasing which originated in the bel canto of the old Italians... but they even continue to repudiate it. Their bowing and tone production merely aim at the sensuous in sound.¹⁷

Dubourg described the French School as "brilliant of style, neatness and finish of execution," and at the same time, he says that "in expression they fall short of what is required."¹⁸ He added

They animate you in the *Vivace*, they dazzle you in the *Allegro Brillante*- but they commonly fail to reach your heart through the *Adagio Appassionato*.

Dubourg also commented on the German School, emphasizing the substandard quality of the virtuosity:

¹⁶ Joseph Wechsberg, *The Violin* (London, 1973), 247.

¹⁷ J. Joachim and A. Moser, *Violinschule* (Berlin, 1902-5), Vol III, 32.

¹⁸ G. Dubourg, *The Violin Being an Account of the Instrument and its Most Eminent Professors* (London, 1836), 135.

...they have attained an honest solidarity of execution, of high value in orchestral playing, but with two prominent exceptions (Kiesweter and Mayseder) they seem to have neglected as uncongenial to them, the lighter graces and refinements which have been so readily caught up with the more imitative Frenchman...¹⁹

The style emerging from the late nineteenth century to the beginning of the twentieth century, with its greater use of vibrato and beautiful tonal colorization, owes more to the later Franco-Belgian School than the German School. At this time, the German School seemed to be old-fashioned, although its theories and taste remain admirable. The purpose of comparing two schools in this study is to describe and examine the various styles and approaches to the music and to help comprehend the thoughts and concepts behind the schools in the nineteenth century through the twentieth century. Furthermore, this comparison will help explain trends of modern performance practice.

a. Bowings

Bowing is by far the most complicated and crucial factor of string playing, and many violinists and pedagogues have emphasized the importance of bowing. Spohr describes the bow as the ‘soul of playing’ and Lucien Capet, the teacher of Galamian and Joseph Gingold, also agrees. According to his another pupil, Boris Schwarz, Capet taught that “the left hand was the body, and the bow was the soul of violin art.” Bowing is responsible for variety of articulation, dynamic nuance, and the tone production. Until the popular use of continuous vibrato in the twentieth century, tone production is solely relied on the bowing management.

The techniques of bowing style in the nineteenth century showed a different aspect from the seventeenth and eighteenth centuries. The style has developed and

¹⁹ Dubourg, *The Violin Being an Account of the Instrument and its Most Eminent Professors*, 135.

changed throughout the century along with various factors such as the development of bow making and the change of string styles. The physical characteristics of the bow had a great impact on the bowstrokes, and one design of the bow can create highly effective articulation while another would be less effective.

In the 1780s, Francois Tourte set the highest standard of bow's design. Compared to earlier 'pike's-head bows', his 'hatchet-headed' bows produce more legato when used in the same way and made a 'true' spiccato (a stroke in which the hair leaves from the string between notes) is possible due to the increased tension of the hair and resiliency of the stick. Additionally, increased tension made possible a clear and sharp articulation near the tip of the bow and led to the development of a range of *martelé* strokes and *sforzando* effects, for which the older bows were incapable.

One of the earlier effects introduced by the new bow is springing bowing, and it became prominent and fashionable throughout the eighteenth century in many places. The springing bowstroke was characterized by its brilliance and incisiveness. Mannheim Violinist Wilhelm Cramer (1746-99) was considered to be the first notable advocate to use springing bowstroke. The technique consists of "very short bowstrokes in the middle of the bow with little pressure of the index finger."²⁰ As shown in the Example 4, Woldemar gave the instruction for the stroke, "This genre requires a lot of neatness, of precision, of exactness, and the first note of the bar is usually forte."²¹

²⁰ Clive Brown, "Bowling Styles, Vibrato and Portamento in Nineteenth-Century Violin Playing," *Journal of the Royal Musical Association* 113, no.1 (1988): 100.

²¹ Michel Woldemar, *Grande method*, 37.

Example 4

Ce genre exige beaucoup de netteté de précision, de justesse et la première note de la mesure est ordinairement forcée.

Allegro molto

The musical score shows a single melodic line on a treble clef staff. The key signature has one sharp (F#). The music is in 2/4 time. It starts with a forte (f) dynamic and a springing bowstroke. The score includes dynamic markings of f, poco f, and p, and articulation markings of p, t, and P. The tempo is marked 'Allegro molto'.

By the early nineteenth century, Cramer's springing bowing had been widely imitated, and it had been overused and to a certain degree its value was depreciated. Michel Woldemar (1750-1816) observed that, "some imitators of Cramer's bow were less successful," and stated that "many, however, ruined their former style of playing, after painstaking effort to play with the middle of the bow, through too strong a pressure on the strings. The bow hopped here and there, and the tone became unpleasant, coarse and scratchy."²²

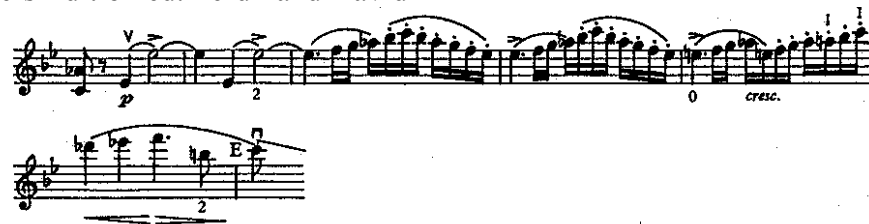
Particularly, the springing bowstroke was not recommended for performing German Classical orchestral and chamber music by many musicians. Spohr (1784-1859), a powerful influence on the German School, strongly rejected to use this type of stroke, and his objection of the stroke was well known; he said, "It is a showy sort of bowstroke which is not appropriate to the dignity of the Art." Spohr expressed the springing bowings as unbearable and old-fashioned. According to his pupil Alexander Malibran, Spohr was horrified when he heard the springing bowstrokes played for Haydn, Mozart, or Beethoven's music, and was absolutely against the use of springing bowing except for in a few scherzo sections.

²² *Allgemeine musikalische Zeitung* 6 (1798-9), 729.

During the time, the bow styles in German chamber music also shows: frequent use of upper half of the bow with a *détaché*, *martelé*, or slurred staccato bowstroke. Ferdinand David, Joseph Joachim, Andreas Moser didn't necessarily forbid the use of springing and thrown bowstrokes totally, but they all agreed in the wide range of the upper half of the bows for many passages where the modern players would use the lower half of the bow. Example 4.1 shows two different editions of the first movement of Schubert Piano Trio D. 898: (a) Ferdinand David (b) *Neu revidierte Ausgabe* (Peters) In David's edition, the bowing suggests a slurred staccato in the upper half of the bow while in *Neu revidierte Ausgabe*, the bowing suggests a light stroke (presumably *sautillé*) in the middle of the bow.

Example 4.1: Schubert Piano Trio D. 898 1st Movement mm.85-91

(a) Peters Edition ed. Ferdinand David



(b) Peters's *Neu revidierte Ausgabe*



The newer aesthetic of bow style, the broad bowing style, was led by Giovanni Battista Viotti (1755-1824) and his disciples such as Pierre Rode (1774-1830), Rudolph Kreutzer (1766-1831), and Pierre Baillot (1771-1824). Viotti, the pupil of Pugnani who

was noted for the broad and powerful bow style, transformed the Italian style of bowing, which Schubart referred to the “majestic sustained stroke,” and had a great impact on the French School. The broad bowing style emphasized more on “a singing style, expressive delivery, string tone, forceful accents and broad or *martelé* bowstrokes.”²³ The trend was directly linked with the development of Romantic music, and the similarity was also observed in a more legato style of piano playing suggested by Clementi.

The two distinctive bowing styles seemed to have coexisted during the beginning of the nineteenth century in Germany, and valuable insight of these styles was found in *Allemeine musikalische Zeitung* on a review of Rode’s Violin Concerto in 1803:

The reviewer considers the manner in which Rode, Kreutzer, etc. play as a valuable contribution; for in this method a beautiful strong, sustained, regularly swelling and diminishing tone, long bowstrokes, figures slurred together in a single bowstroke, and the very many and charming variations which these slurrings allow, are introduced more than formerly by the violinist-or should we say are reintroduced? For, if the reviewer is not mistaken, this style of playing is by no means new, but is rather the old method of a Tartini or a Pugnani, which however, at least in Germany, has been little cultivated in recent times, and which almost appeared to have been ousted by the urge to play everything as fast as possible and to shine with short and sharply articulated staccato passages. The reviewer cannot sufficiently recommend violinists of his day to practice a beautiful sustained tone, long and even bowstrokes, slurred figures, and every variety which these things permit; he must, however, remind those who have made this style of playing their own not to neglect in the process the short, sharp stroke with a half-bouncing bow, which in certain passages produces such a beautiful distinctness and precision. The reviewer knows the instrument sufficiently, as he may justly claim, and confesses that the combination of the two is certainly one of the most difficult of tasks; but it is by no means impossible.²⁴

Despite the negative attitude towards the springing bowstroke in the German Classics by Spohr, there were a good number of musicians that were still favorably using springing bowstrokes, and the stroke was an essential part of the violinist’s technique.

Paganini (1784-1840) exploited the springing bowstrokes, which Baillot calls ‘*elastique*’:

²³ Clive Brown, “Bowling Styles, Vibrato and Portamento in Nineteenth-Century Violin Playing,” *Journal of the Royal Musical Association* 113, no.1 (1988): 101.

²⁴ *Allemeine musikalische Zeitung* 5, 1802-3, 664-5.

détaché léger, perlé, sautillé and *staccato à ricochet*. When Carl Guhr (1787-1848) heard Paganini, he remarked in his treatise *Ueber Paganini's Kunst* (1829)

In *allegro maestoso* he particularly loves a manner of bowing which materially differs in execution and effect from that taught in the Parisian violin school in *allegro maestoso*. There it is said you are to give every detached note the fullest possible extension and to use half the bow in order that the whole string may vibrate properly and the tone may become round... But Paganini allows the bow rather to make a jumping, whipping movement and uses for that purpose almost the middle of it and only so much of its length as is necessary to put the string into vibration-this bowing he employs with a half-strong sound, perhaps just a degree more than *mezzo forte*, but then it is of the greatest effect.²⁵

Henry Homes (1839-1905), dedicatee of Spohr's last three violin duets, added the section with *sautillé* and *spiccato* bowings as an exercise, and Ferdinand David (1810-73), pupil of Spohr, included springing bowstrokes in his own *Violinschule* (1864). In addition, Hermann Schröder (1843-1909) discussed the whole range of firm springing bowstrokes in his *Die Kunst des Violinspiels* (1887), and mentioned regarding *sautillé* bowings:

The light bow is now an indispensable bowing style for every violinist, especially those who have been formed by the newer French school.

In the old Italian and particularly in the German school up to L. Spohr, it was little used. One played passages suited to these bowstrokes on the whole with short strokes with an on-the-string bowing at the point.²⁶

It is obvious that the bow style in the nineteenth century went through radical changes: The light bow style with short and springing bowstroke was popular from the eighteenth century, and under the influence of the Viotti School, the broad bow style with stressed sonority and expansiveness was replaced while the springing bowstroke was rejected. In turn, the success of Paganini challenged the broad style of bowing and the lighter and piquant bowings were prevalent. In Germany, though, Spohr along with Rode

²⁵ Carl Guhr, *Ueber Paganini's Kunst die Violin zu spielen...*, (Mainz: Antwerpen Und Brüssel bei B. Schott's Söhnen, 1829), 7-8.

²⁶ Hermann Schröder, *Die Kunst des Violinspiels* (Cologne, 1887), 72.

and Kreutzer had more continuing impact, and the total application of springing bowstrokes for Classical works were not accepted until the twentieth century.

b. Vibrato

In the nineteenth century, the word ‘vibrato’ was used differently than today. It would simply mean the old English term, ‘close shake’,²⁷ or more commonly ‘tremolo’. Therefore, there was little instruction in the mechanics of vibrato. There are no references to participation of the arm and left hand, and some important methods fail to discuss the artistic use of vibrato at all.

Purpose and Frequency of Vibrato

The purpose of using vibrato in the nineteenth century differs from today’s notion of vibrato. While the modern continuous vibrato is an essential part of tonal elements, the purpose of using vibrato in the nineteenth century was as an ornament and a special effect. Therefore, Spohr defines the vibrato as a constituent of “fine style,” and its use is limited in “passionate cantabile passages” and “in proportion to the increase of power.”²⁸ That is the reason that one can find indications of the device (various types of wavy lines) more frequently in particularly expressive musical passages at the time. Spohr (1784-1859) used the term “tremolo” for vibrato, and classed the vibrato among other embellishments. He equated the purpose of tremolo with singing and quoted Leopold Mozart’s bell analogy:

The singer’s voice in passionate passages, or when he forces it to its most powerful pitch, has a trembling which resembles the vibrations of a strongly struck bell.²⁹

The attitude to restrained use of vibrato in the nineteenth century is not only

²⁷ The term ‘close shake’ is employed in the English translation of Joachim and Moser’s treatise(1902-5); J. Joachim & A. Moser, *Violinschule* (Berlin, 1902-5; English trans. A. Moffat, 1905), Vol.2, 96.

²⁸ Spohr, *Violinschule* (Vienna, 1832), 161.

²⁹ *Ibid.*

restricted to the German School. Baillot (1771-1842) showed similar attitude toward the limited use of vibrato. His second type of vibrato (left-hand vibrato, as opposed to bowing-generated vibrato) is said to express "...animation, tenderness, and sometimes suffering."³⁰

Bériot (1802-1870), a pupil of Baillot and a teacher of Vieuxtemps, also accepted the limited use of vibrato with caution only on the expressive passages. He stated that vibrato is only of use as "intensifying important moments in the musical texture on a highly discriminating basis." He was against the habitual use of vibrato even more strongly than Spohr and Baillot:

Vibrato is an accomplishment with the artist who knows how to use it with effect, and to abstain from it when that is necessary: but it becomes a fault when too frequently employed. This habit, involuntarily acquired, degenerates into a bad shake or nervous trembling which cannot afterwards be overcome and which produces a fatiguing monotony.³¹

Leopold Auer (1845-1930), one of the last defenders of sparing vibrato, criticized excessive vibrato. He wrote in his book *Violin Playing as I teach it*, "The players with excessive vibrato are using vibrato to conceal bad tone production and intonation." He emphasized on the most sparing and selective use of the vibrato mentioning that the vibrato should not be abused, and should be used only as an effect and an embellishment. He sarcastically compared the continuous vibrato to "peppering with the tobacco" and an "actual physical defect."

By the end of the nineteenth century, the newer influences of the Franco-Belgian School, which was more inclined to use continuous vibrato, had led the way and made the music scene more complex. Ysaÿe, who has often been connected with the evolution of modern violin playing, used vibrato frequently yet selectively, and Sarasate, in this

³⁰ Baillot, *L'Art du violon : nouvelle méthode* (Paris, 1835), 137.

³¹ Bériot, *Méthode de violon* (Paris, 1858), 242.

regard, is not totally far from him. Ysaÿe employed vibrato the most at points of dramatic arrival, but yet, as observed in his recording of the last movement of Mendelssohn Concerto, he didn't take every opportunity to use vibrato in the passages the composer might allow. Thus, the stylistic traits of the first decades of the twentieth century seemed to confirm that the purpose of vibrato still remains as ornamental with a selective manner.

Location of Vibrato

There are some indications provided in the treatises that describe where and in which specific notes and values vibrato should be applied.

Spohr noted that vibrato still should be used sparingly:

...Avoid however its frequent use, or in improper places. In places where the tremolo is used by the singers, it may also advantageously be applied to the Violin.³²

He also stated that, if the vibrato is overused, its powerful effect on the melody becomes "unnatural," therefore vibrato should be employed only on longer notes and on the stronger beats of the bar, and avoided on a succession of notes. His general principal seems to be highlighting the certain notes in musical passages. He did not specify the situations and guidelines exactly of where the character allows vibrato, but to a certain degree, he allowed the personal judgment of individuals.

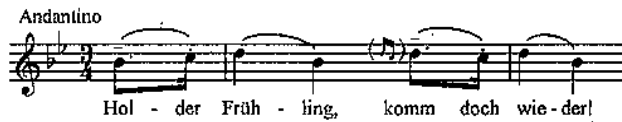
Joachim and Moser also suggested specific places to use vibrato, giving an example from Joachim's Op.2 *Romance*:

If therefore the player wishes to make use of the vibrato in the first bars of the Romance (which, however, he certainly need not do), then it must occur only, like a delicate breath, on the notes under which the syllables 'früh' and 'wie' are placed.³³

³² Spohr, *Violinschule* (Vienna, 1832); trans. C. Rudolphus as *Louis Spohr's Grand Violin School* (London, 1833), 1612.

³³ Joachim and Moser, *Violinschule*, Vol.3, 7.

Example 4.2: Joachim Romanza Op.2 No.1 mm.1-2



The two notes with the suggested use of vibrato happen on the longer and metrically strong beats, and as an optional choice. This is the only example made by Joachim and Moser on this matter, but they certainly agreed with Spohr's idea of vibrato.

Players of a later style, such as members of the Franco-Belgian School, used the vibrato more freely, although preserving the distinct effects for highlighting the specific moments. In Hubay and Drdla's case, the location of vibrato differs from the earlier nineteenth century. For Hubay, he executed the vibrato almost as a continuous vibrato resulting in non-specific placement of vibrato, and Drdla applied his vibrato more on high notes (unlike Joachim, Auer, and Rose, who used vibrato on lower pitches). Ysaÿe's location of vibrato on long notes and at the highest points of intensification shows that the foundation is rooted on the nineteenth-century type, while comparatively more frequent use of vibrato suggests later trends.

Therefore, the earlier players (the German School) tended to use vibrato to highlight the moments above the *senza-vibrato* texture, while the later players (the Franco-Belgian School) intensified their vibrato, more likely producing continuous vibrato.

Types of Vibrato

Baillot distinguished three methods of producing vibrato:

1. Pressing the bow on the strings by degrees then similarly lessening this pressure and repeating this movement faster or more slowly, more or less often.³⁴

³⁴ In *Le virtuose modern* (Paris, c. 1880), Louis Alonzo mentioned a kind of bow vibrato, and he admitted that this is "little used, for one hardly hears it."

2. Giving the left hand a slight working or trembling movement which is transmitted by the finger placed on the string.
3. Using both methods simultaneously.

Even though vibrato cannot be discussed as a single effect and the debate about the effect of the bow vibrato was made, this document will only focus on pitch variation, the vibrato generated by the left hand in order to examine the various types of intonational vibrato.

There are many complications related to the varieties of application of left-hand vibrato: different speeds (fast and slow), with differing magnitude of movement (wide and narrow), and by different means (finger, wrist, and arm). The effect can also be added in many ways: from the start of the note, towards the middle of the note, or after its start. Such variations can be extremely individual, as Flesch explained

The contention, however, that the special character of tone quality is first of all determined by the vibrato, seems strange. Yet only for a moment. If two violinists, whose tonal qualities differ most widely, play the same sequence of notes on the same instrument behind a curtain, each using his own vibrato, each individual player may be easily and surely distinguished, while without participation of the left hand... the identity of the player can only be determined by chance.³⁵

Spohr categorized four different types of vibrato in speed, and he wrote

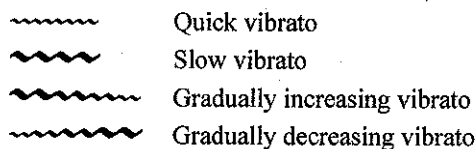
The tremolo may be divided into four species, viz: into the rapid, for strongly marked tones; into the slow, for sustained tones of passionate cantabile passages; into the slow commencing and increasing tone; and into the rapid commencing and slowly decreasing of long sustained tones.³⁶

The example shows the signs of the four different types.

³⁵ Flesch, *The Art of Violin Playing*, 35.

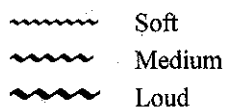
³⁶ Spohr, *Violinschule*, 161.

Figure 1



Bériot similarly denoted different types of vibrato as we have seen in Spohr's: soft, medium, and loud. However, he didn't specify the speed or the magnitude specifically. His vibrato relates more to dynamic level, and his ideal use of selective vibrato is clearer. For example, a "loud" vibrato is employed on a long, metrically strong, and heavily accented note, while a "soft" vibrato is used in shorter and more continuous passages. The following example shows the three types of vibrato by Bériot.

Figure 2



The practice of early recordings in the late nineteenth century shows that many of violinists used finger vibrato, which creates a narrower and faster sound than today's use. For example, in Joachim's recording of *Romanza*, the vibrato is hardly noticeable particularly in the higher registers. Rosé also used a finger vibrato in his Gounod-Sarasate *Faust Fantasy*, even though it is reviewed a little slower. On the other hand, Hubay, Drdla, and Hermann, used a wrist vibrato, which makes a slower and wider vibrato. They seem to represent the important incubational stage in vibrato development, providing a linkage to the modern vibrato.

To conclude, vibrato was used in various ways with care and caution, especially

by the German School, and vibrato indeed was used in an ornamental fashion rather than modern tonal constituent. The Franco-Belgian School, such as Ysaÿe and even Sarasate, was more adventurous in the use of ‘continuous vibrato’. It seems that nineteenth-century players place less importance on vibrato, and while stressing other elements, such as phrasing and accentuation, and tempo and rhythm.

c. Portamento

The term, ‘portamento’ was used to mean numerous things during the nineteenth century in different languages: in French *port de voix*, in English ‘glide’ or ‘slur’, and in German *Tragen der Tone* (‘carrying the tone’). Except for English, they all contain the essential meaning of ‘conveying and carrying’ the sound and it had two basic implications in string playing, wind playing, and singing: legato and or as a linkage of different notes with audible slides. Both implied a smooth connection between two sounds. For string playing, a more definite distinction was made between a perfectly smooth legato and the special technique to create a sliding sound between the notes. Legato can be achieved when played on one string or two different strings without changing positions, whereas the special technique of producing a sliding connection between notes involves shifting as the left hand moves from one position to another.

Purpose of Portamento

During the nineteenth century, it became more common to associate ‘portamento’ with an audible glide due to increased use of the technique for expressive characters of performance in string players and singers in the beginning of the century. On the string instruments, the portamento is defined as a tool of imitating the expressive vocal lines, and as an effect to stress the dramatic or emotional context. It is a natural outcome of

changing positions and since the eighteenth century, it has been employed as an artistic effect. Accordingly, Spohr wrote

The violin possesses, among other advantages, the power of closely imitating the human voice, in the peculiar sliding from one tone to another.³⁷

He made a distinction between the portamento of technical nature and portamento of artistic orientation, and commented

The artificial shifts... are not used merely as accompaniment of any easier mode of playing, but for expression and tone.³⁸

Bériot also suggested that the goal of using portamento is to make the melodic lines more comprehensible by putting essential elements of speech and song together into instrumental performance style. Accordingly, he wrote

The fingering employed by various masters for singing a melody, is a powerful way of obtaining expression; it joins sounds together and imitates the inflections of the human voice.³⁹

Certainly, the use of portamento was accepted within cantabile passages, and Bériot pointed out that “it is varied by the performer according to the sentiment.” Moreover, he mentioned about proper mood contexts for using portamento, and suggested that portamento is inappropriate in music of ‘sacred’ character because “it destroys all the grace and majestic simplicity, and while even in the mood of misery or sorrow, it must be used with moderation.”⁴⁰

Joachim and Moser agreed with the belief of vocal heritage of portamento, and commented that “among these vocal effects, the portamento stands in the first rank,”⁴¹ and “the use and manner of executing the portamento must come naturally under the

³⁷ Ibid., 112.

³⁸ Ibid., 179.

³⁹ Bériot, *Méthode de violon*, 94.

⁴⁰ Ibid., 235.

⁴¹ Joachim and Moser, *Violinschule*, 8.

same rules as those which hold good in vocal art.”⁴² They criticized the late nineteenth-century Franco-Belgian School on this explanation:

...without detriment to their musical proficiency otherwise, these French and Belgian virtuosi, although possessed of an astonishing technique of the left hand, have not only entirely forgotten that the healthy and natural method of singing and phrasing which originated in the bel canto of the old Italians... but they even continue to repudiate it.⁴³

Auer’s remarks on the portamento go together with Joachim and Moser’s. He justified the use of portamento by saying

The connecting of two tones distant one from the other, whether produced on the same or on different strings, is, when used in moderation and good taste, one of the great violin effects, which lends animation and expression to singing phrases.⁴⁴

Location of Portamento

On the discussion of location of portamento, we can consider two categories: what type and genre of music is appropriate to use portamento and where in each musical phrase can it be most effectively employed. What we will examine in this study is the latter one.

Spohr pointed out the aspects of character and mood of the piece to determine the use of portamento. Spohr provided examples of music to show the detailed performance suggestions on using portamento cautiously. In the *Allegro* of Rode’s 7th Violin Concerto (Example 4.2), he demonstrated his advice in many ways. He described the character of this *Allegro* as “serious, elevated and somewhat melancholy” requiring “a passionate, yet on the whole... a tranquil dignity,” and therefore it may call for the selective use of portamento. The most prominent aspect is his suggestion of fingering patterns that generate the portamento: 1. He uses one-finger portamenti located in slurs, which is

⁴² Ibid., 92.

⁴³ Ibid., 32.

⁴⁴ Auer, *Violin Playing as I Teach it*, 63.

relatively ‘unstressed’ character, and short note values, and between closer intervals. 2. At a larger interval on the crescendo, his fingerings seem to propose more pronounced effect of the device, although how prominent it should be employed is not specified. 3. In some cases, he provided open string and harmonics to avoid the effect of the portamento and hide the change of position.

Example 4.3 Rode Violin Concerto No.7 1st movement mm.1-16

Rode: 7th Concerto – 1st Movement



The aspects of character and mood can also be explained with more salient use of portamento in the *Adagio* movement of the Concerto (see Example 4.4). His theory on the role of portamento is to elaborate the coloration in phrases, and thus, his position-shifting occurs within slurs. He described the portamento as requiring a “simple, unpretending, yet feeling style.”⁴⁵ On the other hand, as seen in the *Minore* Section, which carries a passionate character, it seems entirely consistent with the use of vibrato and consecutive fingerings creating highly recognizable portamento.

⁴⁵ Spohr, *Violinschule*, 182.

Example 4.4: Rode Violin Concerto No.7 2nd Movement mm.1-32

Rode: 7th Concerto – 2nd Movement
 (Slant lines – Author’s understanding of implied portamenti)

The musical score consists of six staves. The first five staves are for the violin, and the sixth is for the soprano. The tempo is marked as quarter note = 96. The violin part begins with a *Solo* marking and a *mf* dynamic. It features several measures with *p* (piano) dynamics and *dim.* (diminuendo) markings. There are also *f* (forte) markings. The score includes various articulations such as slurs, slant lines, and trills. The soprano part begins at measure 17 with a *f* dynamic. The score concludes with a double bar line and repeat signs.

These examples support Spohr’s idea of portamento as a device for artistic reasons in passages where the mood validates it. The slower and more ‘cantabile’ trait of the *Adagio* movement allows greater use of portamento than the *Allegro* movement.

Bériot explained passages “noble, majestic, simple, and candid” character as inappropriate locations of portamenti, with the examples (all vocal ones) of incorrect use. Generally, these examples involve consecutive ascending and descending portamento, use within fast note values and melodic ornamentation, and across measures, connecting upbeats to downbeats. To summarize, he criticized the abuses of portamento, and shows his antipathy to ‘mannerist’ use in placement of the portamento. Given the fact that he did

not indicate the portamento between slurs, with all vocal examples, and rarely mentioned about violin playing on this subject, he seemed to assume that portamento belongs exclusively to vocal figurations.

Joachim and Moser showed the same attitude of Bériot's discreet use of portamenti. They indicated the purpose of the change of position, implying it should not be made audible and stylistic:

...must be to connect the two notes belonging to the different positions in as perfect a manner as possible so that the proceeding will be imperceptible.⁴⁶

They added that

When two notes obviously belong to each other in a musical phrase, they should, whenever practicable, be played with the same tone color.⁴⁷

However, unlike Bériot, Joachim and Moser seemed to accept the conception of the portamento in violin playing unlike Bériot, and they restricted comments to the speed of its execution:

It will depend entirely on the character of the passage in question whether the portamento is to be executed slowly or quickly.⁴⁸

They also embraced the concepts of use of portamento by Spohr: justification by mood and character. In the opening of the first movement of Beethoven's String Quartet Op.59 No.3, they request a "clean" style of execution, particularly in short phrase-units, and the frequent use of staccati because of the robust and "absolute" quality of part writing (see Example 4.5). The placement of position-changes between slurs and on staccato dots, and fast passages and between smaller intervals, implies suggestions of the inaudible shift and possibly disguising the changes. In contrast, in the more sensual

⁴⁶ Joachim and Moser, *Violinschule*, Vol.2, 93.

⁴⁷ *Ibid.*, Vol.3, 8.

⁴⁸ *Ibid.*, Vol.2, 92.

second movement, the greater use of portamenti is encouraged with a more discriminating attitude towards portamento than Spohr: more distinctive presence of portamenti and expressive position changes.

Example 4.5: Beethoven String Quartet Op.59 No.3 1st Movement mm. 1-29

Andante con moto.

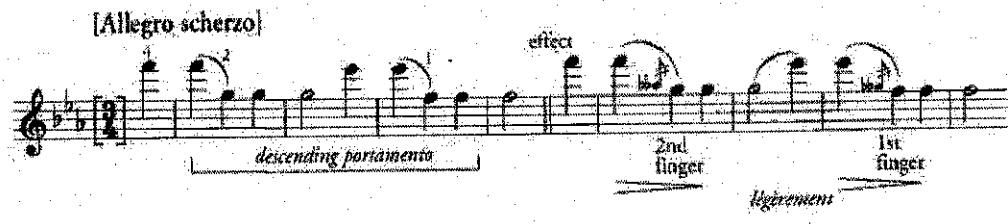
The image shows a page of musical notation for the first movement of Beethoven's String Quartet Op. 59 No. 3. The tempo is marked 'Andante con moto.' The score is arranged in four staves: Violino I, Violino II, Viola, and Violoncello. The music is in 3/4 time and features a variety of dynamic markings, including *f*, *pp*, and *sempre pp*. The notation includes slurs, accents, and various note values, illustrating the use of portamenti and expressive position changes.

Types of Portamento

Spohr explained the mechanics of portamento using upward shifting, which is a fundamental method in the nineteenth century playing. He instructed that portamento is shifting from the lower position with the finger that has played rapidly to the higher position so that the ‘guide note’ is not heard. He forbade shifting with the finger that is shifted to (L-portamento, ‘later’ finger portamento, which was distinguished by Carl Flesch, and it will be discussed more in details in the late twentieth century performance) except the harmonics, but insisted on B-portamento, shifting with the finger that is playing (‘beginning’ finger portamento as in Carl Flesch’s, I will use these terms for convenience) for big intervals.

Spohr's slightly older contemporary Baillot was more clear and systematic than Spohr explaining the use of portamento. He also forbade L-portamento for ascending portamento but recommended it for descending portamento. He recommended "dragged notes" for a descending portamento, "not of the note one is playing but of that one is about to play, this finger scarcely brushing the semitone above the latter note."

Example 4.6: Haydn String Quartet op.33 no.2 2nd movement mm.51-54, in Baillot, *L'Art du violon*, 77



However, Baillot advised, "Expressive fingerings, like all kinds of effects, should be employed with discretion and delicacy. One should therefore avoid using them too often and also sliding the finger either in too forceful a manner or with the slightest affectation..."⁴⁹

Alard (1844), Sarasate's teacher at the Paris Conservatoire, also recommended using single-finger portamento or the B-portamento with two exceptions in L-portamento: a slide to a harmonic, and a slide when the second finger is shifted to a different string. This type of L-portamento is identified as a characteristic of the French School. Alard also mentioned that

in the Allegro, it must be played directly and precipitately. In the Adagio, while it must be played less quickly, one must avoid making the intermediate notes audible. Equally, one must be careful to increase the power when ascending to a higher note, and conversely to diminish it when one descends to a lower note.⁵⁰

Bériot specified the portamento using three different wedges indicating three

⁴⁹ Baillot, *L'art du violon*, 152.

⁵⁰ Bériot, *Méthode de violon*, 56.

distinct styles with speeds and intensities of portamento: the ‘light and rapid’ portamento for fast passages, the ‘gentle’ portamento for passages of a tender character, and the ‘dragged’ portamento for sorrowful passages.⁵¹ He used three shapes of wedges to indicate the three different types of portamento.

Figure 3

**SIGNES EXPLICATIFS
EMPLOYÉS DANS LES PAGES
SUIVANTES POUR LES DIVERS
PORTS-DE-VOIX**

Port-de-voix vif: 

Employé dans les notes jetées avec grâce ou lancées avec énergie



Port-de-voix doux: 

Employé dans les expressions affectueuses



Port-de-voix traîné: 

Expression plaintive ou douloureuse

LA JUIVE
Halevy



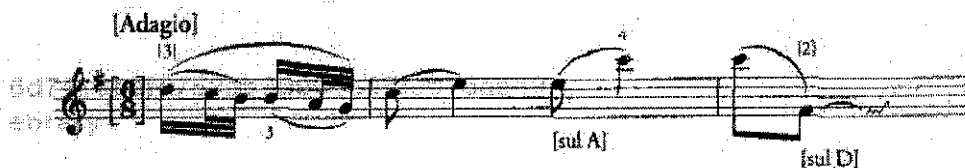
Et c'est moi qui te livre au bourreau...

While it is obvious that the extensive use of portamento until the late nineteenth century is in no doubt, it is difficult to decide how much and what locations the composers considered to be appropriate. However, there are good numbers of notational signs, along with clear indications. For example, Spohr’s version of Rode’s A minor Concerto shows frequent suggestions of portamento in both fast and slow movements.

⁵¹ Robert Philip, *Early Recording and Musical Style: Changing Tastes in Instrumental Performance, 1900-1950* (New York: Cambridge University Press, 1992), 213.

Having influenced by Rode's use of portamento, Joachim's edition of Beethoven's Violin Sonata Op.96 also shows inevitable involvement of portamento suggested by his fingerings. Example 4.7 shows his fingerings.

Example 4.7: Beethoven, Violin Sonata Op.96 4th movement, fingered by Joachim



Other composers, such as Franz Berwald and Mendelssohn, show frequent and liberal use of portamento suggested by fingerings and provide a number of indications for portamento as shown in the Example 4.8 and the Example 4.9.⁵²

Example 4.8: Berwald Violin Concerto in C Sharp minor

(a) 1st movement



(b) 2nd movement



(c) 3rd movement



⁵² For Mendelssohn, his close friend and colleague, Ferdinand David, fingered and bowed his music.

Example 4.9 Mendelssohn, Violin Concerto, 2nd movement, edited by F. David



Towards the end of the nineteenth century, we can even compare the notational clues and the actual sound from early recordings. In Joachim's recording of Brahms's Hungarian dances, portamento plays an important role. He uses a very dominant portamento. In addition, the recording of Marie Hall's Elgar Concerto recorded under the direction of the composer, many instances of portamento from the orchestra and the solo can be heard, particularly in the slow movement. It is interesting to note that portamento was used less prominently and more carefully in the later recording of the same piece in 1932 featuring Menuhin and the composer.

d. Tempo rubato

In the late nineteenth century and even through the first third of the twentieth century, musicians made use of elastic and flexible tempo as an expressive tool for more detailed phrasing.

As defined in the 1980 edition of *New Grove Dictionary of Music and Musicians*, the term implies *rallentandi* without compensation:

Of tempo, extended beyond the time mathematically available: thus slowed down, stretched or broadened.

However, the earlier edition of the Dictionary explains the term as a flexible technique that contained both *accelerando* and *rallentando*:

...the opposite of strict time, and indicates a style of performance in which some portion of the bar is executed at a quicker or slower tempo than the general rate of movement, the balance being restored by a corresponding slackening or quickening of the remainder.⁵³

This concept of stolen time and that is later paid back has been generally accepted, clearly until the turn of the twentieth century. Therefore, García commented that

By tempo rubato is meant the momentary increase in value which is given to one or several sounds to the detriment of the rest, while the total length of the bar remains.

Spohr listed the tempo rubato as one of the components of “fine style.” He wrote, “The tempo rubato of the solo performer, the accompaniment continuing is quiet regular movement,”⁵⁴ while García mentioned that

To make the tempo rubato perceptible in singing, the accents and time of an accompaniment should be strictly maintained: upon this monotonous ground, all alterations introduced by a singer will stand out in relief, and change the character of certain phrases...⁵⁵

In this regard, ‘modernist’ figure, Ysaÿe also stuck to the rhythmic dislocation, created by ‘tempo rubato’, as his regular accompanist recalled that

In rubato melodic passages, he instructed me not to follow him meticulously in the accelerandos or ritardandos, if my part consisted of no more than a simple accompaniment. ‘It is I alone’, he would say, ‘who can let himself follow the emotion suggested by the melody: you accompany me in strict time, because an accompanist should always be in time. You represent order and your duty is to counter-balance my fantasy. Do not worry, we shall always find each other, because when I accelerate for a few notes I afterwards re-establish the equilibrium by slowing down the following notes, or by pausing for a moment on one of them’. In the train he would try to make up violin passages based on the dynamic accents...of the wheels, and to execute ‘rubato’ passages, returning to the first beat each time one passed in front of a telegraph pole.⁵⁶

⁵³ F. Taylor, “Tempo Rubato” *A Dictionary of Music and Musicians* (London, 1889, ed. G. Grove), Vol. 16, 292.

⁵⁴ Spohr, *Violinschule*, 232.

⁵⁵ M. de García, *Traité complet de l’art du chant* (Vol.1, Paris, 1840; Vol.2, Paris 1847; revised and translated, London, 1857 as *Garcia’s New Treatise on the Art of Singing*), 51.

⁵⁶ J. Dalcroze, “Quelques Notes et Souvenirs,” *La revue musicale*, Vol. 188 (1939), 30-1

The violinist Hans Wessely recalled the performance of Joachim's Bach Chaconne, and said that "it received in all phrases the most wonderful elasticity of time," also warning that "the moment that the shape of a phrase cannot be felt, the execution of it must be styled an indifferent one." In contrast, "more recent (French) pieces require greater freedom of phrasing and time changes."

4.2 Twentieth century performance

Influence of Recording

The importance of performances changed significantly over the century due to the shift of emphasis enforced by the development of recording technology. In the beginning, the intention of the early recorded performances from the late nineteenth through the early twentieth century was to capture the essence of live music as it was performed to an audience. However, in the late twentieth century, the emphasis shifted significantly. The new emphasis was to reproduce accurate and clean recordings. Recorded performances can be repeated as many times as the listeners want, therefore the clarity and precision of each note became a more important factor in performances. This requirement of clarity and accuracy influenced the new style of performing trends.

a. Bowings

As Galamian once commented that, "the problems of the right handgenerally cause most of the trouble for the violinist," many pedagogues in the twentieth century examined more thoroughly than in the nineteenth century and focused on how the various types of bowstrokes(including springing bowstrokes) should be executed and how they should be practiced.

Because of the limitation of the document to cover all of the bowstrokes, the document will focus on the bowing styles in main two categories: basic bowstrokes (mainly détaché) and springing bow strokes (spiccato and *sautillé*).

Détaché Strokes

Auer emphasized the importance of the use of wrist for tone production. He stated that “tone must only be produced through pressure from the wrist, the arm should not be used for pressure.”⁵⁷ When he explains how the détaché should be played, he directed that “each détaché stroke be attacked from the wrist,” and recommended playing most détaché in the upper half of the bow. Auer also added that “the perfect détaché stroke should be executed in one continuous sweep and without the slightest break in the flow of tone when the bow is changed direction.”⁵⁸

Carl Flesch considered the détaché bowing as “the most important fundamental bowstroke.” He stated, “The separation between notes should only occur by means of a pause, unavoidably consequent upon the changes of bow, but should be hardly noticeable.”⁵⁹ Flesch also distinguished the four types of détaché bowings in his book,

The Art of Violin Playing:

1. The whole bow détaché
2. The broad détaché (using at least upper half of the bow)
3. The small détaché (using the upper middle of the bow)
4. The French détaché (slight separation between the notes)

Galamian also specified the four types⁶⁰ of détaché bowings:

1. The simple détaché (all the notes are connected)

⁵⁷ Auer, *Violin Playing As I Teach It*, 20.

⁵⁸ Auer, *Graded Course of Violin Playing*, 7:1.

⁵⁹ Flesch, *The Art of Violin Playing*, 66.

⁶⁰ Although, he included “*The portato or lour*” in détaché bowings, but he mentioned that, strictly speaking, it is not one of the détaché bowings, but closely related to the détaché porté: a series of détaché porté stroke.

2. The accented or articulated *détaché* (the bow pressure and the speed are increased at the start of each note)
3. The *détaché porté* (slight swelling at the beginning followed by a gradual lightening of the sound, a variation of portato)
4. The *détaché lancé* (short, quick stroke that is characterized by great initial speed in the bow which then slows down toward the end of the stroke)

According to Galamian, all the *détaché* bowings with separation between the notes can help to create musical lines simply by varying the length of the rests between the strokes. This variation of length in the spacing can give an effective illusion of tempo rubato, even when playing with the strict tempo as shown in the following example.

Example




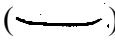

Spiccato and Sautillé

Auer interchanged the term *spiccato* and the *sautillé* bowings. He described *spiccato* with bouncing, springing bow by means of a very slight *détaché* in the middle of the bow.⁶¹ He explained that by playing a fast *détaché* at the balance point of the bow and by relaxing the pressure of the index finger, the bow will bounce of its own accord. He considered the ‘true’ *spiccato* as a ‘springing stroke’, but acknowledged the ‘thrown type’ in which the movement of the bow is entirely controlled by the player. Flesch also distinguished between ‘thrown *spiccato*’ and ‘springing bowstroke’, but favored the former term for ‘*spiccato*’ to avoid the ambiguity of the word. He asserted that, “in the thrown stroke, the player is active and the bow is passive. I throw the bow.”⁶² He commented that “the *spiccato* is one of the most important components of bowing technique,” and suggested its execution in the lower third of the bow for *f*, in the middle

⁶¹ Auer, *Violin Playing as I teach it*, 28.

⁶² Auer, *The Art of Violin Playing*, 73.

of the bow for *p*, and at the tip of the bow for a very short *pp*. On the other hand, in the ‘springing bowstroke’ or ‘*sautillé*’, “the player is passive, only watching over what the bow does; the bow is active, in result of its elasticity at its balancing point, it must bounce by itself.”⁶³ He suggested playing the *sautillé* slightly higher in the bow for a faster tempo, a softer dynamic, a higher string, or single notes; slightly lower in the bow for a slow tempo, a louder dynamic, a lower string, or the playing of chords.

Galamian explained that the spiccato bow stroke is executed by dropping the bow from the air and lifting up again after every note. The motion of the stroke can be described as arc-like (), and the bow touches the strings at the bottom of the arc. He explained that there are two components in the movement: a horizontal and a vertical component. When the horizontal motion is more stressed, the arc will look flatter (), and thus, the sound will be rounder, softer, and more vowel-like. On the other hand, the vertical element is more conspicuous, the arc will look more narrow and deep (), and therefore, the tone will be sharper, more articulated, and percussive.

Another bouncing bowstroke, *sautillé*, is distinguished from the spiccato as the *sautillé* is executed without any individual lifting and dropping of the bow for each note, according to Galamian. The principal of the *sautillé* primarily relies on the resiliency of the stick, so the proper places to play this stroke differ from a bow to a bow depending on the diverse conditions of each bow. The *sautillé* bowing may not bounce properly if it is attempted at a wrong part of the bow. However, Galamian stated that failure of the stroke is often caused by a heavy grip of the bow, and suggested lighter bow grip, and even

⁶³ Flesch, *The Art of Violin Playing*, 73.

proposed the consideration of playing fast détaché to replace the stroke due to their resemblance in sound.

b. Vibrato

A new approach to vibrato began to evolve during the twentieth century, promoted by the Franco-Belgian School and ironically pupils of Auer, such as Heifetz, Elman, and Zimbalist. Steel E strings on the violin were introduced in the 1890's and became the norm after World War I in 1920s. Adopting metal strings coincided with the development of forceful bow styles among string players, and this change is closely linked with the use of vibrato as well. There was a clear trend by the 1930s that was different from the early twentieth century. Vibrato became slower and more continuous compared to the faster vibrato that was common in the early twentieth century. It was also used in a less cautious way, and by the 1920s, continuous vibrato had become very common. Siegfried Eberhardt, wrote that “vibrato acts as the main function of the entire technical equipment of the violinist. The great importance of the vibrato is to give the tone individuality.”

The greatest influence to the continuous vibrato was the playing of Kreisler. He vibrated not only continuously in slow cantabile passages like Ysaÿe, but even in fast technical passages. This fundamental metamorphosis has put his indelible stamp on contemporary violin playing.⁶⁴ Carl Flesch observed, discussing the impact of Kreisler's continuous vibrato:

We must not forget that even in 1880 the great violinists did not yet make use of a proper vibrato but employed a kind of *Bebung*, i.e. a finger vibrato in which the pitch was subjected to only quite imperceptible oscillations. To vibrate on relatively inexpressive notes, not to speak of runs, was regarded as unseemly and inartistic. Basically quicker passages had to be distinguished by a

⁶⁴ Robert Philip, *Early Recording and Musical Style: Changing Tastes in Instrumental Performance, 1900-1950* (New York: Cambridge University Press, 1992), 99.

certain dryness from longer and more expressive notes. Ysaÿe was the first to make use of a broader vibrato and already attempted to give life to passing notes, while Kreisler drew the extreme consequences from this revelation of vibrato activity; he not only resorted to a still broader vibrato, but even tried to ennoble faster passages by means of a vibrato which, admittedly, was more latent than manifest.⁶⁵

Even though the proper use of vibrato was a controversial topic up to the 1920s, vibrato was considered an essential component to beautiful string tone or expression, and its continuous use was recommended. A similar view of vibrato can be found in other string instruments. The viola-player Lionel Tertis (1938) asserted that

The vital fact about vibrato is that it should be continuous; there must be no break in it whatsoever, especially at the moment of proceeding from note to another... In other words, KEEP YOUR FINGERS ALIVE! ... there is nothing so deadly or ruinous to an expressive phrase as the sound of a cantabile slow passage in which one or two notes are partly or wholly devoid of vibrato.

Galamian (1903-1981) also agreed with the idea and added that vibrato should be employed continuously from note to note and from one bow stroke to another.

The cellists, Hugo Becker and Dyno Rynar (1929), stated that the purpose of vibrato is “the spiritual enlivenment of the tone” despite the disapproval of overuse of vibrato. An influential cello teacher, Joachim Stutschewsky (1932-7), saw vibrato as originating in “a natural desire to intensify the tone and to throw feeling into one’s play.”

The general idea of vibrato after the 1930s was a necessary component of beautiful string tone, and it showed the fundamental change of thinking from the early twentieth century when vibrato was considered as an ornament and embellishment. Vibrato was now described and discussed by its mechanism. Flesch (1923-8) gave a detailed analysis of the techniques, and identified three faulty categories of vibrato:

1. The Over-Close (Finger) Vibrato
2. The Over-Broad (Wrist) Vibrato
3. The Over-Stiff (Lower Arm) Vibrato

⁶⁵ Flesch, *Memoires*, 120.

A perfect vibrato is produced by the combination of the finger, hand, and arm movements. The extent to which each of these factors participates is an individual matter; yet all the joints must be loosened and prepared to take part at any moment.⁶⁶

Flesch explained that exclusive use of one kind of vibrato produces a faulty vibrato. In other words, a pure over-close (finger) vibrato “can produce no more than an exceedingly rapid vibrato and a bleating sound.”⁶⁷ A pure over-broad (wrist) vibrato is generally “exaggeratedly broad and slow” and creates “excessive deviations from the original tone” so that “the original tonal pitch is no longer distinguishable.”⁶⁸ A pure over-stiff (arm) vibrato is “very injurious for the collective technique, since the stiffening of the wrist which attends it produces a heaviness of the left hand, making the attainment of a perfected change of position technique out of the question.”⁶⁹

Galamian agreed with Flesch’s theory that three types of vibrato have their own characters, and so the violinists should obtain and master each type of vibrato comfortably. According to him, one can have wider range of expression and personal tone quality by acquiring all types of vibrato. He said in loud passages the vibrato would normally be more intense and faster created by arm, while the soft passages would require more of narrower and subdued quality created by finger and wrist.⁷⁰ He insisted that “the player has to be able to combine wide with fast as well as narrow with slow.”⁷¹

As the attitude toward vibrato changed, the previous comparison between violin and voice in the late nineteenth century through the early twentieth century, which encouraged restrained use of vibrato, now was adapted to encourage it. Some writers in

⁶⁶ C. Flesch *The Art of Violin Playing* (New York, 1939), 39.

⁶⁷ *Ibid.*, 36-38.

⁶⁸ *Ibid.*, 37.

⁶⁹ *Ibid.*

⁷⁰ Later, he contradicts himself by saying, ‘a wide vibrato is usually slower and a narrow one faster’.

⁷¹ Galamian, *Principles of violin playing and teaching*, 37-38.

the 1930s justified vocal vibrato using the string instruments vibrato, “Vibrato, correctly used, is to the singer as essential to the tone color of the voice as to the violinist is the purposeful vibrato of his finger on the string.” The view of vibrato, an enhancement of tone, continues to modern days of violin playing.

b. Portamento

In the earlier years of the twentieth century, both violin and cello players used portamento frequently and routinely, and by the 1930s it was starting to be viewed as an embellishment tool and required for more discreet use. Carl Flesch (1923-8) categorized methods of producing portamento into three types:

1. An uninterrupted slide on one finger (single-finger portamento)
2. A slide in which one finger slides from the starting note to an intermediate note, and a second finger stops the destination note (B-portamento: ‘beginning’ finger portamento)
3. A slide in which one finger plays the starting note, and a second finger stops an intermediate note and slides to the destination note (L-portamento: ‘later’ finger portamento)

As we have observed in the nineteenth century, single-finger portamento and B-portamento were recommended while L-portamento was considered as a “devilish invention of bad taste” for earlier teachers. However, Flesch added that

a gulf which cannot be bridged yawns between theory and practice. It is a fact that among the great violinists of our day there is not one who does not more or less frequently use the L-portamento. A refusal to accept it, therefore, amounts to a condemnation of all modern violin playing and its representatives, beginning with Ysaÿe, and it is questionable whether there are any who would go so far.⁷²

According to Flesch, Sarasate was the pioneer of the ‘discreet’ use of L-portamento, Kreisler reintroduced it, making it more definite, and Heifetz made a specialty of it. Even though Sarasate included many single-finger portamenti shown in his edition, his use of portamento was cautious to the standards of the early twentieth century, while it was too frequent to the standards of the late twentieth century.

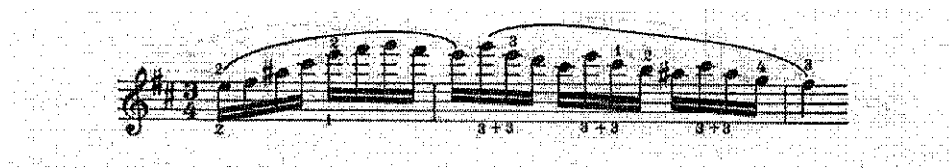
⁷² Carl Flesch, *The Art of Violin Playing*, Vol. I, 30.

Flesch made a crucial distinction between the portamento for expressive effect and the portamento for convenience. He said that

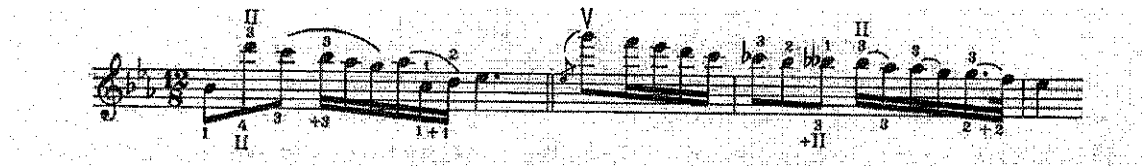
In Practical teaching I usually stigmatize the kind of audible portamento which is aesthetically inexcusable but technically convenient as “bus-portamento” – the cheapest and most comfortable way, to move between positions by taking the portamento-bus.⁷³

In his book, *Violin Fingering*, Flesch illustrated his suggestions of fingerings compared to the fingerings from the late nineteenth century and the early twentieth century, which he considers as old style. He criticized the earlier style because it contains too frequent portamento, producing false accents, or because fingerings are more for technical convenience rather than for musical expression. The fingerings that he recommended are closer to the style of the later twentieth century, and give more implications of how the use of portamento became more limited and sparing over the first four decades of the century. There are some examples shown in the following.

Example 4.10: Ysaÿe, Lointain passé, fingered by Ysaÿe (below) and Flesch (above).



Example 4.11: Chopin-Sarasate, Nocturne in E Flat Op.9 No.2 mm. 27-28, fingered by Sarasate (below) and Flesch (above).



Galamian used the term, portamento referring to “expressive slide”, and provided three ways of performing ascending portamento: the ‘overslide’, ‘underslide’, and the

⁷³ Ibid.

combination of both. The overslide is Flesch's B-portamento, and is preferred by the French School, and the underslide is Flesch's L-portamento, and is featured by the Russian School. He agreed with Flesch's idea that "the speed of portamento (execution of the shifting motion) should be proportional to the general tempo of the passages."⁷⁴

Rolland (1911-1978) particularly differentiated two types of shifting based on musical purpose. He stated that, "the technical shift" for the necessity or the convenience of playing should be executed as cleanly as possible without any noticeable guide note. In the other hand, for expressive cantabile passages, portamento can be heard for its musical effect. Along with other pedagogues such as Auer, Flesch, and Galamian, he remarked that careful use of portamento can be very effective musically and always should not be overused.⁷⁵

The clear separation between the 'old' style and the 'modern' style of portamento in the early twentieth century was even greater on the cello, due to the big influence by Casals. His style of phrasing and restrained expression came from avoiding the "ugly noises," created by a "long shift," which is old-fashioned portamento. To attain this, he used stretching and extension to avoid shifting positions, even though it was not welcomed by teachers of old methods. Although people from the old school continued to use traditional fingerings, Casals's fingerings with extensions became popular by the late 1920s.

Other cellists of the early twentieth century, Becker and Rynar (1929), also stated that "constant audible sliding during shifting has an obtrusive and repulsive effect," insisting that "every portamento should be accompanied by a diminuendo, implying

⁷⁴ Galamian, *Principles of Violin Playing and Teaching*, 26.

⁷⁵ Rolland, *Basic Principle of Violin Playing* (Washington, D. C, 1979), 31.

greater refinement in the character.” However, he was against Casals’s extended fingerings because it went against “the principle of letting the left hand take an unconstrained, natural attitude.”

c. Tempo Rubato

In the early twentieth century, flexible tempo and its elasticity were favored by many writers. As there were some confusion and controversy over the meaning of tempo rubato, the writing and recordings show that three types of rhythmical freedom were involved: *accelerando* and *rallentando*, the use of tenuto and agogic accents, and melodic rubato. In actual performances, these rubato types could be used separately or in conjunction with one another.

Accelerando and Rallentando

As we have examined in the previous chapter, the idea of ‘stolen’ time and ‘pay back’ was an integral part of this concept, as Tobias Matthay identified two principals of forms of rubato:

The most usual is that in which we emphasize a note (or a number of notes) by giving more than the expected Time-value, and then subsequently make-up the time thus lost by accelerating the remaining notes of that phrase or idea so as to enable us accurately to return to the pulse... In the opposite form of Rubato... we begin with a pushing-on or hurrying the time. This we must necessarily follow up by retarding the subsequent notes of the phrase.⁷⁶

However, there were controversy and debate about this theory, and it is represented in Grove III (1927-8) as A. H. Fox Strangways stated that

The rule has been given and repeated indiscriminately that the ‘robbed’ time must be ‘paid back’ within the bar. That is absurd, because the bar line is a notational, not a musical, matter. But there is no necessity to pay back even within the phrase: it is the metaphor that is wrong. Rubato is the free element in time, and the more it recognizes the norm the freer it is. The law which it has to recognize is the course of the music as a whole; not a bar but a page, not a

⁷⁶ T. Matthay, *Musical interpretation, its laws and principles, and their application in teaching and performing* (Boston, 1913), 70.

page but a movement. If it does not do this it becomes spasmodic and unmeaning, like correspondence which is too much underlined.

Paderewski also rejected such ideas of balance and compensation:

Some people, evidently led by laudible principles of equity, while insisting upon the fact of stolen time, pretend that what is stolen ought to be restored. We duly acknowledge the high moral motives of this theory, but we humbly confess that our ethics do not reach to such a high level...the value of notes diminished in one period through an *accelerando*, cannot always be restored in another through a *ritardando*. What is lost is lost.⁷⁷

Thus, the great number of writers in the early twentieth century seemed to disagree with the idea of this theory ('stolen'-'paid back'), as well as its composition: *accelerando* and *rallentando*. J. Alfred Jonnstone (1914) described this as "the modern tempo rubato of the ultra-romantic school, which plays havoc with both form and time." According to Leschetizky, "this modern type of rubato tends inevitably to reduce expression to whimsical play upon tempo." However, this does not mean that the writers of the early twentieth century insisted on strictly metronomic performances. They considered the rubato in terms of "detailed rhythmical adjustment, by a combination of tenuto and shortened notes."

Tenuto and Agogic Accents

Dictionaries often define rubato as a rhythmic adjustment rather than *accelerando* and *rallentando*. This indicates that music is not to be performed in strict time, so certain notes can be held longer while others might be given less value. Hugo Reimann (1849-1919), mentioned the term, "agogics" for the first time, giving the meaning of the use of small modifications of rhythm and tempo for expressive performance. 'Agogic' accent is described as "the lengthening of a note for purposes of accentuation and emphasis, and it

⁷⁷H. T. Finck , *Paderewski on Tempo Rubato :Success in Music and How it is Won*, 459.

includes particularly “notes which form centers of gravity” within a phrase, and “more especially, in suspensions, whereby the harmonic value is given clearer.”⁷⁸

The use of agogic accents was widely encouraged by the writers of the early twentieth century. J. Alfred Johnstone illustrated the agogic accents in the opening of Mendelsshon’s *Andante and Rondo Capriccioso* op.14:

When the chords are struck, as they so often are, in exactly even time, and with exactly even accentuation, the effect produced is as unlike the real music intended as the monotonous outflow of a pianola or a barrel-organ is unlike the playing of an artist. The very life of this passage consists in a delicate give-and-take in the proportionate lengths of the notes; a variety of touch; and a constant rise and fall of tone.

He also praised Joachim’s use of his agogic accents:

The kind of accent that consists, not of an actual stress of intensification of tone on the note, but of a slight lengthening out of its time value, at the beginning of the bar, and at points where a secondary accent may be required. All the greatest interpreters of the best music have been accustomed to lay this kind of accent on the first note of the bar, or of a phrase, as taste may suggest, but none have ever carried out the principles so far or with such fine results as Joachim has done.⁷⁹

Henry T. Finck pointed out the nature of speech and declamatory aspect of rubato in the music, and wrote that Paderewski’s playing differs from others, “particularly in this greater number of *rhetorical pauses*... The pause is either a momentary cessation of sound or a prolongation of a note or chord.” He also quoted Busoni’s advice, “The bar-line is only for the eye. In playing, as in reading a poem, the scanning must be subordinate to the declamation; you must *speak the piano*.”

Melodic Rubato

Due to the freedom in the melodies created by accelerando and rallentando or agogic accents, the question is brought up whether the accompaniment should follow the deviated melody lines or stick with the given tempo. There is a great number of evidence

⁷⁸ Musik-Lexicon (Leipzig, 1882; English translation London, 1897), 13.

⁷⁹ J. A. Fuller Maitland, *Joseph Joachim* (London and New York, 1905), 29-30.

for a well-established tradition that the accompaniment does not follow the rubato of the melodies. Franklin Taylor (1897) wrote, “It should be observed that any independent accompaniment to a rubato phrase must always keep strict time, and it is, therefore, quite possible that no note of a rubato melody will fall exactly with its corresponding note in the accompaniment, except, perhaps, the first note in the bar.” Similarly, Frederick Niecks(1913) commented, “Where there is an accompaniment rhythmically distinct from the melody, the former should be in strict time, while the melody, within certain limits, may proceed on her course with the greatest freedom.”

As we have examined, the early twentieth century rubato is varied and certainly extremely eventful with the three elements: *accelerando* and *rallentando*, *tenuto* and agogic accents, and melodic rubato. It is made out with significant details and it is considered in terms of rhetoric, analogies with the emphasis in speech. Certainly, this rhetoric essence of tempo rubato gradually has changed towards the late twentieth century transitioning to a smoother and more regular tempo. As we discussed earlier in the chapter, the influence of recordings resulted in a stricter tempo and evenness of expression. If the tempo rubato is not treated carefully, it will sound out of place to modern ears.

Chapter 5: CONCLUSION

Performing a piece is not a one-stage work, which is just to auralize the written notes, but a multi-step effort from understanding the background of the composition to interpreting the given music and personalizing it. Comparing two similar and different pieces helps us approach and comprehend each style of music better with a diverse point of view, and consider even small detailed ideas of the music for improved interpretation.

Two versions of Carmen Fantasies by two different composers have presented us with various compositional aspects to consider, revealed interesting changes in performance style over time. Sarasate's fantasy was written not long after Bizet's Carmen. He composed his fantasy with less material from the Opera than Waxman did, and his tempos were generally faster than the Bizet's. The faster tempo was one of Sarasate's characteristics when writing his show pieces (mostly for virtuosic playing), and he also was a successful virtuoso violinist at the time. In addition, he used various types of violin techniques in a wide register range which stretched the boundaries of violin technique. On the other hand, Waxman used a bit more material from the Opera and mostly maintained the same tempos as the original tunes. As a film composer, his fantasy was used in his movie, 'Humoresque', to depict the main character, a virtuosic violinist. Therefore, his violin writing does not seem to be extremely far away from Sarasate's writing, even though his writing covers more unconventional and unwieldy violin techniques. Since the Bizet's Carmen, it seems that the virtuosic violin writing has stretched the limit of its ability.

We have covered aspects of Bowing, Vibrato, Portamento, and Tempo Rubato, and how they interacted with changing performance trends from the nineteenth century

through the twentieth century. The characteristics in the nineteenth century can be summarized in springing bowstrokes and broad bow style and the frequent use of upper half of the bow, the restrained use of vibrato, liberal use of portamento, and great flexibility of tempo. Performance trends started changing in the late nineteenth century and continued to change in the early twentieth century, as evidenced by a mixture of philosophies by different writers and musicians. The newer aspects of the performing style include more use of lower half of the bow, continuous vibrato, discretion in the use of portamento, and restraint of tempo fluctuation.

The purpose of this historical examination is to examine the thoughts and concepts behind the performance trends of the time to help musicians interpret the music on their own and individualize it. It is not meant to force performers to follow rules of a specific time period in an effort to create an 'authentic' performance. It also isn't an attempt to determine which performance style is better or more appropriate.

As we have observed, performance styles varied greatly among the great musicians, even those from the same Violin School and pupils of the same pedagogue. They all developed their own styles of playing that shaped the performance trends of the time. Playing styles of individuals even evolved with age.

It is also dangerous to assume that our ears in the modern times have the best taste. What is popular now might be cliché in the next several years, and the new approach and playing style will be replaced as the idiom of the next era.

Music is not about merely following a rule. This restricts the number of possibilities of presentation. In modern times, with more stimulation and experimentation in sound, the audience seems to expect fresher and more interesting interpretation of

classical music. Surely, some general guidelines and suggestions exist for performing a piece of music from a certain time period. What different notations mean for different composers, and what type of sound that they really intended to create—all of these things matter. However, the pieces written several decades ago cannot sound the same when we perform them today for a different group of people in different venues. One can and would still approach music relative to its historical origin, but the important thing is how we deliver what we are trying to convey to get the best outcome for our audience.

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