An original composition, Concerto for Piano and Orchestra, and an analysis of Camargo Guarnieri's Concerto No. 5 para Piano e Orquestra

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AN ORIGINAL COMPOSITION, CONCERTO FOR PIANO AND ORCHESTRA, 
AND 
AN ANALYSIS OF CAMARGO GUARNIERI’S CONCERTO NO. 5 PARA PIANO E ORQUESTRA

A Dissertation

Submitted to the Graduate Faculty of the 
Louisiana State University and 
Agricultural and Mechanical College 
in partial fulfillment of the 
requirements for the Degree of 
Doctor of Philosophy 

in 
The School of Music

by 
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B.M., Universidade Estadual do Ceará (Brazil), 1996 
M.M., Louisiana State University, 2000 
May 2004
DEDICATION

This work is dedicated to my wife Maria José Bernardes Di Cavalcanti, who has always encouraged and supported me to achieve my goals as a composer.
ACKNOWLEDGMENTS

I would like to thank my parents, José Gomes de Oliveira and Maria Dolores Pitombeira de Oliveira for their support during these years of hard study; my wife, Maria José Bernardes Di Cavalcanti, for her patience and enthusiasm; my advisor, Boyd Professor Dr. Dinos Constantinides, for his academic dedication and orientation during the production of this dissertation and fifty other pieces; my former advisor in Brazil, Professor José Alberto Kaplan, for his eight years spent in my formation as a composer; my harmony and counterpoint teachers in Brazil, Vanda Ribeiro Costa and Tarcísio José de Lima; and the Syntagma ensemble, in Brazil, for being the initial laboratory for my musical experiences as arranger and composer. I also thank Dr. Joe Abraham, from the LSU Writing Center, for working with me on the English problems; Guarnieri’s biographer, Dr. Marion Verhaalen, for her wonderful book on Guarnieri and her total assistance by e-mail and phone about the musicological aspects of the piece; Max Barros, from Ponteio Publishing, Inc., and Paulo Vicente and Alice Mangione, from Edições Euterpe Ltda., for authorizing the use of excerpts of Guarnieri’s “Concerto No. 5 para Piano e Orquestra” and Severino Araújo’s “Espinha de Bacalhau” respectively; and the members of my committee, Dr. Dinos Contantinides, Dr. Jeffrey Perry, Dr. William Grimes, and Dr. Cornelia Yarbrough for their valuable suggestions, comments, and corrections.
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PERFORMANCE NOTES

“Concerto for Piano and Orchestra” is scored for the following instrumentation:

Piccolo (Picc.)
3 Flutes (Fl.), third flute also plays Alto Flute
2 Oboes (Ob.)
English Horn (E.Hn.)
3 Bb Clarinets (Cl.)
Bass Clarinet (B.Cl.)
2 Bassoons (Bn.)
Contrabassoon (CBn.)

4 Horns in F (Hn.)
3 Trumpets in C (Tp.)
3 Trombones (Tn.)
Tuba (Tb.)

Timpani

3 Percussionists:  
2. Bass drum, Suspended cymbal (1st movement), Temple blocks, Crash cymbal, Bongos.
3. Xylophone, Glockenspiel, Crash cymbal, Tambourine, Woodblock, Slapstick, Marimba (4 octaves).

Harp (Hp.)

Piano (Pno.) – soloist

Strings:  
  Violin I (Vn.I)
  Violin II (Vn.II)
  Viola (Va.)
  Violoncello (Vc.)
  String Bass (S.B.)

The score is in C, i.e., all instruments in the score, with the exception of octave transposing instruments, appear at concert pitch.

Accidental are valid for the entire measure, in the indicated octave only. Courtesy accidentals have been added for clarity.
## EXPLANATION OF SYMBOLS

<table>
<thead>
<tr>
<th>Symbol</th>
<th>Description</th>
</tr>
</thead>
<tbody>
<tr>
<td><img src="image1.png" alt="Symbol" /></td>
<td>Lowest Cluster</td>
</tr>
<tr>
<td><img src="image2.png" alt="Symbol" /></td>
<td>Highest Cluster</td>
</tr>
<tr>
<td><img src="image3.png" alt="Symbol" /></td>
<td>Conductor's Cue</td>
</tr>
<tr>
<td><img src="image4.png" alt="Symbol" /></td>
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<td><img src="image5.png" alt="Symbol" /></td>
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ABSTRACT

This dissertation is in two parts. The first part is an original composition, “Concerto for Piano and Orchestra.” The second part is an analysis of Brazilian composer Camargo Guarnieri’s “Concerto No. 5 para Piano e Orquestra.” I chose to analyze this work by Guarnieri because I am also a native from Brazil and I believe he is one of the most outstanding composers of the twentieth century. His wonderful mastery of both modern and traditional techniques of composition, the blending of these techniques with genuine folk and popular sonorities of his native culture, and a disciplined life entirely dedicated to compose, perform, conduct, and teach music are a bright inspiration to composers inside and outside Brazil.

“Concerto for Piano and Orchestra” is in three movements, with three piano cadenzas. The first movement, titled “Dialectics,” is in sonata allegro form and moderately fast. The central idea of this movement is the conflict between tonality and dodecaphonism. After being introduced in the exposition, the thematic groups fight during the development, and interchange their roles in the recapitulation, i.e., what is tonal becomes twelve-tone and vice-versa. The second movement, titled “Memories of Sarati,” is a tribute to the place where Camargo Guarnieri spent most of his life composing and teaching. It is slow and uses graphic notation along with traditional notation. The third movement, titled “Finale,” is fast and inspired by Brazilian folk and popular music.

In the second part of the dissertation, the three movements of Camargo Guarnieri’s “Concerto No. 5 para Piano e Orquestra” are analyzed with respect to formal design and harmonic language. In order to accomplish this latter, a system of classification of sonorities is provided in the first chapter along with historical and biographical information. In chapters two,
three, and four the three movements of Guarnieri’s work are analyzed in detail. Chapter five provides a summary of the analysis.
PART 1: AN ORIGINAL COMPOSITION, CONCERTO FOR PIANO AND ORCHESTRA
II. MEMORIES OF SARATI
PART 2: AN ANALYSIS OF CAMARGO GUARNIERI’S CONCERTO No. 5 PARA PIANO E ORQUESTRA
CHAPTER 1. INTRODUCTION

1.1 General Considerations

The second part of this dissertation is an analysis of Camargo Guarnieri’s Concerto No. 5 para Piano e Orquestra with respect to its compositional aspects. Although this analysis utilizes historical information and analytical tools, its primary focus is the examination of the compositional forces that led the composer to write this piece. This introductory chapter contains a general overview of the piece and the description of a system that I devised to classify the melodic and harmonic entities used by the composer in this particular piece. Moreover, in order to understand the context in which Guarnieri wrote his fifth piano concerto, it is necessary to situate him within the history of Brazilian music, especially within Brazilian nationalism, since he considered himself a nationalistic composer. Therefore, it is necessary to provide a brief historical background of Guarnieri’s own life and of the musical environment that surrounded him as well. These two latter aspects are covered in the following section.

1.2 Historical Background

The purposes of this section are: (a) to draw attention to some significant facts in the history of Brazilian music and (b) to provide information about Guarnieri’s life as a composer and his role within Brazilian nationalism. These two topics will provide the necessary background to understand Guarnieri’s compositional views and their connections with Brazilian cultural life.

The history of European-derived music in Brazil can be traced to as early as 1500, the very year of the Portuguese arrival and occupation of the new territory. The cultural influence of the Catholic Church, especially the Jesuits, during the first years in the new land was very strong in all artistic expressions, including music, which was mainly used as a tool to Christianize the
natives. Therefore, music was powerfully connected with religion in the beginning of the colonial period. This connection, which would endure until the first quarter of the 19th century, contributed to the establishment of religious folk practices throughout Brazil.\(^1\) Important events of the first century of colonization were the establishment of the first theatre in Rio de Janeiro (1555) by Father José de Anchieta,\(^2\) the creation of the position of mestre-de-capela (Kapellmeister) in Salvador, the capital of Brazil at that time (1559),\(^3\) and the foundation of the first conservatory in the Americas by Father Manuel da Nóbrega. This institution started conferring Master of Arts degrees in 1578.\(^4\)

An important characteristic of the 17th century was the establishment of small *charamela* ensembles throughout the country.\(^5\) Most of the performers, called “charamelleyros,” were black slaves, and they performed sacred music from European tradition. Daniel Arce mentions that at least one composition from that time has survived: an anonymous parody Mass *a 4* subtitled *sobre o gram Senhora.*\(^6\) Also important in the 17th century was the period of Dutch

\(^1\) Mário de Andrade divides the evolution of Brazilian music in three phases: God, Love, and Nationalism. The first phase corresponds to the influence of the Jesuits; the second phase, which starts with the Independence (1822), is influenced by secular music, such as Italian opera and modinha (Brazilian sentimental art song from the 18\(^{th}\) and 19\(^{th}\) centuries); the third phase starts with the Civil Wars in the South. Léa Vinocur Freitag, *Momentos de Música Brasileira* (São Paulo: Nobel, 1985), 30-31.


\(^3\) Ibid., 150.

\(^4\) Ibid., 58.

\(^5\) Double reed instrument. The word “charamela” means reed in Portuguese.

\(^6\) Daniel Mendonza de Arce, op.cit.,151.
domination of Pernambuco because of the contact with the music of Flemish composers of the Renaissance, especially Josquin des Préz.⁷

In the following century, the important factor that contributed to the increase of musical activity was the discovery of gold and diamonds in the State of Minas Gerais, in the southeastern part of Brazil. In this century important composers appear such as Lobo de Mesquista (1746-1805), who wrote more than three hundred works. The first Brazilian opera, “Felinto Exaltado,” was staged in Rio de Janeiro on December 1746.⁸

The next century started with the arrival, in 1808, of the Portuguese royal family in Brazil to escape the expansion of Napoleon’s Empire in Europe. The most important composer of the early 19th century was Father José Maurício Nunes Garcia (1767-1830), who wrote approximately four hundred works, mostly sacred music. After the Brazilian Independence from Portugal, in 1822, the Italian opera became the center of the musical life in Brazil and Dom Pedro II, the second emperor of Brazil, created the Imperial Academy of Music and National Opera. One important composer of the second half of the 19th century was Carlos Gomes, the internationally celebrated composer of the opera Il Guarani, which premiered in Milan, in 1870. Gomes is considered to be the first composer to use national elements in his music. His piece for piano A Cayumba, written in 1857, and based on a black dance, as well as Brasílio Itiberê da Cunha’s A Sertaneja, written in 1869, are the oldest pieces that employ folk elements. Some

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⁷ Pernambuco, which is a tree whose wood is excellent for making violin bows, is also the name of a state in the Northeastern part of Brazil.

⁸ Daniel Mendoza Arce, op.cit., 226.
musicologists consider Alberto Nepomuceno (1864-1920) to be the true precursor of nationalism in Brazil, however.  

In 1922, two years after Nepomuceno’s death, one of the most important events in the history of Brazilian music took place—the Week of Modern Art, which consisted of a series of concerts, conferences, and expositions of visual art. This event launched the modernistic movement that in Brazil was strongly connected with nationalism. Heitor Villa-Lobos (1887-1959), who was the central musical figure in the early stage of this movement, is regarded as a composer of the first nationalistic generation, according to musicologist Vasco Mariz. In his classification of the musical periods in Brazil, Mariz also mentions two more nationalistic generations: the second generation includes composers such as Lorenzo Fernandez, Jaime Ovale, and Francisco Mignoni, and the third generation Radamés Gnattali, José Siqueira, Waldemar Henrique, and Camargo Guarnieri, among others.

Mozart Camargo Guarnieri was born in Tietê, in the state of São Paulo, Brazil, on February 1, 1907. His father Miguel Guarnieri, an Italian immigrant barber who could play the flute, gave him his first musical training. In 1923, his family moved to São Paulo city, the capital of the state, and Guarnieri started working very hard to survive as a musician. His excellent piano sight-reading skills made it possible for him to work in music stores as a pianist. This job was also a good opportunity for him to get acquainted with the classical repertoire during his free time. At that time he had a very hard life and a very busy schedule. In the

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10 Ibid., 111-216.

11 Ibid., 217-230.
mornings he worked at the barbershop with his father, in the afternoon he worked at the music store, in the evening he played background music for silent movies until 11 p.m., and after that he would play in the nightclubs until 6 a.m. It was this very intense musical life as a performer that made it possible for him to assimilate very deeply the various genres of Brazilian music.

Parallel to the cultivation of national music, a movement towards twelve-tone music gradually began in Brazil at this time. The arrival of German composer and educator Hans-Joachim Koellreutter, in 1937, was crucial to this new tendency. Koellreutter came to Brazil in order to escape from the Nazi regime. He founded the group Música Viva, which was dedicated to the study and use of serialism as a compositional technique. In 1944, this group started a series of radio programs to introduce this type of music to the public. In 1946, they published an important document called Manifesto de 1946, in which they explained their philosophy and principles. This document triggered an anti-dodecaphonic campaign promoted by the nationalistic composers, especially Camargo Guarnieri. In 1950, Guarnieri wrote the Carta Aberta aos Músicos e Críticos do Brasil (Open Letter to the Musicians and Critics of Brazil), in which he described the twelve-tone technique as a mechanical means of composition that could destroy authentic Brazilian music and adversely affect younger generation of composers.

Later, as he used quasi-serial techniques in his fifth piano concerto, he was asked if he had changed his opinion. He said, “I am not changing my opinion. I live in the present and my music is contemporary. You can recognize that this is my music, but its personality is always connected with the present.”12 Indeed, even though the sonorities of his fifth piano concerto, for

12 Marion Verhaalen, Camargo Guarnieri: Expressões de uma Vida. Trans. by Vera Sílvia Camargo Guarnieri. (São Paulo: Editora da Universidade de São Paulo/ Imprensa Oficial, 2001), 76. It is interesting to observe that Guarnieri, like other composers, such as Stravinsky, Copland, Barber, etc., adopted serial procedures to his own style.
example, are far from the tonal-modal sonorities used by other Brazilian nationalistic composers, they have little connection with the music of other international composers of the same period. The complexities and angularities found in Guarnieri’s late music seemed to have evolved naturally from the extensive use of contrapuntal elaborations and textural and timbristic experimentations. The next section provides a general overview and a historical background for Guarnieri’s fifth piano concerto.

1.3 General Overview of Guarnieri’s Fifth Concerto for Piano and Orchestra

Guarnieri, who was a fine pianist, wrote ten works for piano and orchestra, including six piano concertos. The Concerto No. 5 para piano e orquestra was commissioned by Jornal do Brasil to be performed during the II Festival de Música da Guanabara (Second Music Festival of Guanabara State). Guarnieri wrote this twenty-three minute piece in the short period of one month (January 1970), when he was teaching at the Universidade Federal de Goiânia (Goiânia Federal University, in the central part of Brazil). The first performance was given in May 1970 by Brazilian pianist, Laís de Souza Brasil, to whom the piece is dedicated. In 1973, a performance in the U.S.A. was given by the same pianist and with the composer, Guarnieri, conducting the Chicago Symphony Orchestra.

The fifth concerto is in three movements entitled: Improvisando, Sideral, and Jocoso. The first movement is in sonata-allegro form, the second in monothematic ABA form, and the

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13 In fact, his first symphonic work was the Piano Concerto No.1 (1931), composed thirteen years before his first symphony.

14 Guanabara was the former name of the State of Rio de Janeiro.
third, an arch form (ABCBA).\textsuperscript{15} According to Guarnieri, the second movement (slow) was the first to be written.\textsuperscript{16} The piece is entirely built upon the gesture shown in Figure 1.1, i.e., an ascending major seventh, two descending minor seconds, and a descending minor third.\textsuperscript{17} First and last notes of this five-note motive form a tritone. This five-note motive is used in both an ordered and an unordered manner; for example, the first theme of the second thematic group of the first movement consists of the juxtaposition of two different forms of this motive, each form having a different order of notes (see Figure 2.13).

![Figure 1.1. The generative idea of the concerto](image)

This basic motive is used cyclically, i.e., it is employed in all three movements not only as a melodic motive but also as the generative structure for the harmonic language. Thus, sonorities such as major seventh (first interval), minor second (second and third intervals), as well as quartal harmonies (a perfect fourth is the interval between second and last pitches) derive

\textsuperscript{15} Marion Verhaalen, op.cit., 232. In the program notes about this piece, Guarnieri himself mentions that the second movement is monothematic, i.e., built upon only one theme, and is organized in three parts: exposition, development, and recapitulation. Dr. Verhaalen labels these three parts as ABA.

\textsuperscript{16} Ibid., 230.

\textsuperscript{17} Figure 2.1 shows how this motive appears for the first time in the piece.
from this basic motive. This five-note motive is enunciated at the very beginning of the concerto by the orchestra and systematically elaborated by both piano and orchestra throughout the entire piece, which closes with the opening gesture.

1.4 Classification of the Types of Sonorities Used in This Analysis

Since the harmonic language in this piece is not based on common-practice principles, the traditional methods of harmonic analysis will not be used. Instead, I will introduce a method of various types of sonorities, defined here as entities containing two or more harmonic and/or melodic intervals generated through octave displacement of one of its components, in an unordered fashion. For this I will consider the following principles:

**Principle of Enharmonic Equivalence.** According to this principle, enharmonic intervals will be considered equivalent. Therefore, unlike in conventional tonal music, an augmented second equals a diminished third, a diminished octave equals a major seventh, and so on.

**Principle of Octave Equivalence.** According to this principle, C₀ equals C₁, which equals C₂ and so forth (in this paper, C₄ is middle C).

**Principle of Inversional Equivalence.** This principle is a direct consequence of the principle of octave equivalence. According to it, the interval created by octave displacement of one of the components of a given interval is taxonomically equivalent to the interval itself. This applies also to compound intervals. See in Figure 1.2 that a perfect fifth (P₅) equals a perfect fourth (P₄) since the difference between these two intervals only happens through octave

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¹⁸ I give special attention to the second and the last pitch because they are salient. The second pitch is salient because it is the highest note. The last note is salient because it is the goal of the five-note motive, when presented melodically. In addition, the second, fourth, and fifth pitches can be interpreted as both an incomplete tertian tetrad (major or minor, G-[B]-D-F) or an incomplete quartal tetrad (D-G-[C]-F).
displacement of one of the two notes. This principle creates classes of intervals (shown in Table 1.1) that will be used to classify the sonorities in Guarnieri’s piece.

![Figure 1.2. Inversional equivalence](image)

Table 1.1. The interval classes

<table>
<thead>
<tr>
<th>Interval Class</th>
<th>Members of the Interval Class</th>
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<tbody>
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<td>m2/M7</td>
<td>m2</td>
</tr>
<tr>
<td>M2/m7</td>
<td>M2</td>
</tr>
<tr>
<td>m3/M6</td>
<td>m3</td>
</tr>
<tr>
<td>M3/m6</td>
<td>M3</td>
</tr>
<tr>
<td>P4/P5</td>
<td>P4</td>
</tr>
<tr>
<td>A4/d5</td>
<td>Aug4</td>
</tr>
</tbody>
</table>

Types of Sonorities.

![Figure 1.3. Examples of Type 1 sonority](image)

The Type 1 sonority is a trichord containing the following intervals or their equivalents: tritone, perfect fourth (or perfect fifth), and major seventh (or minor second). Notice that the tritone has to be present to characterize this sonority. For example, all the trichords shown in Figure 1.3 are members of the Type 1 sonority, for the purpose of this analysis. I also mention that this sonority corresponds to the first, the highest, and the last notes of the five-note motive (see Figure 1.4).
The Type 2a sonority is a trichord containing two consecutive perfect fourths or two intervals that can be arranged in perfect fourths through octave displacements. For example all the trichords shown in Figure 1.5 are members of sonority Type 2, which is related to quartal harmony. As we will see during the analytical process, Guarnieri uses quartal harmony plentifully. If the entity has more than three perfect fourths, the sonority will be called Type 2b. Notice that Type 2 does not have a tritone; this is the crucial difference between Types 1 and 2.

Comparing the intervallic relationships of Types 1 and 2 sonorities, one can see that Type 2 can be considered a contraction of Type 1. This contraction shows one of Guarnieri’s compositional procedures in terms of definition of a harmonic vocabulary for the piece. In Figure 1.6, one can see that if the C remains as a center of reference, Type 1 is transformed into Type 2 through the transposition of the other two notes by descending minor second.\textsuperscript{19} In other

\textsuperscript{19} Type 1 can also be transformed into Type 2 by the alteration of only one note. For example: C-F#-B, which is Type 1, can be transformed into C#-F#-B, which is Type 2, just by raising the first pitch one half step. The transformation by means of two-note alteration was chosen by virtue of its geometrical properties that also allow a simultaneous further connection with Type 3, as shown in Figure 1.6.
words, the interval C-B (major seventh) is transformed into a minor seventh by the transposition of B a half-step down (B-B♭) and the tritone C-F♯ is transformed into a perfect fourth by the same transpositional operation. Carrying out this process another minor second down will produce a minor triad (C-A-E), which will be Type 3a sonority. A major triad, also produced by one further level of contraction, will be Type 3b sonority.

![Diagram showing the transformation of Type 1 into Types 2 and 3](image_1.6)

**Figure 1.6. Type 1 is transformed into Types 2 and 3**

The Type 4 sonority is also derived from the five-note motive. It is an entity consisting of minor seconds (it can be two, three, four or more notes) or equivalent intervals. An example of Type 4 sonority is shown in the Figure 1.7.

![Diagram showing Type 4 sonority](image_1.7)

**Figure 1.7. Type 4 sonority**

The Type 5 sonority is a tetrachord that consists of a major seventh chord with lowered fifth (Figure 1.8). As one can observe, the intervals of major seventh, perfect fourth, and the tritone are also present in the Type 1 sonority. In fact, the diagram in Figure 1.9 shows how Type
1 (Db, C, and Gb in the example) can be easily transformed into Type 5 (Db, C, F, and G) by the symmetrical motion of one of its notes (Gb) outward by semitone yielding two notes a minor second apart (F-G). Type 5 can also be created when a tritone is added to the extremities of a quartal trichord (Type 2). See in Figure 1.9 that the quartal trichord G-C-F becomes Type 5 with the addition of Db, which is the tritone of G.

![Type 5 sonority](image)

**Figure 1.8. Type 5 sonority**

![Type 1, Type 2, Type 5 sonorities](image)

**Figure 1.9. Type 1 (Db,C,Gb) or Type 2 (G-C-F) are transformed into Type 5 (Db,C,F,G)**

To summarize, Type 1 can be built by juxtaposing a perfect fourth and a tritone, Type 2 is quartal harmony, Type 3 is tertian harmony, Type 4 is a cluster of minor seconds, and Type 5 is a Type 2 sonority plus a tritone. This last sonority inherits characteristics from the previous sonorities because it has a tritone, perfect fourths, and a minor second (or major seventh). It also has a major triadic sound (Type 3), in the manner of a jazz chord.
CHAPTER 2. FIRST MOVEMENT: “IMPROVISANDO”

2.1 General Considerations

In this chapter, I will discuss three aspects of first movement of Guarnieri’s fifth piano concerto: (1) the formal structure of this movement, (2) its harmonic language and contrapuntal devices, and (3) the connection between the title, which means improvising, and the musical design, i.e., the role of improvisation in its compositional process. Form and harmonic language will be discussed concurrently in the same section since harmony and counterpoint are essential formal determinants.

2.2 Formal Design

In this section I will propose a formal design for the first movement of Guarnieri’s fifth piano concerto. After a brief description of each structural component of the piece, I will provide a diagram summarizing its form. As I mentioned in the previous chapter (section 1.3), this movement is written in sonata-allegro form, but the absence of common practice tonality shifts the dualistic forces that govern this movement from the arena of tonal conflict.

The composer prepares the entrance of the first theme with three short introductory events, each one with a distinctive character. The first event lasts five measures and introduces the five-note motive in the low-register instruments of the orchestra. The second event is a free section, in which the unaccompanied piano performs a sequence of arpeggios built on sonorities Type 2 and Type 5. The third event consists of canons based on the five-note motive, played by the brass section and accompanied by suspended cymbal and strings. Let us examine more closely each of these three events to determine their specific features.
The first event of the piece is performed by the entire orchestra with the exception of the percussion instruments and the piano. Figure 2.1 shows a three-staff reduction of this five-measure first event and includes a classification of the sonorities. The first staff, a Type 1 sonority, is played by piccolo, flute, oboe, Bb clarinet, first violin, and upper divisi of the second violin. The second staff, a Type 2a sonority, is played by English horn, French horn, lower divisi of the second violin, and viola. One can see that Type 1 sonority moves into the second staff as the end of this opening approaches and that Type 2a sonority (quartal harmony) is completely absent from the last chord. The third staff, which comprises the five-note motive, is performed by bassoon, contrabassoon, trombones, cello, and string bass. This section starts with

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1 Copyright by Ponteio Publishing, Inc., used by permission (see Appendix A). This copyright notice applies to all excerpts of the piece used in this dissertation.

2 Appendix C contains a simplified table showing the characteristics of the sonorities used in this analysis.
**ff** dynamics and the last chord is played **fff**, short, and accented (>). After this orchestral outburst, in measure five, there is a brief silence indicated by a quarter note fermata, and then the piano quasi-cadenza makes its first appearance, forming the second of the three opening events.3

![Figure 2.2. Second of three opening events: the piano’s first entrance (fifth measure)](image)

Let us examine the internal structure of this piano quasi-cadenza in Guarnieri’s work in Figure 2.2. It consists entirely of the sonorities **Type 2a** and **Type 5**.4 These are played in an

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3 The idea of introducing the solo instrument in the very beginning of a piano concerto is something that has already been tried by classical composers such as Mozart (in his Concerto No. 9 in E-flat major, K271) and Beethoven (in his Concerto No. 5 in E-flat major, Opus 73.) Coincidentally, this work by Beethoven, which is his fifth piano concerto as well, has in its opening certain textural similarities with Guarnieri’s concerto, i.e., an orchestral outburst followed by a piano quasi-cadenza. The difference is that in Beethoven’s concerto the opening statement is clearly established with only one chord, because the piece is tonal, whereas in Guarnieri’s the five-note motive is the archetype that sets the atmosphere for this atonal structure. A more recent example of an early appearance of the piano in this genre is Schoenberg’s piano concerto, which starts with the piano alone.

4 However, the seventh arpeggio of the right hand cannot be classified as **Type 5**, because one of the notes does not belong to this sonority (Bb-D-E-G; the G would have to be replaced by A to create a **Type 5** sonority). In order to be certain that this was not a typesetting mistake, I examined another version of the score (the version for two pianos, kindly lent by Dr. Marion...
arpeggiated manner and joined to form a single entity, as indicated by the slur connecting both sonorities, with the right hand playing the *Type 5* sonority and the left hand playing the *Type 2a*. This event consists of a sequence of sixteen arpeggiated blocks formed by these two sonorities transposed a perfect fifth up each time until they reach the block starting with B♭5 (last arpeggio shown in Figure 2.2). This block is played eight times until the end of the free section. ⁵

The piano free section as an unmeasured solo (interlude), i.e., the sixteen blocks of arpeggios occupy one measure only (measure 5). These blocks move smoothly from *p* to *fff*, the tempo gradually increasing (*accelerando*) to arrive in the chord shown in Figure 2.3. This chord consists of two minor seconds a perfect fourth apart (B-C-E-F). The minor second and perfect fourth are intervals derived from the five-note motive. At this point the brass section enters to play the third and last event before the entrance of the first theme.

![Figure 2.3. Last chord of the piano in the second opening event](image)

Verhaalen) and called by telephone the pianist Lais de Souza Brasil, to whom the piece was dedicated. The version for two pianos matches with the orchestral version. Ms. Brasil emphasized that the manuscript I have is correct, and that small deviations in patterns were intentional devices used by Guarnieri. (Telephone call made on December 20, 2003).

⁵ Coincidentally, the number five seems to have some numerological significance in this piece. Guarnieri’s fifth piano concerto (that opens like Beethoven’s fifth concerto) is built upon a five-note motive, which generates basically five types of sonorities; the orchestra’s first event lasts five measures and the piano plays blocks of arpeggios transposed by a perfect fifth. Even though this is an interesting point, it will not be a subject of study in this paper because I could not find any further numerological connection that would justify a further research.
The last event of the introductory part of the piece consists of a three-voice canon at the interval of a perfect fifth played by the brass section and accompanied by suspended cymbal and upper strings playing the same minor second in three different octaves (E₅F₅ + E₆F₆ + E₇F₇, as shown in Figure 2.4). These notes of the strings are also present in the last chord of the piano in the second event, and therefore have the function of interlocking the second event with a brass canon, which is the third opening event. Figure 2.4 shows the first three measures and the last two measures of the brass canon. This fifteen-measure canon gradually contracts in a stretto-like procedure to arrive at a chord that consists of a combination of Types 1 and 2a sonorities.⁶ Thus, this introductory section concludes with the same sonorities as those presented at the very opening (the five-note motive and Types 1 and 2a sonorities, even though, unlike the opening,

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⁶ The canon is strict, i.e., only the material shown in Figure 2.4 is used.
the five-note motive here does not occur simultaneously with the two other sonorities). In the next measure, the piano enters for the second time, and introduces the first theme of the concerto unaccompanied.

One could argue that the first theme of the concerto starts at the very beginning of the piece, when the orchestra states the five-note motive very clearly, which becomes the basis for a canonic elaboration right after the brief free passage performed by the piano in its first appearance. In this case, the second entrance of the piano, on measure 21, would be the restatement of the first theme because it is also based on the five-note motive, as one will see later in this analysis. This compositional device, i.e., the exposition of the first theme by the orchestra and subsequently by piano, is called double exposition, and it is a device traditionally used in the solo concertos of the classical period.

I believe, however, that the five-note motive is introduced simply as a raw material and does yet not constitute a theme (even though it has clearly defined pitches, rhythms, dynamics, and articulations). One must remember that this is not classical tonal music and, therefore, in the first moments of the piece the composer must first establish a new atmosphere, metaphorically speaking, before themes can be introduced and developed.\(^7\) Also, this is neither a twelve-tone piece nor an integral serial piece, in which thematic material and the series have such a close connection that the theme is omnipresent. For that reason, the five-note motive works in the first moment solely as a kind of archetype for this new atmosphere, serving an analogous function to the introduction or prelude of a work of tonal music (somewhat in the manner of an operatic prelude of Wagner).

\(^7\) There are parallels also in Romantic music; themes take time to crystallize in works such as Beethoven’s third and ninth symphonies.
Pursuing this parallel with tonal music, let us briefly examine the opening of Beethoven’s fifth piano concerto. It starts with an Eb major chord played by the entire orchestra after which the piano executes a series of arpeggios indicated freely in the score. Thus, in the Beethoven concerto the entire orchestra has a fermata and the piano plays a quasi-cadenza passage that, as in Guarnieri’s concerto, occupies one notated measure. Then, in the Beethoven concerto the entire orchestra interrupts the piano line by playing a subdominant chord (Ab) and afterward the piano resumes its free passage. The orchestra once more interrupts the piano with a dominant chord (Bb), after which the piano plays one more time until the orchestra begins the first theme that is restated later by the piano alone. With this introductory material, Beethoven appears to be simply establishing clearly the tonality of the piece. Figures 2.5 and 2.6 summarize the opening textures of both Guarnieri’s and Beethoven’s fifth piano concertos.

Figure 2.5. The opening of Beethoven’s fifth piano concerto
As one can see in the diagrams of Figures 2.5 and 2.6, both composers are introducing the vocabulary (sonorities) and the syntax (how to interconnect these sonorities) for their work using their own language, prior to the arrival of the first theme. In the case of Beethoven, the language was common to a stylistic period, i.e., the tonal system, whereas in the case of Guarnieri, not only did the work have to be created but also the system itself. In other words, while Beethoven chose among various harmonic progressions within the tonal vocabulary, Guarnieri had to create both the vocabulary and a particular syntax to connect the sonorities.

Having decided that measure 21 is where the first theme of Guarnieri’s fifth concerto appears, with the second entrance of the piano, I will undertake a detailed examination of the microstructure of the exposition. First, it is necessary to examine all the possible forms in which the five-note motive may appear. It is important to make this inventory because the five-note motive is the basic material of the main themes. Table 2.1 shows all forms (original or prime,
inversion, retrograde, retrograde-inversion, and transposition) of the five-note motive.\(^8\)

In effect, the five-note cell and its variances act in a way similar to the twelve-tone system original set.

**Table 2.1. The forms of the five-note motive**

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<tr>
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<th>E</th>
<th>D#</th>
<th>D</th>
<th>C#</th>
<th>A#</th>
<th>R(_0)</th>
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<td>I(_{11})</td>
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<td>A</td>
<td>RI(_{11})</td>
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</tbody>
</table>

The prime form, P\(_0\), represents the way the motive was first introduced, i.e., E-D#-D-C#-A#. P\(_3\), for example, stands for the prime form of the five-note motive transposed up a minor third; RI\(_6\) stands for the retrograde-inverted form of the motive transposed by a tritone. Figure 2.7 shows the first four measures of the exposition. From now on, the numbers inside circles refer to the types of sonorities discussed in section 1.4. The forms inside brackets refer to unordered presentation of sonorities listed in Table 2.1. For example, P\(_0\) is E,D#-D,C#,A#; [P\(_0\)] would indicate any order of these five notes, e.g., E,A#,D#,C#,D. As one can see in Figure 2.7, everything is derived from the five-note motive. Sometimes the motive appears in its complete form and original ordering. Other times it is unordered (measure 24, [I\(_{10}\)]), incomplete, or has other notes interpolated. The latter type of motivic variation is particularly important in the

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\(^8\) Obviously a 12x12 matrix cannot be used in this case since the series has only five notes. Also, a smaller matrix, 5x5 for example, would not reflect the reality of the work because Guarnieri uses all the twelve pitches of the chromatic scale and not only a permutation of five particular notes.
construction of the first theme—labeled A—because it adds structural variety by the addition of embellishing notes.

Let us examine in detail the two regions in Figure 2.7 indicated with dashed brackets, which illustrate this process of interpolation. In the right hand of measure 24, the sonority starting on the third sixteenth note (D#) and ending on the F at the end of the measure has the same notes of [P₁] (F,E,D#,D,B) but with the addition of one extra note (A#). Figure 2.8a shows the main notes of [P₁] in half notes and the extra note as a stemless quarter note. In the left hand, starting on measure 23, three sonorities can be found: [P₆], R₁₀, I₆. Figures 2.8b, 2.8c, and 2.8d illustrate the relationship between these four sonorities, as forms of the five-note motive.

Figure 2.7. Guarnieri, Concerto No. 5, I, mm.21-24, showing the first four measures of the initial presentation of the first theme (A)

Figure 2.8a. [P₁] in measure 24, right hand

Figure 2.8b. [P₆] in measures 23-24, left hand
Before we continue the microanalysis of the first theme, it is noteworthy to observe that Guarnieri re-introduces the five-note motive very clearly in measure 21. He then gradually alters its intelligibility by overlapping its different forms and by increasing the use of incomplete statements of it that comprise one of the types of sonorities. This characteristic will be even more prominent in the next three measures that are shown in Figure 2.9.

As shown in Figure 2.9, this passage consists of the various types of sonorities. Only one statement of the complete five-note motive occurs but it is unordered and has one note interpolated (measure 26: [I₉] with B as embellishing note). Two other contrapuntal devices are briefly used in this passage. The first one is a voice exchange involving the pitches A♭ and F♭ in measure 25 (indicated with dashed lines in Figure 2.9). The second one is a literal imitation in measure 26, which is indicated with dashed brackets and an arrow in the same figure. Also,
notice the contour similarity between the sonority indicated with $x$ (in measure 25, right hand) and the five-note motive.$^9$

Three more measures of the first theme are shown in Figure 2.10 (measures 28-30). The first vertical sonority that appears in this passage is *Type 2b*, consisting of more than three notes arranged in fourths. The second vertical sonority is a compound of two *Type 1* sonorities: F-Bb-E (right hand) and A-Bb-E (left and right hands). An ostinato—in the lower voice of the left hand, consisting of *Type 4* sonorities—permeates the entire passage and becomes integrated in the five-note motive in the last two measures. The note with an asterisk in P7' should be F to keep the pattern of the five-note motive. However, it seems to me that Guarnieri is using a type of appoggiatura in the background, i.e., right after P7' comes [P7] where the pitch is adjusted to the “correct” value. This procedure is graphically explained in Figure 2.11. [P7] and [I5] have embellishing notes (C and Db respectively) in the same manner used before (see Figure 2.8).

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9 Both motives start on the lowest note, move upwards to the highest note, and descend gradually until reach the second-lowest note. The descending line of both motives is chromatic.
The last five measures of the first theme are shown in Figure 2.12. They consist basically of the interaction of Type 1 (right hand) and Type 4 sonority (left hand); Type 4 is expressed in terms of an ascending chromatic scale. The right hand closes with the five-note motive in the form of $[R_3]$.\(^{10}\)

Figure 2.12. First theme (A) – measures 31-35.

The second thematic group consists of three themes (B₁, B₂, and B₃). The first one (B₁) has eleven different notes and is also derived from the five-note motive, as one can see in Figure 2.13. Two distinctive characteristic of this theme are its short length (two measures) and its

\(^{10}\) The F# in the piano (right hand, last measure) is the same note with which the oboe introduces the second thematic group of the concerto.
rhythmic syncopation. Another interesting aspect of this eleven-note theme is that it is built upon the chromatic scale lacking only the note D, which is not even present in the accompaniment.\footnote{Perhaps Guarnieri was trying to create an almost dodecaphonic theme but this is a hypothesis difficult to prove. However, when this theme appears again in the development (measure 56), Guarnieri adds some grace notes and changes the accompaniment to include the pitch missing from before (D), i.e., he uses all twelve notes of the chromatic scale but several pitches are repeated, which may discourage this hypothesis of dodecaphonism. In passing, the only repetition he uses when the theme is presented for the first time consists of consecutive notes, in the very beginning (two F-sharps), which is a procedure allowed in the dodecaphonic technique.} Noteworthy is also the number of sonorities used in this short space of two measures (see Figure 2.13). Notice that the piano shown in Figure 2.12, measure 35, plays two notes—Bb and F#.

After B$_1$ is presented by the woodwinds, the piano plays a brief passage basically built upon Type 2 sonority (even though Types 1 and 5 sonorities can be found). At this point, the piano begins its dialogue with the orchestra for the first time (mm.37-41) and then, the second theme of the second thematic group (B$_2$) is stated by the trombones, in measure 42 (see Figure 2.13). The first theme of the second thematic group (B$_1$) – measures 35-36.
This theme is entirely built on the pentatonic scale (Gb-Ab-Bb-Db-Eb) and therefore consists of a Type 2b sonority (quartal harmony), since the notes of a pentatonic scale can also be organized in a chain of perfect fourths (Bb-Eb-Ab-Db-Gb). Concomitantly with the presentation of B2 by the trombones, the piano plays an ornamental ostinato built upon major and minor seconds in the right hand, whereas the left hand, besides complementing the rhythmic structure of the ostinato, shows Type I sonority. This type of rhythmic figuration—which appears for the first time as an accompaniment to B1, as one can see in Figure 2.13—in combination with the interval of second will appear subsequently several times, as the following examples demonstrate.

Both major and minor seconds are related to the five-note motive. If we take one form of this motive, for example, G4-F#5-F5-E5-C#5, one can see that the central portion (F#5-F5-E5) is built upon these two intervals.

This characteristic seems to reveal some connections with the music of Bartók (as one can see in “Out of Doors” or in the “Suite,” for example). Another Bartókian connection would be the use of quartal harmony, which abounds in Guarnieri’s concerto.
This statement of the trombone (Figure 2.14) works as an antecedent or a question that is answered in the next two measures by the orchestra. Figure 2.15 shows a reduction of this answer (consequent) made by oboes and English horn and accompanied by strings, bassoon, contrabassoon, and timpani. Types 2b and 3a sonorities in the violins and viola are extended, i.e., the cycle of fourths is incomplete, but the essence of quartal harmony still remains, and the tertian harmony is enriched with added notes.

A closer examination of these two instances of type extension (see Figure 2.15) shows that in the case of Type 2b’, the first statement in the violins and viola consists of F-Bb-Eb-Db. As one can see, an Ab is needed to complete the chain of fourths and fully express the Type 2b sonority. The missing Ab appears in the second statement that does not have Bb. Thus, the entire measure in the violins and viola section configures the Type 2b sonority, except for the A natural. In the case of Type 3a’ sonority that happens at the end of measure 45, the extension happens in terms of added pitches: A-Db-(Eb)-Gb is a Gb minor with an added Eb, and C-Fb-A-(B) is an A minor with an added B.

In terms of rhythm, the strings plus bassoon, contrabassoon, and timpani use a figuration similar to the one used by the piano in measures 42-43. The violins restate the ornamental seconds (major in this case) that are transformed into a minor triad at the end of measure 45. Viola, cello, contrabass, bassoon, contrabassoon, and timpani complement the rhythmic figuration with sonorities built upon Type 1 sonority. The viola acts as a connection between both rhythmic and harmonic ideas because it plays the same rhythmic figuration of the low instruments and helps the violins build a sonority based on extended quartal harmony, as I mentioned in the previous paragraph. Another interesting aspect one can observe in Figure 2.15
is the hierarchical arrangement of sonorities, i.e., the accompaniment is based on *Types 1 and 2* from lower to higher register and the solo is based on *Type 3* sonority.

**Figure 2.15.** The consequent of B₂ – measures 44-45.

Antecedent and consequent, respectively shown in Figures 2.14 and 2.15, are restated one major second up from measures 46 to 49, and then in measure 50 the third theme (B₃) of the second thematic group is introduced by muted trumpet and the piano (see Figure 2.16). This theme is answered, in measure 52, by a blast of strings and woodwinds consisting of *Types 1* and 2b sonorities. Another statement of B₃ (mm.53-54) is also answered by the same blast, this time a major second up (m.55). In Figure 2.16 one can observe the ornamental seconds played at the beginning of B₃ by the piano (right hand).

**Figure 2.16.** B₃ – measures 50-51.
B₃, as played by the trumpet, can be analyzed as a mixture of Type 2b (E-D-G-B-(G#)-A) with tritones (C#-G, B-F)—except for the G# that can be explained as an incomplete neighbor.¹⁴

The tritone derives from the five-note motive as it was seen in the previous chapter, in Figure 1.1. Therefore, B₃ is also derived from the five-note motive. The piano, besides doubling B₃, plays an accompaniment that consists vertically of the Type 4 sonority, as one can see in Figure 2.17. The right hand upper melodic line of this accompaniment consists of an unordered form of the five-note motive [P₁]¹⁵, and the left hand upper melodic line consists of Type 2b sonority. Notice the background leading tone resolution of Db (left hand, m.50) to D (right hand, m.51), which are the only two pitches that do not belong to Type 4.

The last occurrence of B₃ followed by the strings and woodwinds blast (measures 53-54) marks the end of the exposition and the beginning of the development, starting with B₁ played by the piano in measure 56 (Figure 2.18). The orchestral blast and the quasi-cadenza statement of

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¹⁴ The incomplete neighbor has only one stepwise connection with the main tone whereas the regular neighbor has two. Incomplete neighbor decorate either the preceding or the following tone. Edward Aldwell and Carl Schachter, *Harmony and Voice Leading* (New York: Harcourt Brace Jovanovich, 1989), 316.

¹⁵ See Table 2.1.
the piano—in the manner used at the beginning of the exposition—justify the choice of measure 56 as the beginning of the development.

![Figure 2.18. The beginning of the development section – measures 56-57.](image)

After the restatement of B₁ by the piano alone, there are transformations of the previous ideas, especially fragments of the five-note motive. These fragments vary from an ostinato built on minor seconds to an entire chromatic phrase arranged in palindrome¹⁶ and interpolated with other intervals. For example, a transformation of the theme B₁ (Figure 2.18, right hand) is shown by the left hand of the piano in measures 61-63 (Figure 2.19) while the right hand plays an ostinato figure built on minor seconds (E-F). Notice, in Figure 2.19, that the melodic line on the left hand starts similarly to B₁ and is gradually transformed. Fragments x, y, and z, originally shows in Figure 2.18, have contour similarity to the ones shown in Figure 2.19 but are modified in terms of pitch content.¹⁷ This contour relationship is enough to reveal aural similarity between both excerpts.

¹⁶ A piece or passage in which the retrograde follows the original (or ‘model’) from which is derived. Brian Newbould: ‘Palindrome’, *Grove Music Online* ed. L. Macy (Accessed 22 December 2003), <http://www.grovemusic.com>

¹⁷ In terms of contour, fragment x is a horizontal line, fragment y is a descending line from left to right, and fragment z has the contour “highest note-lowest note-middle note.” The inversion of fragment z (Figure 2.19) has the contour “lowest note-highest note-middle note.”
Another example of Guarnieri’s developmental technique is shown in Figure 2.20, in which B₁ is even more transformed to achieve a greater degree of similarity with the five-note motive (see slur). Observe the internal symmetry of this four-bar phrase essentially built upon minor seconds. This melodic line, introduced by the violins in measure 72, is repeated with slight variations in the pitch content by the woodwinds (piccolo, flutes, oboes, and clarinets) in measure 76 and by the strings again in measure 80. Figure 2.20 shows this passage as it is played by the violins in measures 72-75. The reduction on the bottom staff clarifies the pitch relations of the melodic line consisting of a palindrome. In this reductive diagram, the black note heads represent the interpolations added in the melody to create variety.
In measure 82 the tempo is reduced to *poco meno*, and the piano plays very softly another transformation of B₁ accompanied by flutes playing minor ninths (see Figure 2.21). This quiet atmosphere—foreshadowing the one that is going to be heard in the second movement—is abruptly broken in measure 86 by oboes, clarinets, English horn, bassoons, contrabassoon, the brass section, timpani, cellos and basses playing a short motive. This motive is very similar to the main motive of the first movement of Beethoven’s fifth symphony (three repeated notes, here followed by a descending minor third, rather than major third – m.87). In addition this motive will become an important rhythmic element in the third movement. Figure 2.21 shows the piano restatement of B₁ followed by this “Beethoven motive.” Notice that, as in Figure 2.21, I added a reduction line in order to illustrate better the pitch contour of the melodic line played by the right hand of the piano.

![Figure 2.21. Poco meno and the “Beethoven motive” – measures 82-87.](image)

In measure 88 the tempo is reduced to *poco meno* again, and the unaccompanied piano restates the previous melodic line with variations in register and added embellishing notes (see Figure 2.22). In Figure 2.22 I added the pitch letters on the top because of the excessive number
of ledger lines. The pitches within brackets will be changed in the retrogradation process that will occur later in the piece (see Figure 2.28). This passage is restated by oboe solo (see Figure 2.23) accompanied by the harp playing the Type 1 sonority, clarinets playing a perfect fourth that resolves in a major third, and flutes playing the same accompaniment previously used by the piano. Within this quiet atmosphere (dynamics from pp to p), the piano plays fragments of the five-note motive (see Figure 2.24)\(^{18}\) in octaves accompanied by first and second violins playing the Type 5 sonority with an added tritone.

Figure 2.22. Piano excerpt from the development that will be retrograded in the recapitulation – mm.87-92 (compare with Figure 2.28)

Figure 2.23. Oboe excerpt from the development (mm.92-96) that will be retrograded in the recapitulation (compare with Figure 2.27)

\(^{18}\) I did not notate measure 99 as it is in the original manuscript because the rhythmic values given there seem to be in error. Guarnieri notated it as \(\ldots \cdot \ldots \cdot \ldots \), which produces one extra quarter note. I used the retrograde version of this passage (m.156) as a reference to recreate the measure because even the version for two pianos is not notated correctly. Listening to a recording conducted by the composer, furthermore, one can observe that measure 99 seems to be reduced to 5/4.
In measure 100, the tempo changes again to *tempo primo*, and the “Beethoven motive” is restated by brass and woodwinds in *ff*, breaking the tranquility of the previous passage. Then, from measures 102 to 106, cello and English horn play complete and incomplete forms of the five-note motive accompanied by the piano with rhythmic figurations mostly based on seconds in the right hand, and consisting of *Type 1* and *Type 2* sonorities on the left hand. After that, the “Beethoven motive” is restated one more time leading to a climax that indicates the end of the development and the beginning of the retransitional section (preparing the recapitulation). The retransition starts with the piano playing an orchestra reduction of the very opening event of the concerto. In the introduction, after this opening event, the piano played a quasi-cadenza passage leading to a three-voice canon performed by the brass section. This time, instead of a piano passage, the three-voice canon, now performed by the double-reeds (oboe, English horn, and bassoon), is preceded by a short imitative section—based on the five-note motive—performed by the strings that concludes with a chord built upon *Type 1* sonority. The violins also create a background for the canon, as in the introduction, but now, only with a trill (B-C).
The recapitulation begins (in measure 127) differently from the exposition (shown in Figure 2.7), with the restatement of the first theme by the piano, accompanied by additional instruments. Besides the addition of strings and winds, Guarnieri uses a contrapuntal device called invertible counterpoint that consists of switching the register of the voices, i.e., the higher voice becomes lower and vice-versa. In this case, the original right hand of the piano moves to the left hand, and is transposed two octaves down; the original left hand moves to the violoncello and is performed in pizzicato in its original register. For the right hand of the piano, Guarnieri creates a new melodic line based on the five-note motive. Interventions of the other instruments are also based on the five-note motive. Figure 2.25 shows the first four measures of the recapitulation. Since the sonorities presented in the exposition (Figure 2.7) reappear in the piano left hand and in the cello, I indicate only the new relations found in the piano right hand and in the winds. $R_7'$ (second frame in the piano right hand) indicates that one note does not fit the five-note motive pattern (see Table 2.1); this note (E) is circled. The flutes in the second half of measure 129 have an interrupted five-note motive (A-G#-G-…).
From measure 137 to 141 the piano alone starts playing the same material of the exposition corresponding to measures 31 to 35. A detailed analysis of these measures was shown in Figure 2.12. In measure 141, the theme B₁ is restated in a different orchestration but keeps the same melodic line and the same harmonic background. Flutes, oboes, and English horn play the theme while the strings play the accompaniment (B₁ is shown in Figure 2.13). After B₁ is restated, the same piano passage that in the exposition connects B₁ with B₂ is restated (with some rhythmic variations). However, neither B₂ nor B₃ reappear in the recapitulation even though a textural design similar to the one that appears between measures 44 and 45 (see Figure 2.15) appears twice in measures 148 to 152.

![Figure 2.26. Piano excerpt (mm.155-159) from the recapitulation that is the retrograde of mm.96-100 (compare with Figure 2.24)](image)

After that, a suspended cymbal roll (three measures long) leads to a poco meno section that consists of retrograde restatements of previous materials of the development with some embellishment added: the piano part from measures 155 to 159 (Figure 2.26) is the retrograde of measures 96 to 100 (Figure 2.24); the oboe from measures 159 to 163 (Figure 2.27) is the
retrograde of measures 92 to 96 (Figure 2.23); and the piano from measures 163 to 168 (Figure 2.28) is the retrograde of measures 87 to 92 (Figure 2.22). The diagram in Figure 2.29 summarizes these retrograde relationships at the end of the recapitulation.

Figure 2.27. Oboe excerpt (mm.159-163) from the recapitulation that is the retrograde of mm.92-96 (compare with Figure 2.23)

Figure 2.28. Piano excerpt (mm.163-168) from the recapitulation that is the retrograde of mm.87-92 (compare with Figure 2.22)

Figure 2.29. Retrograde relationships at the end of the recapitulation.
Figure 2.28 adds the pitch letters on the top because of the excessive number of ledger lines. The pitches within brackets were changed in the retrogradation process, and the pitch within crotchet is an addition. The passages shown in Figures 2.22 and 2.28 are the ones with several deviations compared with the others.

Table 2.2. Summary of the formal design of the first movement

<table>
<thead>
<tr>
<th>Section</th>
<th>mm.</th>
<th>Comments</th>
</tr>
</thead>
<tbody>
<tr>
<td>Intro.</td>
<td>1—4</td>
<td>Orchestral <em>tutti</em></td>
</tr>
<tr>
<td></td>
<td>5</td>
<td>Piano: Free cadenza-like</td>
</tr>
<tr>
<td></td>
<td>6—20</td>
<td>Brass Canon</td>
</tr>
<tr>
<td>A</td>
<td>21—34</td>
<td>First group: First theme (piano) - A</td>
</tr>
<tr>
<td>B</td>
<td>35—36</td>
<td>Second group: first theme B₁ (English horn)</td>
</tr>
<tr>
<td></td>
<td>42—49</td>
<td>Second group: second theme B₂ (trombone)</td>
</tr>
<tr>
<td></td>
<td>50—51</td>
<td>Second group: third theme B₃ (piano + trumpet)</td>
</tr>
<tr>
<td>DEV.</td>
<td>56—81</td>
<td>Developing A and B₁</td>
</tr>
<tr>
<td></td>
<td>82—100</td>
<td>B₁ deeply transformed</td>
</tr>
<tr>
<td></td>
<td>101—110</td>
<td>Developing A</td>
</tr>
<tr>
<td>Retrans.</td>
<td>111—126</td>
<td>Based on the introduction</td>
</tr>
<tr>
<td>A</td>
<td>127—140</td>
<td>First group: first theme</td>
</tr>
<tr>
<td>B</td>
<td>141—142</td>
<td>Second group: first theme</td>
</tr>
<tr>
<td></td>
<td>143—152</td>
<td>Material based on the accompaniment used for theme B₂ (mm. 42—49)</td>
</tr>
<tr>
<td></td>
<td>152—154</td>
<td>Suspended Cymbal connector</td>
</tr>
<tr>
<td></td>
<td>155—168</td>
<td>Retrograde of 87—100</td>
</tr>
<tr>
<td>Coda</td>
<td>173—190</td>
<td>Canon + sustained chord.</td>
</tr>
</tbody>
</table>

The piano arpeggio in measure 168 leads to an orchestral blast consisting of *Types 1* and 2 sonorities. After that the bassoons play a four-measure staccato passage (also built on *Types 1* and 2) accompanied by another suspended cymbal roll. The cymbal continues in pianissimo while violins and violas (*con sordino*) start a canonic passage built on the five-note motive, similar to the one played in the opening by the brass section. The movement connects with the
next one by means of a chord consisting of Type 2 sonority (violas and second violins) and a tritone (first violins). Over this string background, the harp plays a compound minor third ($E_b$-$G_b$), and the bassoons restate a compact form of staccato passage played before. Table 2.2 summarizes the entire formal design of the first movement.

### 2.3 The Improvisational Factor

In this section I will examine the connection between the title of this movement—*Improvisando*, which means “improvising”—and the actual use of improvisation. The idea of improvisation is related not only to the cadenza-like sections but also to the rhapsodic character of the movement as a whole. In the very beginning of the first movement, in measure 5, the composer indicates that the passage is to be played *ad libitum*. There is also an indication of accelerando for this passage. The piano plays several passages alone in this movement, but the same type of freedom is not indicated again. However, even though the solo passages have strict indication of musical parameters, they still have the flavor of cadenzas, which are sections traditionally connected with the ideas of freedom and improvisation. Figure 2.30 shows that the piano plays alone 23% of the time of the first movement. This percentage is normal when compared to the piano concertos by Beethoven. For example, in Beethoven’s first piano concerto the piano plays alone 21.8% of the time; in the second and fifth piano concertos these numbers are 35% and 10.18% respectively. It is noteworthy to mention that in Beethoven’s fifth concerto (like in Guarnieri’s fifth concerto) there is no cadenza close to the end, rather the solos are spread throughout the piece.

In Guarnieri’s concerto, the passages that could be associated with the idea of improvisation are found in the piano part in measures 5, 82-84, 88-91, 97-100, and 156-168. However, the only passage in which the composer requests some degree of freedom is the one
that happens in measure 5, as I have mentioned before. In conclusion, the idea of improvisation in this piece is a metaphor since there are no passages in which the realization is left to the discretion of the performer. Other passages with similar degrees of quasi-freedom are found in the second movement, which is the subject of study of the next chapter.

Figure 2.30. Textural distribution in the first movement of Guarnieri’s concerto.
CHAPTER 3. SECOND MOVEMENT: “SIDERAL”

3.1 General Considerations

In this chapter, I will discuss form, harmony, and counterpoint of the second movement of Guarnieri’s fifth piano concerto. These three aspects will be analyzed concurrently in the next section, in the same manner I did for the previous movement. As I mentioned in Chapter 1 (page 98, first line), this movement was written before the first movement. About this movement Guarnieri wrote:

The second movement, which is monothematic, is constructed with a formal plan of exposition-development-re-exposition. What becomes important is the search for an atmosphere compatible with the designation of Sideral. The theme, which in the first movement had an energetic character, at times violent, now becomes calm, contemplative, involved. It is noted that in the middle of this movement the calm and contemplative character is transformed, becoming aggressive. All happens as if a dark cloud came over quickly, and then disappeared.1

3.2 Formal Design

The second movement, according to Guarnieri’s own words, is built upon a single theme, which pervades the entire movement. He also mentions two other characteristics: (1) the formal plan, which consists of exposition, development, and re-exposition, and (2) the division of the movement into three parts: A-calm, B-aggressive, A-calm. As it happened in the first movement, the formal demarcations do not depend on tonal contrast, but rather on contrast of mood.

Section A starts in measure 191 with the violins sustaining a long sound in pianissimo. In measure 195, the right hand of the piano plays the theme of the movement, which is derived

1 Marion Verhaalen, Camargo Guarnieri: Expressões de uma Vida. Trans. by Vera Sílvia Camargo Guarnieri. (São Paulo: Editora da Universidade de São Paulo/ Imprensa Oficial, 2001), 232. Dr. Verhaalen sent me by e-mail her translation of the passage. According to her, the original sources of this passage are the program notes of the first performance, which was given on 17 May 1970.
from the five-note motive introduced in the first movement (see Figure 1.1), whereas the left hand plays arpeggiated quartal chords (*Type 2a* sonority), in which the three-note figures descend in an octatonic scale pattern.\(^2\) Observe in Figure 3.1 that the theme begins with the five-note motive and then gradually dissolves into a *Type 4* sonority (chromatic motion) with embellishing notes.\(^3\)

![Figure 3.1. Guarnieri, Concerto No. 5, II, mm.195-199, the theme of the second movement](image)

In measure 199 a subsidiary motive is introduced. This motive, which will be present in the entire movement, consists of diatonic quartal chords\(^4\) with the upper voices doubled a minor second lower. Thus, this motive is somewhat derived from sonorities *Types 2* and *4*, which are found in the second half of the theme (mm.197-199). Figure 3.2 shows an example of diatonic quartal chords built on the Phrygian mode, and the types of sonorities generated with this process. Figure 3.3 shows how the subsidiary motive appears in measures 199-200 (orchestral reduction and piano).

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\(^2\) The figures descend in an alternation of half and whole step. The complete descending octatonic scale would be Db-C-Bb-A-G-F#-Eb. Guarnieri follows the pattern only until G, which is the next arpeggio (m.199, show in Figure 3.3). However, this arpeggio is not built on perfect fourths like the previous ones.

\(^3\) The embellishing notes are: (1) the grace note B\(_4\) in measure 196, (2) F\(_4\) in measure 197. Notice also that there are two chromatic lines because E\(b_5\) is missing.

\(^4\) Chords consisting of juxtaposed perfect fourths in which all the notes belong to a diatonic scale. In Figure 3.2 the diatonic scale used is the Phrygian mode.
Figure 3.2. Types of sonorities created with diatonic quartal chords on the Phrygian mode

Observe that the piano answers the subsidiary motive with a short motive built on Type 4 sonority (A,Cb, Bb). This dialogue between the piano (playing basically types of sonorities 1, 2a, and 4) and the orchestra (playing the subsidiary motive) continues until the end of section A in measure 221. Types 3 and 5 sonorities are also employed in section A. Bassoons and flutes play the Type 3a sonority in measure 205 (Figure 3.4), and the piano plays a variation of Type 5 sonority in measure 209 (while the left hand plays the Type 4 sonority—see Figure 3.5). This variation consists of substituting the major third (Ab-C) by a minor third (enharmonically, Ab-B), i.e., instead of Ab-D-G-C (original Type 5), Guarnieri used Ab-D-G-B (the third note of the tetrad is the whole note). It can also be explained as a combination of Types 1 and 3b sonorities. In Figure 3.4 beams are used to help with the visualization of the sonorities.
Close to the end of section A, there is a canonic dialogue between English horn and oboe. This dialogue consists of the alternation of a three-note motive of which the last note in each voice moves in opposite directions. Figure 3.6 shows this canonic dialogue (the last notes of each motive are beamed together for visualization purposes only). Notice that in its last appearance the motive is shortened because it reaches the desired pitch earlier (G). The canon is basically accompanied by piano and bassoon that doubles the piano chromatic line in the bass. Figure 3.7a shows the canon accompaniment. A quartal chord played by the harp appears briefly only in measure 216 and is not shown in Figure 3.7a. Figure 3.7b shows a reduction of the accompaniment disregarding rhythm, octave displacements, and repetitions. From this reduction one can clearly see that this accompaniment consists of three layers: (1) the melodic line of the
subsidiary motive arranged in planing (parallel chords beamed), (2) a Type 4 sonority ostinato (stemless quarter notes), and (3) a chromatic descending bass line, which is a Type 4 sonority.

Guarnieri describes section A as calm and section B as aggressive. I would also add to Section B a character of agitation. Basically, this section consists of the alternation of these two moods, which also coincides roughly with textural alternation. Figure 3.8 shows an approximate
textural plan for section B (mm.222-262). In the graph, the full textural regions have aggressive character whereas the empty regions can be associated with agitation. The aggressive character is achieved by the use of dry and *marcato* articulations, louder dynamics, percussive sounds (timpani and hand cymbals), and a more full texture. The agitated character is achieved by the use of fast notes and lighter orchestration. The theme of the movement (shown in Figure 3.1) appears only in the agitated passages. The graph shown in Figure 3.8 is inspired by the graph time versus loudness of the audio curve of section B (shown in Figure 3.9).\(^5\)

![Figure 3.8. Textural plan of section B](image1)

![Figure 3.9. Audio form of section B](image2)

As a consequence of the textural design, section B can be divided into five parts: B₁ (mm.222-229), B₂ (mm.230-234), B₃ (mm.235-236), B₄ (mm.237-245), and B₅ (mm. 246-262). B₁ begins in measure 222 with a homophonic passage played by brass and woodwinds followed by a long sustained note played by flutes, oboe, English horn, and trumpets, and attacks of

\(^5\) This graph was produced using the softwares Cool Edit version 96, by Syntrillium Software Corporation, and Corel Photo Paint version 8.0, by Corel Corporation.
strings, brass, and timpani. Figure 3.10a shows the first four measures of B₁. The sonorities within rectangles, although not belonging to any of the pre-established five types, are important because they close the B section. They are also equivalent with each other, considering the principles introduced in Chapter 1 (section 1.4). B₁ (mm. 222-229) closes with these same sonorities in retrograde motion (see Figure 3.10b).

Figure 3.10a. B₁ (mm.222-225)

B₂ starts with a brief silence in measure 230 and has four layers. The upper layer consists of the theme played by the English horn one octave down of the original. The middle layer consists of the harp playing a Type 4 sonority, and the piano playing a combination of Type 2a and Type 4 sonorities (perfect fourth leaps a compound minor second apart descending

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If one disregards octave displacements, both sonorities include a minor second, a minor third, and a major third. Since the interval content is the same for both sonorities, they are equivalent, i.e., they can be related through transposition and/or inversion (this is valid only because the sonority is a trichord; it is possible to find sonorities with four or more notes that have the same interval content and are not related through transpositional and/or inversionsal operations, e.g.: C-C#-D#G and C-C#-E-F#). Notice that I am considering G₂ as passing tone.
chromatically). The lowest layer consists of the viola playing Type 4 sonority in sextuplets, which confers the character of intense activity to $B_2$. Figure 3.11 shows the first three measures of $B_2$. 

Figure 3.10b. $B_1$ (mm.226-229)

Figure 3.11. $B_2$ (mm.230-232)
B₃ (mm.235-236) is short and works just as a contrasting link between B₂ and B₄. It involves parallel chords (planing) based on the subsidiary motive introduced in measure 199 (Figure 3.3). Figure 3.12 shows an orchestral reduction of B₃. Observe that only the upper melodic line of the subsidiary motive is used here (C#-D#-E). The harmonic content of these chords is completely different from the one on their original appearance because here they are produced by the juxtaposition of the motive melodic line at several transpositional levels. These chords can also be analyzed as Type 1 (Bb-E-A) and Type 3b (E-A-C#) sonorities plus a perfect fifth (associated of Type 2a sonority).

Figure 3.12. B₃

B₂ and B₄ are very similar, i.e., both have the theme of the movement (shown in Figure 3.1) and the agitated character. However, the orchestration is quite different, and the length of B₄ is twice the length of B₂. In B₄, the flute plays the theme a fifth above the original, the harp and strings play ostinato patterns, and the piano, for the first time, plays variations of the subsidiary motive. The first three measures of B₄ are shown in Figure 3.13.
B₄, like B₂, can be explained as a three-layer texture. The first layer consists of the theme played by the flute. The second layer consists of ostinato patterns played by the harp in glissando (observe that the harp pedaling, shown in measure 237, produces an A# minor triad with minor seventh, therefore associated with Type 3a sonority) and by the strings playing the A pitch in four octaves with three different colors: first violins play harmonics, second violins employ bariolage⁷ to produce the agitated character, and violas play pizzicato. The third layer is based on the subsidiary motive played by the piano: the left hand plays diatonic quartal chords

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⁷ In the playing of bowed stringed instruments such as the violin, an effect produced by playing in rapid alternation on two strings, one open and the other stopped, with a resulting contrast in tone color. The pitches played on the two strings may be the same (producing a kind of tremolo). Don Michael Randel, ed., *The New Harvard Dictionary of Music* (Cambridge, MA: The Belknap Press of Harvard University Press, 1986), 79.
and the right hand plays notes mostly a minor second lower than the upper note of the quartal chords. The material of the left hand belongs entirely to the C diatonic collection and the material of the right hand belongs to the F# natural pentatonic (F#,G#,A#,C#,D#), which is associated with quartal harmony (Type 2 sonority). This is the first time that the theme of the movement is played simultaneously with the subsidiary motive.

B₅ can be divided into two halves. The first half (eight measures, mm.246-253) is entirely built on Types 1 and 2 sonorities. It begins with attacks of the orchestra (low strings, low double reeds, and timpani) consisting of leaps of perfect fourths dialoging with Types 1 and 2 sonorities freely played by the piano. Figure 3.14a shows the first two measures of the first half of B₅. The second half of B₅ (eight measures, mm.254-262) begins with the strings playing the

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8 C diatonic collection includes all the scales generated with the notes C,D,E,F,G,A,B. I use the term collection instead of scale because a scale is associated with some type of center, and here there is no clear centricity, i.e., the composer uses the notes pandiatonically.
same motive used at the beginning of B₁ (see Figure 3.10, m.222) followed by brass and woodwind attacks, and ends with a pointillistic texture employing the same sonority associated with this motive, i.e., a sonority containing minor second, minor third, and major third.⁹ Figure 3.14b shows the first two measures and the last four measures of the second half of B₅.

Figure 3.14b. Second half of B₅ (mm.254-255 and 259-262)

After reading Guarnieri’s own words about this movement in the beginning of this chapter, one expects that some kind of thematic development will occur in section B. However, in the two times the theme appears (mm.230-234, 237-245) it contains the original material, i.e., the theme is not developed. The idea of development is not so obvious as it should be because it happens around the theme and not on the theme itself. The theme is the central figure of the movement, and it is surrounded by several other ideas, three that I consider important: (1) the

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⁹ In mm. 259-260 the three lowest notes of the brass are Db-Bb-D and C-B-Eb. The interval content of both trichords, disregarding octave displacement, is m2-m3-M3. The same is valid for the melodic sonority played by the woodwinds in mm.260-262.
quartal harmony accompaniment that appears along with the theme in its first appearance in measure 195, (2) the subsidiary motive that consists of a melodic fragment accompanied by diatonic quartal chords (m.199), and (3) the sonority introduced in the beginning of section B (m.222). These three ideas are derived from the five-note motive because its interval content can be found in them.\textsuperscript{10} Because these three ideas develop around the theme, the aural result is relative development. Metaphorically speaking, when the satellites change, even if the planet is kept intact, the system (planet plus satellites) changes as a whole. The development of these elements was described previously in the analysis of the five parts of section B.

The re-exposition begins in measure 263 with the same sustained sound played by the violins at the beginning of the movement. The piano plays the theme again in measure 267. Measures 263 to 277 of the re-exposition are very similar to measures 191 to 205 of the exposition. The differentiation starts in measure 278 when the piano plays a passage derived from the piano accompaniment of the Oboe-English horn canon in the exposition (see Figure 3.7). This passage leads to another presentation of the theme by oboe and violin (starting in measure 284, Figure 3.15), which is accompanied by the piano, the harp, and the viola (the harmonic of harp produces the same pitch of the viola). This accompaniment consists mostly of ostinato figurations, except for the upper voice of the piano, which is a free countermelody built on the types of sonorities. Figure 3.15 shows an orchestral reduction of the first measures of this passage, which ends in measure 294. Then, there is a pointillistic passage entirely built on the \textit{Type 1} sonority that leads to the coda of the movement.

\textsuperscript{10} The five-note motive contains 3 minor seconds, 2 major seconds, 2 minor thirds, one perfect fourth, and one tritone. The accompaniment of the theme is built on fourths. The melodic fragment of the subsidiary motive (C#-D#-E) contains one major second, one minor second, and one minor third. The sonority introduced at the beginning of section B (Ab-F-A) contains one minor third, one major third, and one minor second.
Figure 3.15. The theme played by Oboe and Violin in the re-exposition (mm.283-287)

The piano has the leading role in the coda, which is the slowest part of the movement (quarter note equals 50). The French horn doubles the piano’s left hand, and the flute and the vibraphone make short punctuations to reinforce the piano. The material of the piano part consists of a melodic line inspired by the theme of the movement accompanied by Type 4 chords on the left hand (this sonority is used from measures 302-313 exclusively on the left hand, and from measure 316 to the end is used in combination with a sustained note in the right hand). In measure 311 the five-note motive is played by the piano, and it leads to a sequence of ascending fast notes built on the Type 4 sonority. These fast notes gradually increase their speed by shortening the rhythmic values on an arithmetic ratio 4:5:6:7, which is a way of expressing Type 4 rhythmically. The goal of each sequence fragment also increases by half step (these notes are doubled by the vibraphone). Close to the end the clarinet plays a slow melodic fragment built on the Type 1 sonority and the strings plays the last chord built on Type 1, 2a, and 5 sonorities.

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11 The last note of each sequential unit forms a semitonally ascending line.
Figure 3.16 shows the piano from measures 311 to 320. Table 3.1 summarizes the formal design of the second movement.

Table 3.1. Summary of the formal design of the second movement

<table>
<thead>
<tr>
<th>Section</th>
<th>mm.</th>
</tr>
</thead>
<tbody>
<tr>
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<td>190 — 221</td>
</tr>
<tr>
<td>B1</td>
<td>222 — 229</td>
</tr>
<tr>
<td>B2</td>
<td>230 — 234</td>
</tr>
<tr>
<td>B3</td>
<td>235 — 236</td>
</tr>
<tr>
<td>B4</td>
<td>237 — 245</td>
</tr>
<tr>
<td>B5</td>
<td>246 — 262</td>
</tr>
<tr>
<td>A’</td>
<td>263 — 301</td>
</tr>
<tr>
<td>coda</td>
<td>302 — 326</td>
</tr>
</tbody>
</table>
CHAPTER 4. THIRD MOVEMENT: “JOCOSO”

4.1 General Considerations

The last movement of Guarnieri’s Concerto No. 5 para Piano e Orquestra is the subject of this chapter. Despite the movement’s title, *jocoso*, which means merry and humorous, this movement is as dense and angular as the previous ones. However, in this finale, Guarnieri uses for the first time clear nationalistic elements, including references to a Brazilian popular composition. Complete chromatic aggregates are also used here for the first time, even though there is no application of the serial technique.¹ The use of nationalistic elements concurrently with twelve-note statements is interesting because these are two contradictory forces for Guarnieri, as I mentioned in the first chapter. Form, harmony, and counterpoint will be the main analytical issues here, with the same approach employed in the previous chapters.

4.2 Formal Design

The third movement is in arch form, ABCBA. Sections A and B present clear nationalistic elements. According to Guarnieri², the theme of section A is inspired by *choro*³.

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¹ The use of twelve-tone ideas pre-dating the first twelve tone piece (Schoenberg’s “Piano Suite,” 1923) can be found in several composers such as Strauss (“Also Sprach Zarathustra,” 1895, in the *von der Wissenschaft* section), Ives (“Three-Page Sonata,” 1905), or even—with some stretch—in J.S.Bach (WTC Book II, Prelude XVIII, mm.11-12).


³ Generically *choro* denotes urban instrumental ensemble music, often with one group member as a soloist. Specifically it refers to an ensemble of *chorões* (musician serenaders) that developed in Rio de Janeiro around 1870. The originality of the *choro* of the 1930s and 1940s, for example those of the Velha Guarda band of ‘Pixinguinha’ (Alfredo da Rocha Viana), lies in the typical virtuoso improvisation of instrumental variations and the resulting imaginative
one of the themes of section B has the character of *samba*, and section C is toccata-like. In the paragraphs that follow these thematic materials will be examined in detail.

Section A is characterized by a series of pointillistic figurations, a percussion ostinato, and a main theme. It can be divided formally in three main parts: the first part is an introductory ostinato (mm. 1-12) performed by the percussion section (this ostinato lasts for the entire A section); the second part consists of the main theme played by the clarinet (mm.13-22); the third part consists of the piano restatement and development of this main theme (23-44). The unaccompanied percussion ostinato of the introduction is the first nationalistic element, since folk and popular music of Brazil are strongly recognized by the use of percussion in this manner. Huge ensembles of percussion are largely used during the carnival festivities in Brazil. The instrumentation itself has also Brazilian connections, such as the use of *pandeiro* (tambourine) and *agogô* (cowbell), which are very popular percussion instruments in Brazil. Another nationalistic element to be noticed after measure 13 is the use of percussion as a background ostinato for melodic events (see Figure 4.3), in the same manner it happens in the *escolas de counterpoint*. Gerard Béhague: ‘Choro’, *Grove Music Online* ed. L. Macy (Accessed 12 January 2004), <http://www.grovemusic.com>  

4 An Afro-Brazilian couple-dance and popular musical form. Originally ‘samba’ was a generic term designating, along with *batuque*, the choreography of certain circle-dances imported to America from Angola and the Congo. Mostly in binary metre, samba melodies and accompaniments are highly syncopated: a semiquaver–quaver–semiquaver figure is particularly characteristic. The dance gradually became urbanized by the late 19th century and urban versions differ substantially from rural folk sambas, but both feature responsorial singing between a soloist and chorus who sing alternating stanzas and refrain. Gerard Béhague: ‘Samba’, *Grove Music Online* ed. L. Macy (Accessed 12 January 2004), <http://www.grovemusic.com>  

Figure 4.1 shows the first six measures of the percussion ostinato. Observe that the tambourine has a period of three measures, the snare drum has a period of three measures as well, but it enters one measure after the tambourine. There are two cowbells. The one with the highest pitch has a one-measure period, and the one of the lowest pitch has a two-measure period. The rhythmic figuration of the “Beethoven motive” (see Figure 2.21) is also restated here by tambourine (starting in m.1) and snare drum (starting in m.2). The percussion ostinato ends in the downbeat of measure 44, which is the beginning of a new section.

![Figure 4.1. Opening of the third movement – percussion ostinato](image)

In measure 13 the first theme of the third movement (theme A) is introduced. It consists of a melodic line that, according to Guarnieri, is inspired by *choro*. Figure 4.2 shows the first four measures of “Espinha de Bacalhau,” which is the first choro written by Brazilian clarinetist, Guarnieri.

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6 Literally translated, schools of samba. They are private musical associations that organize the carnival festivities in Brazil. Every year each school has to present a new song called *samba-enredo*. This song is accompanied during the parades by a battery of percussion (approximately 400 musicians) and instruments such as guitars and *cavaquinhos* (a small ukulele-like guitar).

7 The use of *choro* in Guarnieri’s early pieces was an influence of Villa-Lobos, who always used the word in the plural—*choros*. Later, Guarnieri adopted sometimes the term to replace the word “concerto,” such as in the “Choro para Violino e Orquestra (1951)” or in the “Choro para Clarineta e Orquestra (1956).” Here, however, he is referring to the influence of this genre of popular music in the character of the melodic line shown in Figure 4.3.
composer, and conductor Severino Araújo. It is a very popular *choro* in Brazil composed in 1936 and recorded many times by several ensembles of choro. Notice the contour similarity between the beginning of the third movement of Guarnieri’s fifth concerto (shown in Figure 4.3) and the beginning of “Espinha de Bacalhau.” This similarity goes beyond a simple contour line though, since the pitch material of Guarnieri’s five-note motive introduced in the first movement can be found in the second measure of “Espinha de Bacalhau.” I believe it is a coincidence, even though the fact that this melody is given to the clarinet (Araújo’s instrument) could characterize a tribute that Guarnieri made to this renowned composer.

![Guarnieri's five-note motive](image)

Figure 4.2. The first four measures of Severino Araújo’s “Espinha de Bacalhau”

![Figure 4.3. Guarnieri, Fifth Piano Concerto, Third movement – theme A, clarinet (mm.13-23)](image)

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8 Severino Araújo was born in the state of Pernambuco (Brazil) in 1917. He studied clarinet with his father (a band conductor) and still conducts the oldest pop orchestra in Brazil, the *Orquestra Tabajara*, which is active since 1934. The literal translation of “Espinha de Bacalhau” is codfish’s spine, which is an oxymoron because this Norwegian fish is sold in Brazil with no spines.

9 Copyright by Edições Euterpe, Ltda., used by permission (see Appendix B).
This melody played by the clarinet is accompanied by melodic fragments played by piccolo, oboe, English horn, and bassoon (the percussion ostinato introduced in the beginning of the movement is also present). Figure 4.3 shows the clarinet’s entire melody. It starts with the five-note motive, and after an incomplete statement of this motive it introduces a sequential pattern (labeled $a_1$, $a_2$, $a_3$, $a_4$, $a_5$, and $a_6$), which can be internally divided into two parts. The first part has no relation with the five-note motive, except for the direction and size of its opening interval (minor seventh), which has some similarity with the first interval of the five-note motive. The second part is built on the Type 4 sonority. The first part of this pattern is shortened until it disappears and the second part is kept intact. Table 4.1 shows the pitch content of both parts. Notes within squares deviate from the pattern, even though the sonorities of $a_1$, $a_2$, and $a_3$ are the same. Notes within grayed squares are juxtaposed. The patterns descend according to the whole-tone scale, as indicated with squares in Figure 4.3 and also in the first column of Table 4.1.

Table 4.1. The clarinet sequence

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<thead>
<tr>
<th></th>
<th>First part</th>
<th>Second part</th>
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<tbody>
<tr>
<td>$a_1$</td>
<td>C# B G C# D</td>
<td>C# C B Bb</td>
</tr>
<tr>
<td>$a_2$</td>
<td>B A D# G B C</td>
<td>B Bb A G#</td>
</tr>
<tr>
<td>$a_3$</td>
<td>A G C# F# A Bb</td>
<td>A G# G F#</td>
</tr>
<tr>
<td>$a_4$</td>
<td>G F# B E G</td>
<td>G F E</td>
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<tr>
<td>$a_5$</td>
<td>F E</td>
<td>E D C C</td>
</tr>
<tr>
<td>$a_6$</td>
<td>D B</td>
<td>B A G#</td>
</tr>
</tbody>
</table>

10 It is easy to see that $a_3$ equals $a_2$ transposed a major second down. The relation between $a_1$ and $a_2$ is more complex. The inversion of $a_1$, excluding the repeated note, is C#-D#-G-E-C. This sonority when transposed by a major third down produces A-B-D#-C-G#, which is the pitch content of $a_2$. Therefore they belong to the same sonority and the deviation is just a variation. Guarnieri repeats the same variation later when the piano plays the theme A (m.26).
As I mentioned, besides the percussion ostinato, some woodwind instruments play simultaneously with the clarinet’s melodic line. Their material consists basically of short figurations. The piccolo doubles all the Type 4 sonorities fragments shown in Figure 4.3.\textsuperscript{11} Consequently, the piccolo fragments also descend following a pattern that belongs to the whole-tone scale (D#-C#- B-A-G-E\textsubscript{b}-B) lacking one note (F). The English horn plays a figuration built on Type 1 sonority (Figure 4.4a) and also includes the sonority played by the bassoon (labeled B.S. in Figure 4.4a).\textsuperscript{12} Each fragment of the English horn figuration is separated by a silence of

\textsuperscript{11} The note A with an asterisk in measure 20 is notated B\textsubscript{b} in the clarinet part, and A natural in the piccolo part (in the orchestral score). In the version for two pianos it appears as A natural. I chose A natural because it agrees with the piccolo doubling.

\textsuperscript{12} The inversion of F-C-C# is F-Bb-A, which equals F#-B-Bb (the bassoon sonority) when transposed a minor second up. It is noteworthy to mention some disagreements between the orchestral and two-piano versions with respect to the first cell of the English horn ostinato.
seven quarter notes. The second fragment is an all-\textit{Type I} sonority, which means that all four possible unordered trichords created with these four notes belong to \textit{Type I} sonority (F#-C-F, F#-C-B, F#-F-B, and C-F-B). The bassoon plays a figuration built on a type of sonority very similar to \textit{Type I}. Its cells are separated one to another by a quarter-note silence. Figure 4.4b shows the bassoon figurations and Figure 4.4c shows how this sonority deviates from \textit{Type I} by the changing of one note (F for G\textsubscript{b}).

In measure 23 the piano reintroduces theme A one octave higher in the right hand whereas the left hand reproduces a combination of English horn and bassoon figurations previously played in measures 13-22 (see Figure 4.5 and compare it with Figures 4.4a and 4.4b). For the first three measures, the melodic line of the piano is the same one played by the clarinet in measures 23-25. After measure 26 the melody is compressed by the elimination of rests but preserves the same notes (compare it with Figure 4.3) and theme A concludes in the downbeat of measure 32. The percussion ostinato (not shown in Figure 4.5) continues and another group of figurations is added consisting of oboe, English horn, bassoon, contrabassoon, viola, violoncello, and string bass. Figure 4.5 shows ten measures of the theme A played by the piano and an orchestral reduction. The orchestral figuration in measure 23 consists of one form of the five-note motive with one interpolated note (circled C).\textsuperscript{13} The same motive appears in measure 28 without the interpolated note. In measure 25 the orchestra plays sonorities entirely built from \textit{Type I} sonority. The sonority in the third quarter note of measure 25 is an all-\textit{Type I} sonority.

\textsuperscript{13} The forms of the five-note motive are shown in Table 2.1 (Chapter 2).
(like the English horn fragment shown in Figure 4.4a). In measure 26, English horn and cello play an arpeggio built on Type 2 sonority.

In measure 32, after the entire re-exposition of theme A, the right hand of the piano continues briefly with the same material (ascending minor seventh plus chromatic descending) and then plays a melodic line that reintroduces the five-note motive (P₅ and P₃) plus Type 1, 3, and 4 sonorities. This melodic line dissolves into a Type 2b sonority phrase that closes section 1

The four-note sonority C-G-Db-Gb produces four unordered trichords: C-G-Db, C-G-Gb, C-Db-Gb, and G-Db-Gb. They all belong to Type 1 sonority.
A, in the downbeat of measure 44. Simultaneously, the left hand of the piano continues with the same patterns (shown in Figure 4.5) as well as percussion, oboe, English horn, bassoon, contrabassoon, viola, cello, and string bass. In measure 35 a sequential pattern played by flute and clarinet is added (the last statement of this pattern, in measure 39, presents some small deviations). Figure 4.6 shows the melodic line played by the right hand of the piano and the sequential patterns played by flute and clarinet from measures 32 to the downbeat of 44.

In measure 44 the percussion ostinato stops and section B begins. According to Guarnieri this section is inspired by samba. The first theme (labeled B₁) played by trumpets and trombones shows some traces of the type of syncopation found in samba (see footnote 4). B₁ consists of the juxtaposition of two major thirds a minor ninth apart (Eb-G in the trombones, E-

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15 The entire phrase uses notes of the collection G-C-Fb-Eb-Ab-Db, which consists of notes arranged in ascending perfect fourths (Type 2 sonority).
Ab in the trumpets). In Figure 4.7, one can see that immediately after B₁ (samba) the composer introduces, for the first time in the piece, a complete twelve-note theme (labeled B₂). This theme is played by flutes (piccolo enters in measure 46 doubling the flutes), oboes, English horn, and clarinets (in mm.45-46), and is accompanied by the entire brass section plus violins and violas playing juxtaposed major thirds. B₂ is then imitated by the piano (in mm.47-48), while harp, violins and violas (both in pizzicato) play a Type 2a sonority fragment (see measure 47). Figure 4.8a shows the internal structure of the twelve-note theme. One can see that it is abundant in Type 1 sonority. Figure 4.8b shows the unordered forms of the five-note motive found within the twelve-note theme: [R1], [I2], and [P0] (Table 2.1 shows the forms of the five-note motive).

Figure 4.7. Section B (mm.44-48) – themes B₁ and B₂

Figure 4.8a. The internal structure of the twelve-note theme B₂
In measure 48, trumpets and trombones play $B_1$ transposed a tritone up. Piccolo, flutes, oboes, English horn, and clarinets play the twelve-note theme ($B_2$) in its retrograde form. As before, the piano imitates the woodwinds statement but this time it omits the first note and repeats one of the notes (last note, B♭). Figure 4.9 shows section B from measures 48 to 52.

In measures 52-53 the brass section plays $B_1$ one more time and, after a short fragment played by flutes, oboe, and clarinets, another theme is introduced in measure 54. This theme,
played by the piano in style *brisé* and labeled B₃, is basically built on *Type 4* sonority, i.e., it consists of a conglomerate of minor seconds (or compound minor seconds), even though other sonorities are present, as one can see in Figure 4.10. The accompaniment essentially made by woodwinds and strings is pointillistic and consists of types of sonority *1, 2a and 4*. Figure 4.10 shows section B from measures 54 to 58.

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Figure 4.10. Section B (mm.54-58) – theme B₃

In measure 59, the orchestra repeats the same figuration of eighth notes shown in measure 58 (but transposed), and the piano, after a short pause, continues to play B₃. Notice in Figure 4.11 that the first four notes of the piano, in measure 59, belong to an all-*Type 1* sonority (a similar sonority is used in the first section: see Figure 4.4a). The same sonority is also found in measure 60, second beat (A,D,E₉,Ab). This continuation of B₃ consists predominantly of

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16 A term used to denote the use of a broken, arpeggiated texture in music for plucked stringed instruments, particularly the lute, keyboard, or viol. David Ledbetter: ‘Style Brisé’, *Grove Music Online* ed. L. Macy (Accessed 10 February 2004), <http://www.grovemusic.com>
major sevenths (notes inside ellipses in Figure 4.11) and perfect fourths (notes inside rectangles in Figure 4.11), which are two intervals derived from the five-note motive (see Figure 1.1). The orchestra’s accompaniment consists basically of Type 5 sonority played by the woodwind section. Figure 4.11 shows four measures of B₃’s continuation.

Figure 4.11. Section B (mm.59-62) – continuation of B₃

Figure 4.12. Section B (mm.67-70) – theme B₄
Figure 4.13. Section B (mm.70-76) – variation of theme B₄ by the piano

B₃ ends in measure 67. From measures 67 to 70, the orchestra introduces another theme for section B. This theme, labeled B₄, is characterized by the extensive use of grace notes.

Figure 4.12 shows B₄ played by the piccolo and accompanied by the harp (which plays an all-Type 1 sonority) and violins in pizzicato (which alternates between Type 5 and all-Type 1 sonorities).¹⁷ B₄ is basically built upon Types 4 and 5 sonorities (disregarding the grace notes).

From measures 70 to 73, the piano plays a variation of B₄ and then restates the beginning of B₃,

¹⁷ In Figure 4.12 the second chord of the violins is better visualized as a Type 5 sonority when inverted. Thus, F#-B-E-Bb inverted around F# becomes F#-C#-G#-D, which is clearly a Type 5 sonority.
transposed a major second up (see measures 73-76 in Figure 4.13 and compare with Figure 4.10). The five types of sonorities appear in the measures shown in Figure 4.13. The block of three juxtaposed major thirds (chord within ellipse), which is B₁’s sonority (see Figure 4.7), is also present in this passage.

Figure 4.14. Section B (mm.76-79) – variation of theme B₄ by oboes and flutes

Figure 4.15. Section B (mm.80-85) – variation of theme B₄ by the piano

In measure 76, flutes and oboes play another variation of B₄ accompanied by violins and violas playing Type 1 sonority in pizzicato (see Figure 4.14). This passage is followed by the piano (measure 80) playing a variation of B₄ in the right hand, without the grace notes, while the
left hand plays arpeggios based on *Type 1* sonority. The lowest notes of these arpeggios yield a melodic line that is doubled by bassoon and harp (the same orchestrational procedure will be used to close section B, as one will see later), simultaneously with a flute trill. Notice that, B₄ is always stated with a slight different content each time. However, except for its last appearance, it maintains its main characteristic, which is the use of grace notes. It seems that the adorned character produced by the grace notes is transferred, in its last appearance, to the flute trill that lasts until measure 84 along with the piano. Figure 4.15 shows the B section from measures 80 to 85.

![Figure 4.15. B section from measures 80 to 85.](image)

From measure 85 to 89 there is another restatement of B₁ by trumpets and trombones. From measures 89 to 100 B₃ is restated two times by the piano: first in triplets (mm.89-43) and then in sixteenth notes (mm.93-100). This increasing of rhythmic activity, which started with eight notes (in measure 54) and then moves to triplets and sixteenth notes, follows the arithmetic progression 2:3:4.¹⁸ This is the same progression found in the pitch content of *Type 4* sonority.

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¹⁸ It is necessary to distinguish between arithmetic and geometric progression. Arithmetic progression exists when a number is changed by addition. Geometric progression
(1:2:3), which abounds in B₃ (see Figure 4.10). Finally, from measures 101 to 104, the piano closes section B with arpeggios of sixteenth notes built on Type 2a and on a variation of Type 5 sonorities. This variation consists of replacing the major seventh by a minor seventh. The piano is accompanied by short attacks of strings, brass, and woodwinds, and by a melodic line that doubles alternately the highest and the lowest notes of the piano arpeggios. This line starts in the flutes and then moves to the clarinets. It is also doubled by the harp. Figure 4.16 shows a detailed analysis of the sonorities within this passage.

In measure 104 the orchestra plays a bridge that connects sections B and C. This bridge begins with violins’ and violas’ upward glissandos simultaneously with descending chromatic lines played by bassoon, contrabassoon, cello, and string bass. Flutes, oboes, clarinets, English horn, and bassoon play descending parallel lines (a tritone apart one to another) based on Type 2 sonority answering the strings’ glissandi, which are repeated in measures 108-109. Figure 4.17 shows the three four measures of the bridge.¹⁹

![Figure 4.17. Bridge between sections B and C (mm.104-108)](image)

exists when a number is changed by multiplication. The geometric progression of the Type 4 sonority (1:2:3) would produce 2:4:6 and not 2:3:4.

¹⁹ In measure 106 of Figure 4.17 the notes with asterisks are indicated as Db and B♭ in the orchestral score. I am using the notes from the two pianos version because they maintain the intervallic pattern of parallel tritones between the lines.
Section C, which is toccata-like according to Guarnieri, begins in measure 110 with figurations built on intervals of minor ninths played by both hands of the piano, also in style *brisé*, as it happened in section B. The lowest note of the right hand and the highest note of the left hand of the piano figurations produce a melodic line that consists of twelve distinct notes successively repeated an octave lower (theme C). This line, which is played by flute and the harp, is not related to the twelve-note motive of section B (theme B$_2$). Moreover, these two twelve-note themes are the central difference between sections B and C since the foreground of both sections is very similar, i.e., the style *brisé* and the increasing rhythmic activity in the piano figurations are clearly present in both sections. Theme C is also doubled by the highest note of perfect major triads played by the violas in tremolo *sul ponticello* and by first bassoon and clarinets. This is the first time in the piece that these antagonist forces—a twelve-note melodic line and major triads—are put side by side. It is even possible to find tonic-dominant relationships among these triads in terms of proximity, but it would not be consistent with the atonal context, which is clearly perceived by the ear. Figure 4.18 shows the first seven measures of section C.
The piano is interrupted in measure 116 by a motive that rhythmically resembles B₁ (see Figure 4.7) but is entirely built on Type 4 sonority. This motive, shown in Figure 4.19, is played alternately by violins, xylophone, trumpets, and trombones. After this motive, the groups of two eight notes of the piano figurations are almost entirely restated in retrograde direction producing the retrograde form of the twelve-note theme C (Table 4.2 has a 12x12 matrix of C). However, there are some variations: 1) the major triads played by violas, first bassoon, and clarinets are spaced more openly; 2) the note A is omitted; 3) There are some differences in the left hand of
the piano (compare measures 114-115 in Figure 4.18 with measures 119-120 in Figure 4.20). In measure 125, brass, violins, and contrabassoon restate a fragment similar to the motive that previously interrupted the piano figurations (mm. 116-119).

Table 4.2. 12x12 matrix of C

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<tr>
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<th>I₀</th>
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<td>G</td>
<td>C</td>
<td>Bb</td>
<td>B</td>
<td>F</td>
<td>F#</td>
<td>C#</td>
<td>E</td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>P₁₁</td>
<td>F</td>
<td>C</td>
<td>B</td>
<td>F#</td>
<td>E</td>
<td>A</td>
<td>G</td>
<td>G#</td>
<td>D</td>
<td>Eb</td>
<td>Bb</td>
<td>C#</td>
<td></td>
<td></td>
<td></td>
</tr>
</tbody>
</table>

Figure 4.21. Section C (mm.127-132)
In measure 127, the piano plays a variation of the previous material. This variation occurs in the rhythm and in the pitch material of the arpeggios. The rhythmic activity increases to triplets, in the same manner it happened with B3. The pitch material of the arpeggios is organized in a way that the melodic line produced by the lowest note of the right hand and the highest note of the left hand is the inversion of the twelve-note theme C, which was introduced in the beginning of the section by the same procedure. There is however the omission of one note (Eb). See the column I₀ in Table 4.2 and compare it with the bassoon line in Figure 4.21. Notice that, according to this table, in measure 131 there should be an Eb right after E. The melodic line here is played by the bassoons and cellos in pizzicato and is accompanied by the harp playing chords built on perfect fifths (Type 2a sonority), in contrast with the tertian harmony played before (mm. 110-124).

![Figure 4.22. Section C (mm.136-141)](image)

In measure 132 another interruption of the piano occurs. It consists of short attacks played by brass, violins, and violas. In measure 136, the piano resumes but with the rhythmic activity increased to sixteenth notes (thus, following the same arithmetic proportion 2:3:4 used in the closing of section B). The arpeggios also change the pitch organization in order to yield a melodic line that is the retrograde of the previous statement (or the retrograde inversion of theme C). In this form of the twelve-note motive the first note (F) is omitted (see Table 4.2). This
omitted note appears as the last note of the piano in left hand (written enharmonically as E#). This last presentation of C is performed only by triangle, snare drum, vibraphone, and piano. The vibraphone plays the melodic line and the piano plays the arpeggios in sixteenth notes. With these four presentations of C Guarnieri presented a twelve-note row in its four forms (P₀, R₀, I₀, and R₁₀).

Figure 4.23. Bridge between sections C and B (mm.141-147)

In measure 141, the same material of the bridge used previously to connect sections B and C is restated (compare with Figure 4.17). This time, the violins’ and violas’ glissandos move downward, the chromatic lines played by the low double reeds and the low strings move upward, and the sonorities of the glissandos are modified (for example, the first chord of the violins and violas in measure 141 is a Type 5 sonority with an added B). This retrograde arrangement indicates that section B will be re-exposed. Indeed, in measure 144 the piano plays a variation of B₁, and piccolo, flutes, oboes, and clarinets answer with an incomplete statement of B₂ (twelve-note motive of section B with the first note E omitted). The piano plays B₁ again and once more the woodwinds answer with the retrograde of B₂. Then, the piano plays B₁ for the last time and after that starts playing B₃, which has the same proportion and similar orchestration to the first time B₃ was played, but it is transposed one half step up. The piano part from
measure 159 to measure 166 is identical to the piano part from measure 59 to 66, with a small difference in meter close to its end (examine again Figures 4.7 to 4.16, which contain the materials of section B). Then, two more measures are added using the same type of figuration but descending abruptly towards the low register and in measure 170 the entire orchestra and the piano starts a bridge leading to the re-exposition of section A. This bridge consists of short attacks of a chord based on the $B_1$ sonority ($E-G^\#-Eb-G$) played by the orchestra whereas the piano plays a sequence built on Types 2a and 1 sonorities that ascends in perfect fifths in the right hand, and an ascending sequence (also in perfect fifths) based on an incomplete statement of the five-note motive in the left hand (Figure 4.24 shows the bridges that connects section B to section A). This incomplete statement consists of extending the chromatic descending line and omitting the minor third (see the five-note motive in Figure 1.1).

![Figure 4.24. Bridge between sections B and A (mm.170-175)](image)

Section A re-starts in measure 176. As I mentioned before, section A was originally divided into three main parts. In its recapitulation only the second and the third parts are used, i.e., the reprise of section A starts with theme A played by the clarinet. The percussion ostinato is also present in the recapitulation of section A. These two parts of A are almost literally recapitulated. The small differences can be found basically in the orchestration of the first part,
which is slightly denser, and in the connection between the parts. The differences in orchestration in the first part are: 1) the clarinet theme is doubled by one flute; 2) contrabassoon, cellos, and string basses double the lowest note of the bassoon; 3) oboe and trumpet double the piccolo (the trumpet doubles only the two first fragments); 4) the cowbell of the percussion ostinato plays a different rhythm; and 5) the piano is present from the very beginning and is used in the higher register as a percussion instrument playing an ostinato of major seconds (used also in the first movement: see Figure 2.14) in the right hand and diatonic thirds belonging to the key of F# major in the rhythm of baião in the left hand, which is another nationalistic association.

The baião is a rhythm of the northeastern part of Brazil that probably appeared in the beginning of the twentieth century and was popularized nationally in the 1940s by accordionist-singer Luiz Gonzaga. Figure 4.25a shows the traditional rhythmic figuration of the baião, as it is played by the zabumba.20 Figure 4.25b shows another conception of the baião, created around the late 1950s or early 1960s, which consists in removing the stroke that occurs on the second beat, producing more syncopation. Guarnieri is using the rhythm shown in Figure 4.25b but omitting the first thin stick upbeat. Figure 4.26 shows four measures of the piano ostinato played in the beginning of the reprise of section A.

![Zabumba](image)

Figure 4.25a. The traditional rhythm of baião

20 The zabumba is a double-headed bass drum popular in the north-eastern states of Brazil. It is played on the top skin with a soft mallet and on the bottom skin with a thin stick. The rhythms shown in Figure 4.25 were transcribed by Larry Crook. Larry Crook, “Brazil: Northeast Area,” in The Garland Encyclopedia of World Music, ed. Dale A Olsen and Daniel E. Sheehy (New York: Publishing Garland, Inc., 1998), V.2, 332.
Figure 4.25b. A more modern baião

Figure 4.26. The piano part in the reprise of section A – mm. 176-179

The first and second parts of A are not overlapped as it happened in the first time. Instead, they are connected with an orchestral outburst rhythmically derived from B₁. The recapitulation of the second part is literally identical, i.e., measures 23 to 43 equal to measures 189-209, including the cowbell part, which resumes to its original rhythmic figuration. Figures 4.3 to 4.6 contain the materials of Section A and should be re-examined.

In measure 210 the re-exposition of A ends and the samba theme (B₁) is restated, as if it another re-exposition of section B were about to occur. However the composer is just closing the movement using previous elements. Trumpets and trombones state B₁ two times and the piano answers not with the twelve-note theme of section B (B₂) but with the twelve-note theme C in its inverted form (The note B♭ is repeated at the end). The woodwinds and the strings answer the piano with a fragment of C and a descending chromatic line. Trumpets and trombones play B₁ transposed a tritone up (as it happened in the first time: see Figures 4.7 and 4.9). The piano answers with the retrograde inversion of C but with the first note (F) misplaced, i.e., put close to the end (the note C is repeated at the end). Then, violins and viola play an all-Type 1 sonority.
and the piano starts playing the coda (in measure 222) that begins with a transformation of the generative idea of the concerto, i.e., the five-note motive introduced in the first movement. This transformation consists of replacing the first interval, which is a major seventh, by an octave. This motive is played with full parallel chords (planing) and is accompanied by string glissandos upwards and ascending chromatic scales played by flute, oboe, English horn, and clarinet. The woodwind section answers with the retrograde inversion of C with the note F put at the end. English horn, clarinets, and bassoon start after piccolo, flutes, and oboe producing a type of echo. Figure 4.27 shows the first six measures of the coda (mm. 222-227).

![Figure 4.27. The coda – mm.222-227](image)

The piano restates the transformation of the five-note motive a major second up and the woodwind answers it with the inversion of C. Then the piano plays a very fast passage built on Types 1 and 2 sonorities, while violins and viola dialogue with piccolo, flutes, oboes, English horn, clarinets, and bassoon using the five-note motive a perfect fifth apart. From measures 237-241 the movement closes with the same opening of the first movement (see Figure 2.1) but this time the piano integrates the orchestra. Table 4.3 summarizes the formal design of the third movement.
Table 4.3. Summary of the formal design of the third movement

<table>
<thead>
<tr>
<th>Section</th>
<th>mm.</th>
<th>Comments</th>
</tr>
</thead>
<tbody>
<tr>
<td>A</td>
<td>1–12</td>
<td>Introduction: Percussion Ostinato</td>
</tr>
<tr>
<td></td>
<td>13–23</td>
<td>Theme A (choro): clarinet</td>
</tr>
<tr>
<td></td>
<td>23–44</td>
<td>Theme A (choro): piano</td>
</tr>
<tr>
<td>B</td>
<td>44–45</td>
<td>$B_1$ (samba) - brass</td>
</tr>
<tr>
<td></td>
<td>45–48</td>
<td>$B_2$ (12-tone) – winds and piano</td>
</tr>
<tr>
<td></td>
<td>48–49</td>
<td>$B_1$ tritone up - brass</td>
</tr>
<tr>
<td></td>
<td>49–52</td>
<td>$B_2$ retrograde – winds and piano</td>
</tr>
<tr>
<td></td>
<td>52–53</td>
<td>$B_1$ octave up - brass</td>
</tr>
<tr>
<td></td>
<td>54–67</td>
<td>$B_3$ (style <em>brisé</em>)- piano (eight notes)</td>
</tr>
<tr>
<td></td>
<td>67–85</td>
<td>$B_4$ (grace notes) – winds and piano</td>
</tr>
<tr>
<td></td>
<td>85–89</td>
<td>$B_1$ expanded - brass</td>
</tr>
<tr>
<td></td>
<td>89–93</td>
<td>$B_3$ – piano (triplets)</td>
</tr>
<tr>
<td></td>
<td>93–100</td>
<td>$B_3$ – piano (sixteenth notes)</td>
</tr>
<tr>
<td></td>
<td>101–104</td>
<td>Closing of section B</td>
</tr>
<tr>
<td></td>
<td>104–110</td>
<td>Bridge between B and C sections (glissandos)</td>
</tr>
<tr>
<td>C</td>
<td>110–116</td>
<td>$C$ (toccata) – flute/harp. Piano (eight notes)</td>
</tr>
<tr>
<td></td>
<td>116–119</td>
<td>Interruption based on $B_1$</td>
</tr>
<tr>
<td></td>
<td>119–124</td>
<td>$C$ retrograde</td>
</tr>
<tr>
<td></td>
<td>125–126</td>
<td>Another interruption based on $B_1$</td>
</tr>
<tr>
<td></td>
<td>127–132</td>
<td>$C$ inverted - bassoon/ cello. Piano (triplets)</td>
</tr>
<tr>
<td></td>
<td>132–135</td>
<td>Another interruption</td>
</tr>
<tr>
<td></td>
<td>136–141</td>
<td>$C$ retrograde inverted– vibraphone. Piano (sixteenth notes)</td>
</tr>
<tr>
<td></td>
<td>141–144</td>
<td>Same material of the bridge (glissandos)</td>
</tr>
<tr>
<td>B</td>
<td>144–145</td>
<td>Piano plays $B_1$</td>
</tr>
<tr>
<td></td>
<td>145–147</td>
<td>Woodwinds play $B_2$</td>
</tr>
<tr>
<td></td>
<td>147–148</td>
<td>Piano plays $B_1$</td>
</tr>
<tr>
<td></td>
<td>149–152</td>
<td>Woodwinds play $B_2$</td>
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<tr>
<td></td>
<td>152–153</td>
<td>Piano plays $B_1$</td>
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<tr>
<td></td>
<td>154–169</td>
<td>Piano plays $B_3$</td>
</tr>
<tr>
<td></td>
<td>170–175</td>
<td>Bridge between B and A sections</td>
</tr>
<tr>
<td>A</td>
<td>176–186</td>
<td>Theme A (choro): clarinet</td>
</tr>
<tr>
<td></td>
<td>187–188</td>
<td>Orchestral interruption based on $B_1$</td>
</tr>
<tr>
<td></td>
<td>189–210</td>
<td>Theme A (choro): piano</td>
</tr>
<tr>
<td>Closing</td>
<td>210–213</td>
<td>$B_1$ – brass</td>
</tr>
<tr>
<td></td>
<td>213–215</td>
<td>$C$ inverted – piano</td>
</tr>
<tr>
<td></td>
<td>216–219</td>
<td>$B_1$ tritone up – brass</td>
</tr>
<tr>
<td></td>
<td>219–221</td>
<td>$C$ retrograde inverted– piano</td>
</tr>
<tr>
<td>Coda</td>
<td>222–225</td>
<td>Five note motive – piano</td>
</tr>
<tr>
<td></td>
<td>225–227</td>
<td>$C$ retrograde inverted – woodwinds</td>
</tr>
<tr>
<td></td>
<td>227–230</td>
<td>Five note motive – piano</td>
</tr>
<tr>
<td></td>
<td>230–232</td>
<td>$C$ – woodwinds</td>
</tr>
<tr>
<td></td>
<td>232–236</td>
<td>Five note motive – woodwinds/string</td>
</tr>
<tr>
<td></td>
<td>237–241</td>
<td>Same opening of the first movement</td>
</tr>
</tbody>
</table>
CHAPTER 5. CONCLUSION

“A composer, prior to being an individual, is a social being dependent on factors like time, race, and environment. Eliminating these factors by snobbism or mere intellectual attitude and introducing in the composer’s work alien stimuli in which he or she does not participate as a human being results in an artificial and hybrid work.”

— Camargo Guarnieri, Depoimento.¹

In the previous chapters, Camargo Guarnieri’s Concerto No. 5 para Piano e Orquestra was analyzed in detail with special emphasis on the formal design (macro-structure) and on the vertical and horizontal sonorities (micro-structure). By its very nature, any analytical procedure consists of decomposing the analyzed work into small parts and defining certain principles of equivalence in order to identify unity and variety.² Thus, this procedure is very useful in terms of classification of elements, and this is an important issue because it creates simple labels for complex structures that can be referred to in a more compact way. The purpose of this final chapter is to recompose the analyzed (literally decomposed) work in order to bring back the piece as a whole. This reassemblage is in fact a process of synthesis, i.e., the parts will be put back together but the experience gained with the analysis provides a new level of knowledge about the piece. This synthesis will be achieved by: 1) situating Guarnieri’s fifth concerto in the context of his works for piano and orchestra, and in the context of the compositional trends of the second half of the twentieth century, 2) summarizing the main characteristics of the piece, such


² For example, in the classification of sonorities proposed for the analysis of this piece, a perfect fourth is equivalent to a perfect fifth. This principle of equivalence is helpful to reduce the amount of sonorities used in the piece, but it also destroys the different nuances between these two intervals.
as its general form and harmonic vocabulary, and 3) providing additional biographical information about Guarnieri.

The works for piano and orchestra written by Guarnieri are: Concerto No. 1 para Piano e Orquestra (1931), Concerto No. 2 para Piano e Orquestra (1946), Variações sobre um Tema Nordestino (1953), Choro para Piano e Orquestra (1956), Concertino para Piano e Orquestra de Câmara (1961), Concerto No. 3 para Piano e Orquestra (1964), Seresta para Piano e Orquestra (1965), Concerto No. 4 para Piano e Orquestra (1968), Concerto No. 5 para Piano e Orquestra (1970), and Concerto No. 6 para Piano, Orquestra de Cordas e Percussão (1987), written when he was eighty years old. The fifth piano concerto, written in the short period of one month in the beginning of 1970, is Guarnieri’s last work for large orchestra and piano. It occupies an important position within Guarnieri’s works because its harmonic language is clearly sytonized with the compositional trends of the second half of the twentieth century, and—at the same time—it reveals nationalistic influences.

The influence of nationalism in the fifth piano concerto is very subtle and appears in the surface only in the third movement with the references to Brazilian popular genres including the allusion to a Brazilian popular choro. However, the nationalism is not intelligible during most of the piece because Guarnieri’s nationalism does not consist of the literal use of folk elements. Guarnieri’s compositional output was the result of intense absorption of Brazilian culture, including literature, poetry, visual arts, folklore, music, and history. As a disciple of Mário de

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3 In electricity, it means to be adjusted with the same frequencies, as a receiver and transmitter. I use the word here as a metaphor. Oxford English Dictionary <http://dictionary.oed.com> (Accessed 3 April 2004).
Andrade⁴, the father of Brazilian modernism, Guarnieri learned how to immerse himself within the complex universe of Brazilian culture and simultaneously build his own personal language. Guarnieri said, “The folk element must be as integrated in the composer’s work as in his/her own sensibility.”⁵ Moreover, the Guarnierian nationalism is, in some ways, expanded towards universalism. He believed that the musician has the responsibility of enriching the universal music, which he defines as the summation of the diverse national musics.⁶

The syntonization with the twentieth century compositional trends appears mostly in the harmonic vocabulary employed in all three movements. The sonorities used abound in tritones and minor seconds, and create a quasi-Webernian sound, which was the goal of several composers worldwide during the same period. For example, Guarnieri uses the Viennese trichord plentifully.⁷ The difference between the post-Webernian composers of the northern hemisphere and Guarnieri is that the latter tried to obtain the Webernian sound by aural experimentation in contrast with the former that conferred a huge part of the task to highly

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⁴ Mário de Andrade (b São Paulo, 9 Oct 1893; d São Paulo, 25 Feb 1945). Brazilian writer and musicologist. He was one of the founders of Brazilian ethnomusicology, and very influential in the assertion of musical nationalism in his country in the 1920s and 1930s. He studied at the São Paulo Conservatory where he later taught. He took an active part in the Semana de Arte Moderna (February 1922) whose basic goal was the reform of Brazilian art from academicism into ‘modernismo’. Soon afterwards he began his lifelong investigations into Brazilian folk and popular music which produced a series of outstanding essays. Norman Fraser and Gerard Béhague: ‘Mário de Andrade’, Grove Music Online ed. L. Macy (Accessed 24 February 2004), <http://www.grovemusic.com>

⁵ Camargo Guarnieri, op.cit., 15.

⁶ Ibid., 15.

deterministic procedures (total serialization) and mathematical operations. Guarnieri fought against the application of deterministic procedures in the field of composition, and this included the fight against Koellreutter and the group *Música Viva*, as discussed in the first chapter. He believed that the application of mechanical procedures without the correspondent development of the ear could create a class of composers able to draw musical symbols with no aural meaning. Furthermore, one will not find in Guarnieri’s music the use of sound mass in the manner of the Polish School, serialism in the manner of Babbitt or the disciples of Messiaen, or chance in the manner of Cage. Even the use of twelve-tone is modest and accomplished without the preoccupation of applying the traditional postulates of the Second Viennese School. The rhythmic vocabulary of this concerto is somehow connected with the works of Stravinsky and especially Bartók. It is well known that both composers were influenced by the folk and popular genres of their own culture. Bartók also influences Guarnieri’s use of quartal harmony.

![Figure 5.1. The five-note motive](image)

Guarnieri’s fifth piano concerto is a cyclic work entirely built on a five-note motive (Figure 5.1). This motive generates a series of sonorities that are used both vertically (chords) and horizontally (melodic lines). An important characteristic of this motive is the intervals created between its salient pitches (first, highest, and last notes). The interval formed between its first and its highest notes is a major seventh (equivalent to a minor second according to principles of classification defined in the first chapter), the interval between its highest and its...
last notes is a perfect fourth (equivalent to a perfect fifth), and the interval between its first and its last notes is a tritone—a Viennese trichord, in fact.

In order to understand and classify Guarnieri’s harmonic vocabulary for this piece, I categorized five types of sonorities based on principles of octave, enharmonic, and inversional equivalence (defined in the first chapter). These types of sonorities are: 1) Type 1, which is also known as the Viennese trichord, consists of a tritone and a perfect fourth, 2) Type 2 is based on quartal harmony, 3) Type 3 is based on tertian harmony, 4) Type 4 is based on chromaticism, and 5) Type 5 consists of a Type 2 trichord plus a tritone. The Webernian sound is caused especially by the use of Type 1 sonority. This sonority can be considered the most important sonority of the piece, because it uses the salient notes of the five-note motive (first, highest, and last pitches).

There are probably some connections between the five-note motive and the *choro* “Espinha de Bacalhau” by Severino Araújo, as indicated in the first pages of the fourth chapter. I believe though that the similarity is coincidental because Guarnieri would have mentioned the quotation. The unintentional similarity is perhaps a result of the nationalistic mind of Guarnieri impregnated with the genuine Brazilian folk and popular culture. Furthermore, as I mentioned in the first chapter, the second movement was the first one to be written, and this movement has no connection with *choro*.

Guarnieri’s fifth piano concerto is in three movements. The formal design is very clearly defined. Even though the piece has an atonal harmonic language, its formal scheme maintains the same level of intelligibility of a tonal work. The first movement is in sonata allegro form, the second one is in ABA form, and the third one is in arch form (ABCBA). The five-note motive is the central idea in all three movements. It is present in the form of melodic line (complete, incomplete, or transformed) or in the form of the vertical sonorities generated from it. The piece
makes references to universal masterpieces (Beethoven’s fifth symphony) and to Brazilian folk and popular genres (*choro, samba, and baião*).

The analysis of this piece was a great experience for me as a composer. It helped me to understand better the mind of this genial master, and also gave me the opportunity of a deeper contact with twentieth-century Brazilian music, especially with Brazilian nationalism. As a nationalistic composer like Guarnieri, I have been motivated by this analysis towards defining and refining my own compositional voice. After having this intimate contact with the compositional mastery of Camargo Guarnieri, I believe that serious composers, theorists, and musicologists (not only in Brazil) must study his music. His music is attractive for many reasons: its well-designed formal structure, its rich harmonic language, its creative use of rhythm, its wonderfully conceived orchestration and textural distribution, and its intelligent and elegant use of folk and popular elements. His compositions are a great source of musical knowledge and beauty, and a wonderful example of balance between reason and intuition.

Guarnieri was a very prolific composer. In his last catalogue, published in 2001 by Flávio Silva, are listed 407 original compositions, 46 arrangements, 1 movie soundtrack, and 81 pieces that the composer disregarded as part of his catalogue, written between 1920 to 1928. Guarnieri has 2 one-act operas (“Pedro Malazarte” and “Um Homem Só”), 7 cantatas, 7 symphonies, 6 concertos for piano and orchestra, 7 sonatas for violin and piano, 3 sonatas for cello and piano, and 3 string quartets. The works for piano include 50 *ponteios*9, 20 *estudos*, and

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9 In her article about Guarnieri’s piano music, Belkiss Carneiro de Mendonça uses Mário de Andrade’s definition of *ponteio*, which is a type of improvised prelude played by guitarists. The word *ponteio* is also associated with the plucking technique of the guitar. Guarnieri’s
8 sonatinas. The works for voice include more than 300 songs, many of them grouped together in the form of a collection.\textsuperscript{10}

Guarnieri’s international recognition includes the first prize of the Philadelphia Free Library Fleisher Music Collection, in 1942, for his “Concerto No. 1 para violino e Orquestra,” and the first prize from the Chamber Music Guild of Washington, DC, in 1944, for his “Quarteto de Cordas No. 2.” National prizes include the first prize in the “Prêmio Luiz Alberto Penteado Rezende,” in São Paulo (Brazil), in 1944, for his “Sinfonia No. 1”; the first prize in the “Prêmio Alexander Levy,” in São Paulo, in 1946, for his “Concerto No. 2 para Piano e Orquestra”; and the first prize in the “Prêmio Carlos Gomes,” in São Paulo, in 1954, for his “Sinfonia No.3.” Samuel Barber was one of the judges in this latter contest. Also, in 1957, Guarnieri’s “Choro para Piano e Orquestra” was awarded the first prize in the “2o. Concurso Latino-Americana”, in Caracas, Venezuela. In 1943, Joseph Schuster and Leonard Bernstein performed his “Sonata for cello and piano No.1” in a concert promoted by the American Composers League, in New York. In 1945, Guarnieri founded chair No. 23 in the “Academia Brasileira de Música.”\textsuperscript{11} Presently, this chair belongs to Laís de Souza Brasil, the same pianist to whom the “Concerto No. 5 para Piano e Orquestra” was dedicated.


\textsuperscript{10} For example, “Poemas da Negra” consists of 12 songs, “Treze Canções de Amor” consists of 13 songs, and “Para Acordar Teu Coração” consists of 8 songs.

\textsuperscript{11} \url{http://www.abmusica.org.br}
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REF.: “ESPINHA DE BACALHAU” – Autoria de Severino Araújo

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January 23, 2004

[Signature]

ALICE MANOIQUE
### APPENDIX C. TYPES OF SONORITIES

<table>
<thead>
<tr>
<th>Type of Sonority</th>
<th>Interval content</th>
<th>Examples</th>
<th>Pitch class prime form equivalent</th>
</tr>
</thead>
</table>
| 1                | Minor second, perfect fourth, and tritone | C-C#-G  
C-F#-B  
C-F-B  
C-G-F# | 016 |
|                  | All Type 1 is a tetrachord containing four Type 1 trichords | C-C#-F#-G# | 0167 |
| 2                | a Three perfect fourths | C-F-Bb  
C-D-G | 027 |
|                  | b More than three perfect fourths | C-D-G-A  
C-F-Bb-G-D | 0257, 02479, … |
| 3                | a Minor triad | C-E-A | 037 |
|                  | b Major triad | C-E-G | 047 |
| 4                | Three or more minor seconds | C-C#-Bb | 012, 0123, 01234,… |
| 5                | A major triad with diminished fifth and major seventh | C-E-F#-B | 0157 |
VITA

Liduino José Pitombeira de Oliveira was born in Russas, Ceará, Brazil, in October 1962. He is a candidate for the degree of Doctor of Philosophy at Louisiana State University, where he studies music composition with Boyd Professor Dinos Constantinides. He received his Bachelor of Music degree from Universidade Estadual do Ceará (Brazil), in the Spring of 1996, and his Master of Music degree from Louisiana State University, in the Summer of 2000. He also studied composition with José Alberto Kaplan, Vanda Ribeiro Costa, and Tarcísio José de Lima. Performances of his works have been given by The Berlin Philharmonic Wind Quintet, Louisiana Sinfonietta, LSU Symphony Orchestra, Poznan Philharmonic Orchestra (Poland), Red Stick Saxophone Quartet, New York University New Music Trio, and Orquestra Sinfônica do Recife (Brazil). He received important national and international awards, such as the first prize in the 1998 Camargo Guarnieri Composition Contest, in Brazil, for his composition “Suite Guarnieri”; the first prize in the “Sinfonia dos 500 Anos” composition contest, in Brazil, in 2000, for his composition “Uma Lenda Indígena Brasileira”; and the 2003 MTNA-Shepherd Distinguished Composer of the Year prize, for his composition “Brazilian Landscapes No.1.” He is a member of the National Association of Composers, USA, Society of Composers, Inc., American Music Center, College Music Society, and “Sociedade Brasileira de Música Contemporânea”, Brazil.