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## Chorale and Canon in Alfred Schnittke's Fourth String Quartet

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CHORALE AND CANON IN  
ALFRED SCHNITTKE'S FOURTH STRING QUARTET

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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May 2005

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To my daughter, Nawaal

بسم الله الرحمن الرحيم

ربنا هب لنا

من ازواجنا وذريتنا قرّة اعين

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## ABSTRACT

Alfred Schnittke's String Quartet No. 4 (1989) is a passionate essay, full of fervor and anguish expressed through an eloquent and highly refined style. Essential to this style are the counterpoised textures of chorale and canon. Not only does the coherence of the Quartet's expansive formal design rest largely on the effective deployment of chorale and canon, but these devices are the very engines that drive Schnittke's musical argument.

Perhaps the most stunning event of the Fourth Quartet occurs in the finale. In the closing moments of this long work, Schnittke replaces the dissonant and dynamic fury of the *fortissimo* climax with an astonishing chorale, a highly chromatic melody harmonized exclusively with root position triads. The chorale is the product of an accumulation of objects—melodic motives, privileged intervals, and homorhythms—unveiled in the first movement. The chorale melody itself is introduced in the opening measures of the Quartet in the form of a cello declamation. This declamation serves as a reservoir for the harmonic resources of the quartet and for symmetrical structures that pervade the work.

Schnittke applies canonic imitation to thematic material, originally stated in chorale style, to intensify its character and suggest a sense of motion and unease. Schnittke counterpoises the relative stability of the homorhythms with polyphony to animate the Quartet via an evolving intensification of the basic motivic material. The intensification process involves steadily increasing textural complexity subsuming as many as eight voices energized by polyrhythms. Canon and chorale also participate in a number of imaginative symmetrical

structures, some apparent on the surface of the music, others hidden deeper within the texture.

Schnittke's habit of weaving quotations from diverse styles throughout a work is replaced in the Fourth Quartet by a more subtle polystylistic technique. Stylistic pluralism is accomplished instead by allusion. Emblems such as chorale, canon, ritornello procedures, and diatonic writing suggest the styles of the common practice period, while microtones, dense chromatic clusters, and twelve-pitch melodies establish the work's post-tonal identity. In this way, Schnittke achieves a highly sophisticated form of polystylism and establishes a precarious balance between seemingly incongruous qualities.

# CHAPTER 1

## INTRODUCTION

### “THE SOUND OF THE COSMOS”

“Forgive us for not doing enough for his talent,” implored Russian Culture Minister Natalya Dementyeva to Alfred Schnittke’s widow at a Moscow tribute to the composer just eight days after his death.<sup>1</sup> Indeed, the Soviet bureaucracy had done all it could to stall Schnittke’s ambitions during much of his career.<sup>2</sup> After Schnittke was blacklisted in 1962, the Ministry of Culture purchased only a handful of his scores, impeded public performances of his music, and withheld permission for him to travel outside the country for premieres of his music.<sup>3</sup>

Eventually Schnittke would triumph over these difficulties, his achievements recognized

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<sup>1</sup> Andrei Zolotov Jr., “Art World Gathers to Mourn Schnittke,” *Moscow Times*, August 11, 1998, no. 1514, [http://80-web.lexus-nexis.com.ezproxy.lib.uh.edu/universe/document?\\_m=91d10856b4f6](http://80-web.lexus-nexis.com.ezproxy.lib.uh.edu/universe/document?_m=91d10856b4f6) (accessed October 24, 2003).

<sup>2</sup> The Composers Union denounced Schnittke’s oratorio, *Nagasaki* (1958), for “formalism” because of the young composer’s sonoristic depiction of the explosion of the atomic bomb with tone clusters and atonal structures. Alexander Ivashkin, *Alfred Schnittke* (London: Phaidon Press, 1996), 68-69. Andrei Zhdanov (d. 1948), one of the architects of “Soviet Realism,” condemned contemporary composers, including Shostakovich and Prokofiev, for “formalism” in a 1948 meeting, describing their music as “infiltrated and overloaded to such a degree by naturalistic sounds that one is reminded—forgive the inelegant expression—of a piercing road drill or a musical gas-chamber.” Ronald Grigor Suny, *The Soviet Experiment: Russia, the USSR, and the Successor States* (New York: Oxford University Press, 1998), 370.

<sup>3</sup> Alexander Ivashkin, “Chronology,” in *A Schnittke Reader*, ed. Alexander Ivashkin, trans. John Goodliffe, Russian Music Studies (Bloomington, IN: Indiana University Press, 2002), xx. Schnittke had refused to heed the advice of the leadership of the Composers’ Union and discard such experimental techniques as serialism in his opera *The Eleventh Hour* (1962). Ivashkin reports that between 1964 and 1984 Schnittke missed the Western premieres of nineteen compositions, including that of his Second String Quartet, a required piece in the 1980 International String Quartet Competition in Evian, Switzerland. Ivashkin, *Schnittke*, 127-28.

both in his own country and in the West. In the 1980s, the Swedish recording company BIS announced plans to release his complete works on CD. In the ensuing years he received a number of composition prizes, and his music was performed at international festivals devoted exclusively to his works.<sup>4</sup> With the advent of Gorbachev's *Perestroika* in 1985, Schnittke's music reached an even wider audience inside Russia. Following the announcement of his death on August 3 1998, telegrams arrived at his home in Hamburg, Germany from Russian President Boris Yeltsin, Prime Minister Sergei Kiriyenko, and Moscow Mayor Yury Luzhkov.<sup>5</sup> He was buried alongside other eminent Russians in Moscow's Novodevichy Cemetery, where a monument in his honor was later erected.<sup>6</sup>

Schnittke's difficulty with the Soviet bureaucracy was only one of the challenges he faced establishing a career as a composer. Born on November 24, 1934, he spent his childhood in Engels, a town in the Saratov region of what was then the Autonomous Soviet Republic of Volga Germans, far from any center of musical learning. The German invasion of Russia in

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<sup>4</sup> Prizes include Krupskaya Prize (1986), Russian State Prize (1986), Austrian State Prize (1991), Bach Prize (1992), Japanese Praemium Imperiale (1992), Triumph Prize (1993), and Slava Gloria Prize (1998). Schnittke was also nominated for the Lenin Prize in 1990, but declined the honor. "Letter to the Lenin Prize Committee (1990), *Reader*, 41-2. His music was featured at festivals in Berlin (September 1988), Gorky (March 1989), Stockholm (ten-day Festival in fall, 1989), London ("Schnittke: A Celebration," 1990), and Moscow (October 1994). At a festival in Lucerne in September 1989 entitled "Wege der russischen Musik. Von Glinka bis Schnittke" [Directions in Russian Music – from Glinka to Schnittke], Schnittke's picture was featured in promotional posters alongside Glinka, Mussorgsky, and Shostakovich.

<sup>5</sup> Vladimir Smelov, "The Loss of Outstanding Composer Grieved," ITAR-TASS News Agency, August 4, 1998, [http://80-web.lexis-nexis.com.ezproxy.lib.uh.edu/universe/document?\\_m=9533028f51b1](http://80-web.lexis-nexis.com.ezproxy.lib.uh.edu/universe/document?_m=9533028f51b1), (accessed October 24, 2003). Schnittke died in Hamburg, Germany, where he had lived since 1990. In that year, he replaced Ligeti as Professor of Composition at the Hochschule für Musik. Ivashkin, *Schnittke*, 200.

<sup>6</sup> Elena Pylayeva, "Monument to Schnittke Unveiled at Novodevichy Cemetery," ITAR-TASS News Agency, September 21, 1999, [http://80-webb.lexis-nexis.com.eproxy.lib.uh.edu/universe/document?\\_m=2b2916e967ed](http://80-webb.lexis-nexis.com.eproxy.lib.uh.edu/universe/document?_m=2b2916e967ed) (accessed October 24, 2003). Also buried in this Cemetery, located on the grounds of the Novodevichy Convent, are Chekhov, Scriabin, Prokofiev, and Khrushchev.



1941 ended his hopes to study at the children's branch of the Moscow Conservatory. Even listening to music became nearly impossible during the war because of government confiscation of all private radios.

Schnittke did not receive any formal musical training until 1946 when his family began a two-year residence in Vienna. His father, Harry Schnittke, had found work there at a German language newspaper published under the auspices of the Soviet occupation forces. Schnittke, by then already twelve, began piano lessons with a neighbor. He also obtained his first instrument while in Vienna—a used accordion awarded as a bonus to his father by the newspaper.<sup>7</sup> With the barest of technical skills, he composed a few pieces for piano by working them out on his accordion.

It was only after Harry was transferred back to Moscow in 1948 that Schnittke had an opportunity to study music in a formal setting, graduating from the Moscow Conservatory in 1957. He continued at that institution, first as a postgraduate student (1958-61) and then as instructor of composition and theory until 1971.<sup>8</sup>

During the 1960s, money was tight. Due to his problems with the Composer's Union, Schnittke did not receive the living stipend awarded to composers favored by the Soviet bureaucracy, and his position at the Moscow Conservatory was poorly paid. Schnittke launched a new phase of his career in 1962, when he began writing music for the Russian cinema.<sup>9</sup> The composition of film music—more than sixty-five feature films, documentaries, and cartoons—became his main source of income until the mid 1980s.

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<sup>7</sup> Concerto for Accordion and Orchestra (1948-49, lost) was Schnittke's first large scale composition. Ivashkin, *Schnittke*, 223.

<sup>8</sup> Ivashkin, *Schnittke*, 86.

<sup>9</sup> Shostakovich had taken the same path after Zhdanov had attacked him for formalism in 1948. Suny, *The Soviet Experiment*, 370.

In 1985, just as the political atmosphere had become less oppressive under *Perestroika*, Schnittke suffered his first stroke. Although he was to endure five strokes between 1985 and his death in 1998, he continued to work almost to the very end; unable to speak and with his right hand paralyzed, he completed the score of his Ninth Symphony (premiered just two months before his death in June 1998) using his left hand.

Schnittke absorbed these challenges into a philosophical system that counterpoised struggle with the comfort of spiritual faith. Schnittke's friend, collaborator, and biographer, Russian cellist and musicologist Alexander Ivashkin, remarked,

A work of Russian art is a confession. There is nothing commonplace in it, nothing decorative, well balanced, or moderate. Everything is extreme, sometimes shocking, strange. We treat music as something more than just music; it is a means to express something spiritual.<sup>10</sup>

Ivashkin's observation applies to Schnittke's work as a whole. Schnittke thought deeply about good and evil, life and death, about redemption, and about the human condition; the energy of his compositional style, intensely personal and emotionally highly charged, largely emanates from this worldview.

Representative of this style is Schnittke's String Quartet No. 4. The piece is an extraordinarily intense and emotional work and, with a duration of forty minutes, longer than any of his previous quartets. Commissioned by the Wiener Konzertausgesellschaft for the Alban Berg Quartet and premiered in 1989, it is Schnittke's final utterance in this genre.<sup>11</sup>

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<sup>10</sup> Alexander Ivashkin, "The Paradox of Russian Non-Liberty," *Musical Quarterly* (Winter 1992): 545.

<sup>11</sup> Schnittke began a string quartet in 1959, although it was never completed. The remaining quartets were composed in 1966, 1980, 1983, and 1989. *Canon in Memoriam Igor Stravinsky* (1971) is also scored for string quartet.

String Quartet No. 4 is cast in five movements. The first three of these (Lento- Allegro- Lento, marked to be performed without pause), are followed by a scherzo-like Vivace and a concluding Lento.

The first movement functions as a slow introduction to the work as a whole. Many of the harmonic and melodic ideas are embedded in the movement's opening cello declamation, an unaccompanied meditation performed in the instrument's lowest register. Subsequent expository events in the movement suggest other constitutive ideas of the Quartet, albeit in inchoate form. Schnittke detaches protogenic harmonic and melodic ideas, expanding or recombining them into new, often symmetrical, formations in the remaining movements (Chapter 2, "Exposition and Expansion of Basic Materials: Chorale").

The dense and powerful Allegro derives its pounding main motive from oscillating semitones and triads introduced in the first movement. In the central third movement, a snippet of melody from the Lento provides the principal thematic material. Nested in a stark, thin texture, ethereal melodies provide a momentary respite from the turmoil of the Allegro and prepare for the driving energy of the scherzo.

Beginning with the second movement, Schnittke employs a range of highly imaginative canonic structures based on a prototype introduced in the Lento. Canonic textures are pervasive throughout all but the first movement, culminating in the double mirror canon that opens the Quartet's final movement. Schnittke's canons often carry the harmonically significant symmetrical sets and create or support local tonal areas (Chapter 3, "The Basic Materials of Canon: Morphology and Function").

Perhaps the most stunning event of the quartet, however, occurs near the end of the concluding fifth movement. Schnittke has just fashioned a fortissimo climax from material heard

earlier in the movement. Then, in the final moments of this long work, he interrupts the dissonant and dynamic fury of the climax with an astonishing chorale. But the chorale's serenity is more than just a surface detail or clever foil against the darkness and passion of the remainder of the quartet. Rather, it is a subtle unifying device that serves to round out the work. The melody of this chorale is recalled as a transposition of the unaccompanied cello melody that opened the Quartet some thirty-five minutes earlier.

The opening cello declamation, now understood as a chorale melody, frames the work, articulating its large-scale formal structure. The chorale melody appears as a recognizable melody only in the framing first and fifth movements—functioning in the first movement as a reservoir of the basic materials of the work, and in the final movement, as the core element of the concluding chorale.

Between these two unifying points, the Quartet convulses with two opposing compositional strategies (Chapter 4, “Formal Procedures”). The first of these is a constructive process in which the music is directed towards its objective via the accumulation of elements. The separable properties of the initial cello declamation and its harmonization in the fifth movement—its harmonic underpinning, homophonic texture, recollected melody, and the triads that harmonize it—appear individually, scattered throughout the quartet as local events. Schnittke gradually brings these elements together as the concluding chorale.

The second procedure, one of deconstruction, is most obvious in the second and fourth movements. In both cases, Schnittke fashions a series of slowly building climaxes via restatements of returning themes that gradually intensify as the movement progresses. A shift from chordal to canonic textures is the driving force behind the intensification procedures that energize these movements—the counterpoised textures of chorale and canon direct the forward

motion of the music (Chapter 4, “Formal Processes”).

The dissolution of traditional forms or procedures is a central technique Schnittke has used effectively in many of his compositions before the Fourth Quartet.<sup>12</sup> In the 1970s, he wrote an essay on the third movement of Berio’s *Sinfonia*, calling attention to Berio’s treatment of the scherzo theme of Mahler’s Second Symphony as a unifying device.<sup>13</sup> Schnittke describes the scherzo theme as sometimes submerged under the waves of surface activity, and sometimes struggling to the foreground to assert its unifying role. Eventually, however, the theme’s segments become hopelessly fragmented, the melody loses its cohesiveness and the “musical form suffers catastrophe.”

Also apparent in the Fourth Quartet are other procedures that reflect Schnittke’s personal philosophy. As an obituary from *The Times* remarked, “Schnittke was a deep and emotive man who thought very carefully about the sources of his music and where it was going.”<sup>14</sup> Schnittke

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<sup>12</sup> Regarding the appropriation of Western constructs by Russian composers, Ivashkin observed, “We borrow Western syntax and destroy it, moving deeper to the roots, paying more attention to the expression of the particular moment than to its structure.” Ivashkin, “Russian Non-Liberty,” 555. Ivashkin discusses the collapse of traditional forms in Symphony No. 3 (1981) and Violin Concerto No. 4 (1984) in *Schnittke*, 157-58 and 165-66, respectively.

<sup>13</sup> Alfred Schnittke, “The Third Movement of Berio’s *Sinfonia*: Stylistic Counterpoint, Thematic and Formal Unity in Context of Polystylistics, Broadening the Concept of Thematicism (1970s),” in *Reader*, 216-24. No doubt this is the “analytic essay” on the music of Berio that Ivashkin dated to 1971. The original Russian version has never been published. Ivashkin, “Chronology,” in *Reader*, xxi. Other studies of *Sinfonia* include those by Michael Dustin Hicks, “Text, Music, and Meaning in the Third Movement of Luciano Berio’s *Sinfonia*,” *Perspectives of New Music* 20 (1981-2): 199-224 and David Osmond-Smith, *Playing on Words: A Guide to Luciano Berio’s Sinfonia*, RMA monograph series (London: Royal Musical Association, 1985).

<sup>14</sup> *Times* (London), “Alfred Schnittke,” August 4, 1998, Features Section, [http://80-web.lexis-nexis.com.ezproxy.lib.uh.edu/universe/document?\\_m=9533028f51b1](http://80-web.lexis-nexis.com.ezproxy.lib.uh.edu/universe/document?_m=9533028f51b1) (accessed October 24, 2003). Schnittke left us with a considerable body of interviews and articles articulating his compositional and philosophical thoughts. The composer’s friend and collaborator, Alexander Ivashkin, has collected many of these in *A Schnittke Reader*, ed. Alexander Ivashkin, trans. John Goodliffe, Russian Music Studies (Bloomington, IN: Indiana University Press, 2002). Ivashkin also quotes and paraphrases Schnittke ideas in his earlier

was a thinker, not only about music, but also about universals. He addressed the challenges of twentieth-century music composition, but he sought solutions within a larger, even cosmic, context. His views on the human condition evolved in conjunction with his compositional technique. The evolution of his style and the philosophical influences that directed it have a bearing on the mature compositional processes found in String Quartet No. 4.

Schnittke began his career with the large-scale programmatic works on political topics expected of all young Soviet composers.<sup>15</sup> The isolation of Schnittke and his contemporaries from developments in Europe was challenged by a visit to Moscow by Luigi Nono in 1963. During a meeting with Schnittke, Nono counseled the young composer to begin an intensive study of Western music from all historical periods. On his advice, Schnittke accumulated an extensive collection of books and scores, enough to eventually become an important resource for other students.<sup>16</sup> After Nono's visit, dodecaphonic, aleatoric, and extended instrument techniques appeared more frequently in Schnittke's music.

But eventually Schnittke rejected such modernist techniques as large-scale organizing forces. As he recalled in a 1989 interview,

Until '66 or '67, my chief concern was to study as much Western music as possible. I had assimilated serial and aleatory techniques and I believed that I had found a rational formula with which to compose good music; but I later realized that nothing had been changed by this approach—everything remained the same. Good music cannot be created by good intentions.<sup>17</sup>

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biography of the composer, *Alfred Schnittke* (London: Phaidon Press, 1996).

<sup>15</sup> These early pieces include *Nagasaki* (oratorio, 1958), *Songs of War and Peace* (cantata, 1959), *Poem about Space* (orchestral/electronic work about the space flight of Yuri Gagarin, 1961), and *The Eleventh Commandment* (opera, 1962).

<sup>16</sup> Ivashkin, *Schnittke*, 86.

<sup>17</sup> Alfred Schnittke, "Interviews with Soviet Composers," interview by Claire Polin, *Tempo* no. 151 (December 1984): 10. Schnittke's statement reflects similar sentiments of another eclectic, George Rochberg: "I had become completely dissatisfied with [serialism's] narrow terms. I found the palette of constant chromaticism increasingly constricting, nor could I accept any longer the limited range of gestures that always seemed to channel the music into

Schnittke's allusion to "a rational formula" is significant, for it was his ruminations on the role of such methods in the compositional process that prompted a reevaluation of how music comes to be. He became convinced that a certain type of irrationality is a more powerful path than reasoning to an understanding of the ordered structure that is the universe. He defines "irrationality" in this context as "not what lies outside reason; it is what has not been decoded by reason."<sup>18</sup>

More often we arrive at a correct solution not by means of reason, but empirically, through our feelings, by trial and error. And that is why the whole time people were preoccupied with the rationalization of technique, everything they were doing in the 1960s (which derived from the feeling that there was a basic structural law and from an attempt to discover that law), none of this could be successful for the simple reason that proper understanding is never revealed to reason. But I have no doubt whatever that there is in nature a basic structural law.<sup>19</sup>

Schnittke, then, came to understand the processes of composition as one of "pre-listening" to a source outside the self, so that the composer serves as a medium through which music flows.<sup>20</sup>

As he told Ivashkin, "I am just fixing what I hear. . . . It is not me who writes my music, I am just a tool, a bearer."<sup>21</sup>

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some form or other of expressionism. The over-intense manner of serialism and its tendency to inhibit physical pulse and rhythm led me to question a style which made it virtually impossible to express serenity, tranquility, grace, wit, energy." George Rochberg, liner notes to Nonesuch Records, H 71283, in Brian Simms, *Music of the Twentieth Century: Style and Structure* (New York: Schirmer, 1986), 412-13.

<sup>18</sup> Alfred Schnittke, "From Schnittke's Conversations with Alexander Ivashkin (1985-1994)," interviews in Russian by Alexander Ivashkin, in *Besedy s Al'fredom Shnitke* [Conversations with Alfred Schnittke], ed. Alexander Ivashkin (Moscow: Kul'tura, 1994), 127-73; German translation in *Alfred Schnittke: Über das Leben und die Musik. Gespräche mit Alexander Iwaschkin* (Munich: Econ, 1998); excerpts in English in *Reader*, trans. John Goodliffe, 29.

<sup>19</sup> Schnittke, "Conversations with Ivashkin," 25.

<sup>20</sup> Schnittke, "Interviews with Soviet Composers," 10. Schnittke elaborates on this idea during his conversations with Ivashkin. Schnittke, "Conversations with Ivashkin," 12.

<sup>21</sup> Ivashkin, "Russian Non-Liberty," 546.

This discovery marks the beginning of Schnittke's search for a musical language of his own that would take into account the irrational aspects of composition. About this new direction, he remarked,

My musical development took a course similar to that of some friends and colleagues, across piano concerto romanticism, neo-classical academicism, and attempts at eclectic synthesis, and took cognizance also of the unavoidable proofs of masculinity in self denial (serialism). Having arrived at the final station, I decided to get off the already overcrowded train. Since then I have tried to proceed by foot.<sup>22</sup>

Schnittke's "journey on foot" ushered in a period during which he sought to establish tools and techniques that were capable of meeting the challenges of contemporary music. The solutions to the problems he set for himself and the works that resulted from them are essential in grasping the underlying premises of his most mature works, including the Fourth Quartet. During this time, Schnittke gathered certain philosophical ideas and technical processes and brought them to bear on compositional objectives. At the root of this process was Schnittke's desire to juxtapose or commingle musics of different styles in an effort to forge a sort of stylistically universal synthesis by combining elements from an array of styles.

Schnittke's personal circumstances may have prepared him for openness to such stylistic mosaics. He grew up in an environment in which his ethnic roots mingled with the chaos of Eastern European politics to juxtapose the contrasting, even contradictory, elements of German and Russian cultures.

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<sup>22</sup> Alex Ross, "The Connoisseur of Chaos: Who is Alfred Schnittke and Why is His Music so Popular?" *New Republic* 207, no. 14 (September 28, 1992), 31.



Schnittke's grandparents on both sides of his family were closely tied to ethnic German areas under Russian suzerainty. His paternal grandparents, Viktor (1886-1956) and Thea (1890-1970), were German-speaking Jews from Libava (now Liepaja), Latvia, a bustling port city on the Baltic Sea. German crusader conquests in the thirteenth century installed a knightly ruling class that dominated the indigenous Latvians, and a German elite maintained economic and cultural influence even after the annexation of Latvia by the Russian Empire in 1795.

Viktor and Thea became members of the Communist Party as part of the rapid spread of Bolshevism throughout Latvia after the turn of the twentieth century. In 1910, fearing reprisals from the Russian authorities for their political beliefs, they fled to Germany, still retaining their Russian citizenship. It was during their stay in Frankfurt that Harry Schnittke (1914-75), Alfred's father, was born. Harry moved with his parents to Moscow in 1927, but was never comfortable there. Because his weak Russian language skills excluded him from higher education in the Russian capital, Harry moved to Engels, a town in another German-speaking enclave, the Autonomous Soviet Republic of Volga Germans. His fluent German eventually secured him work at the local German newspaper and radio station.

The Russian Empire had acquired territories along the Volga River from the Tatars during the eighteenth century. Catherine the Great<sup>23</sup> invited settlers from nearby German areas to establish colonies along the Volga. A German herself, Catherine felt she could rely on these settlers to act as a buffer against the Asian peoples aligned against Russia; in return for this protection, she promised the colonizers some degree of political autonomy.

In 1924, the Autonomous Soviet Republic of Volga Germans was established, the first of

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<sup>23</sup> Yekaterina Alekseyevna (1729-96), neé Sophie Friederike Auguste von Anhalt-Zerbst, married Grand Duke Peter of Russia in 1745. Her husband eventually became Peter III, but was deposed by Catherine in 1762. She ruled as Empress of Russia until her death.

several autonomous ethnic entities that made up the Russian Soviet Federated Socialist Republic. In 1941, the Soviet Supreme Council, fearing collaboration of ethnic Germans with the Third Reich, dissolved the Autonomous Republic and ordered the deportation of all Volga Germans to Siberia and Kazakhstan.

Alfred's maternal grandparents, Iosif (d. 1916) and Elisaveta Vogel, were originally of French Catholic stock living in Germany. Their ancestors were among those who settled in the Volga region at the behest of Catherine the Great. Iosif Vogel owned a manufacturing business in Kaminka, a small town near the capital city, Saratov. Among the couple's five children was Maria (1910-72), who was active in the Union of Young Communists in Engels. It was in Engels that she met and married Harry Schnittke; Alfred was born in that city in 1934.

Alfred was in close contact with his Volga German relatives until the deportations of 1941. As a Jew, Harry and his immediate family were allowed to remain in Engels even after the deportation decree; his mother's Catholic relatives, however, left for exile in Siberia or Kazakhstan.

His early years with his mother's family, nevertheless, had an impact on him. Alfred grew up speaking the distinctive Volga German dialect, a striking contrast with the urbane German spoken by his father. More importantly, it was his maternal grandmother, Elisaveta, who introduced Alfred to the Catholic faith. He remembers that she read from a German Lutheran Bible because of the absence of a Catholic community in Engels. This would be Alfred's only close contact with religion for many years. As active members of the Communist Party, his parents and paternal grandparents were atheists. Nevertheless, his grandmother's religious example would follow him into his later years—he was baptized into the Roman Catholic faith in Vienna in 1980. Perhaps in accordance with Alfred's eclectic background, he

nevertheless made his confession to an Orthodox Russian priest after taking up residence in Moscow.<sup>24</sup>

These contrasting elements integrated themselves into Schnittke's personality. As he himself observed,

I have spent my life mainly in Russia, and what this life has brought with it, not just musical impressions, but actual living experience, predetermines my belonging to *this* life and its problems. . . . Only the death of Shostakovich led me to the realization that he was a real Russian composer. . . . In every detail of his work—however sharp and unusual his musical language—he remained a Russian composer. . . . I think the same sort of thing will happen in the future with the evaluation of the work of composers such as Denisov and Gubaidulina, and even of my own music. But for now I should like to talk about what contradicts this.

In the first place, I haven't a drop of Russian blood in me, even though I have lived here all my life. In the second place, I am constantly aware that I have a German half. This has nothing to do with how much German I know, or the fact that I spent two years of my childhood in Vienna. It is predetermined by the fact that my German forebears, who lived here for two hundred years, remained Germans. Not, in a certain sense the kind of Germans who grew and flourished in the West, but the kind who seem to have preserved the psychological characteristics peculiar to Germans in an earlier time. . . .

Furthermore, I have in every respect experienced an enormous influence from German culture, German literature, and of course the strongest possible influence from German music. Given this, it is clear that without any effort on my part, the German side of my character remains a second powerful force. . . . So for me this interaction of Russian and German music is fundamental and final.<sup>25</sup>

Schnittke's contact with the film industry also played a decisive role in the development of his compositional skills and style. Since censorship of films was less rigorous than music for the concert stage, writing for the cinema allowed Schnittke to experiment with modernist techniques. His early scores for thrillers included dodecaphonic and sonoristic techniques that

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<sup>24</sup> Schnittke made his confession at his own home to Russian Orthodox priest Father Nikolai Vedernikov. It was Father Nikolai who was the officiating priest at Schnittke's funeral. Ivashkin, "Chronology," xxiii and "Conversations with Ivashkin," 30, editor's note 21, in *Reader*.

<sup>25</sup> Schnittke, "Conversations with Ivashkin," 20-21.

the Soviet bureaucracy would have denounced as “formalistic” in his concert music.<sup>26</sup> Soviet censors tended to disregard cartoons in particular because of their juvenile audience. As a result, Soviet animated films evolved into a vibrant intellectual genre in which artists of all mediums could experiment.<sup>27</sup> The cinema, then, proved to be a laboratory for new compositional techniques and a reservoir of ideas usable in his concert music. Schnittke described the influence of his years writing for film:

From the outset, my work in certain films was experimental: one day I would write something, the next day listen to the orchestra play it, not like it, change it on the spot, although I might have tried out a certain device, an orchestral technique, or something. In this respect, I gained a great deal from the cinema. Then too, the actual treatment of the inferior material inevitably dictated by the cinema may prove useful for a composer (I can't remember how many marches for brass band and banal waltz tunes, how much chase music, gunfight music, landscape music I wrote). I can transfer one or another of the themes into another composition, and by contrast with the other material in that composition it acquires a new role.<sup>28</sup>

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<sup>26</sup> The year 1947 marked the Thirtieth Anniversary of the Revolution in the Soviet Union. Composer Vano Muradeli wrote a new opera, *The Great Fellowship*, to celebrate the occasion. The work, however, displeased members of the Soviet hierarchy and prompted meetings of musicians and officials, chaired by Andrei Zhdanov, architect of post-war cultural policy, to hammer out the position of the Central Committee on what Soviet music should be. The result was the Decree on Music, published in February, 1948. This document criticized Muradeli for formalism, which it described as “the rejection of the basic principles of classical music, and the preaching of atonalism, dissonance, and disharmony, which are alleged to be signs of “progress” and “innovation”; the rejection of so important a thing as melody; and a striving after chaotic and neuropathic discords and accumulations of sounds.” A translation of the Decree and events surrounding its promulgation are recounted in Alexander Werth, *Musical Uproar in Moscow* (London: Turnstile Press, 1949); reprint, Westport, CN: Greedwood Press, 1973). As noted previously, the Composers' Union had denounced Schnittke's use of atonality and clusters in his oratorio, *Nagasaki* (1958), as “formalistic.” Ivashkin, *Schnittke*, 68-69.

<sup>27</sup> Ivashkin, *Schnittke*, 111-4.

<sup>28</sup> Schnittke, “On Film and Film Music (1972, 1983, 1989),” 1983 interview in Russian by N. Shakhnazarova and G. Golovinsky, in *Novaya zhizhn' traditsii v sovetskoi muzkyke: stat'i i interv'yu* [New Life for Traditions in Soviet Music: Articles and an Interview] (Moscow: Sovetskii Kompozitor, 1989): 332-49; reprint *Besedy*, 124; English translation, Part II in *Reader*, 51.

The transfer of ideas between his cinema work and concert composition is evident in Schnittke's Sonata for Violin and Piano No. 2 (*Quasi una sonata*, 1968). That same year Schnittke wrote the score for *The Glass Accordion*, an animated film by Andrey Khrzhanvosky, which unfolds as a wordless history of art and music through a collage of paintings and architecture from the Renaissance to the modern period. Despite the fragmented nature of its subject matter, Khrzhanovsky conceived of the fragments of these multifarious styles as components of an integrated and unified whole. Schnittke's score matched the various visual styles of the films, unified through the BACH monogram. Eventually, the score for *The Glass Accordion* evolved into *Quasi una sonata*, which mingles microtones and clusters with a pervasive G minor triad, the BACH motto, a chorale, and references to sonata form.<sup>29</sup>

Secondly, the screen provided new perspectives regarding the coherence of diverse components in large works. The fast-paced montage of ever-changing scenes required Schnittke to develop techniques to integrate short contrasting stylistic elements. In many of his works, including String Quartet No. 4, musical threads may be spun out, broken off, and then restored as themes and ideas pass in and out of view like characters in a film.

It was Schnittke's involvement in the film industry that caused him both to identify compositional problems and to suggest solutions. In a 1984 interview, he observed,

From the musical point of view I found myself with a split personality. I had my own interests—an interest in modern musical techniques, in new compositions; I studied all this and made use of it in my music. But life saw to it that for about seventeen years I worked in the cinema much more and more often than I ought to have done, and by no means only in films that I found interesting. Eventually I began to feel uncomfortable, as though I were divided in half. At first the situation was that what I was doing in the cinema had no connection with what I was doing in my own compositions. Then I realized that this would not do: I was responsible for everything I wrote. This kind of split was inadmissible, and somehow I had to revise my views of both kinds of music. And apart from that, I gained no satisfaction from—speaking frankly—producing music by calculation. I am

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<sup>29</sup> Ivashkin, *Schnittke*, 110-111.

simplifying, of course; there was more to it than mere calculation. I realized that there was something radically abnormal in the split that exists in modern musical language, in the vast gap between the laboratory “top” and the commercial “bottom.” This gap had to be bridged, not only by me in my own personal situation, but also as a general principle. The language of music has to be unified, as it always has been; it has to be universal. I may lean one way or the other, but there cannot be two musical languages. And yet the growth of an avant-garde in music has led to a conscious split and the discovery of a new elitist musical language. So I began to look for a universal musical language. From the musical point of view, this was what my evolution appeared to be.<sup>30</sup>

In 1972, Schnittke composed the music for another collage film, *The World Today*, a documentary that cobbled together film footage of significant political, cultural, and scientific events of the twentieth century—“the insane chronicle of our century,” as he put it.<sup>31</sup> Schnittke’s experience of viewing thousands of newsreel fragments with director Mikhail Romm in preparation for this film inspired the First Symphony (1972),<sup>32</sup> which features a mosaic of modern techniques and quotations from traditional styles congruent with the contour of the documentary. Serial, jazz, and aleatoric elements rub against quotations from Gregorian chant, Beethoven, Grieg, Chopin, Tchaikovsky, and Johann Strauss in a manner described by one critic “like some crazed Charles Ives on speed.”<sup>33</sup>

Schnittke described the procedure of mingling styles as “polystylistic.” He set out the intellectual framework for his new language in an article written in the early 1970s “Polystylistic Tendencies in Modern Music.”<sup>34</sup> In critical and academic literature, “polystylistic” and its

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<sup>30</sup> Schnittke, “On Film and Film Music,” 1983 interview by Shakhnazarova and Golovinsky, 50.

<sup>31</sup> Alfred Schnittke, “On Film and Film Music,” 1972 essay in Russian in *Besedy*, 122-24; English translation, Part I in *Reader*, 49.

<sup>32</sup> “If I had not seen all these shots in the film, I would never have written this symphony,” Schnittke admitted in the preface to Symphony No. 1. Ivashkin, *Schnittke*, 118. Quotations from the First Symphony actually appeared in the final version of the film.

<sup>33</sup> Martin Anderson, “Obituary: Alfred Schnittke,” *Independent* (London), August 5, 1998, Obituaries section, p. 6, [http://80-web.lexis-nexis.com.ezproxy.lib.uh.edu/universe/document?\\_m=9533028f51b1](http://80-web.lexis-nexis.com.ezproxy.lib.uh.edu/universe/document?_m=9533028f51b1), (accessed on October 24, 2003).

<sup>34</sup> Alfred Schnittke, “Polystylistic Tendencies,” in Russian, *Muzyka v SSSR* [Music in the

derivations have been applied both as a particular term to describe Schnittke's work exclusively and in a general sense to refer to the works of other composers.<sup>35</sup> Schnittke's title suggests that he viewed stylistic pluralism as a process widely used in twentieth-century music rather than his own personal and idiosyncratic technique.

As a composer, Schnittke's main purpose in "Polystylistic Tendencies" is to identify procedures of this technique rather than to articulate a rigorous theoretical definition. He identifies "quotation" and "allusion" as the two methods by which diverse styles may be introduced into a work. Quotation subsumes literal quotation, parody, reproduction of a technique from another style, and adaptation ("retelling of an alien musical text in one's own musical language or a free development of alien material in one's own style" such as Webern's reworking of Bach's *Ricercare*). The second category, "allusion," denotes the "scents and shadows" of a particular style that "hover on the brink of quotation but do not actually cross it." Here he cites the work of Stravinsky "in whose music the texts quoted are almost all subtly decorated with stylistic devices from the past."

This tendency in music of the twentieth century to combine techniques from more than

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USSR] (April-June 1988): 22-24; reprint with additional interview in *Besedy*, 143-6; English translation with portion of *Besedy* interview in *Reader*, 87-90. The invention of the terms "polystylistic" and "polystylistics" has been attributed to Schnittke (see Kirsten Peterson, "Structural Threads in the Patchwork Quilt: Polystylistics and Motivic Unity in Selected Works by Alfred Schnittke" (PhD diss., University of Connecticut, 2000), 12, note 40.

<sup>35</sup>The term is often found within quotations: "In a search for a musical language that would synthesize past and present Schnittke was already beginning to unite a variety of elements in his music, in the beginnings of his 'polystylism,' where reminiscences of Renaissance, Baroque and Classical composers sit alongside the most dramatic devices of modernism, in stark contrasts that produce music of considerable tension and power." Anderson, "Obituary: Alfred Schnittke." Peterson reports that the term may be applied to the commingling of styles by any composer, citing Zofia Lissa, "The Historical Awareness of Music and Its Role in Present Day Musical Culture," *Review of the Aesthetics and Sociology of Music* 4 (June 1973): 17-32; and Michael Dustin Hicks, "The New Quotation: Its Origins and Functions," (DMA diss, University of Illinois at Urbana-Champaign, 1984).

one style has received scholarly attention, but without a consensus regarding terminology.

Schnittke's rather ambiguous characterization of polystylism reflects the difficulty theorists and musicologists face in clearly defining the practice. In her dissertation, "Structural Threads in the Patchwork Quilt: Polystylistics and Motivic Unity in Selected Works by Alfred Schnittke," Kirsten Peterson reviews current scholarly thought regarding the terminology of twentieth-century compositional methods involving the juxtaposition and commingling of two or more styles.<sup>36</sup>

Peterson regards "eclecticism" as a general term that refers to the use of quotation or reference to stylistic elements of preexistent music as a significant component in the compositional process of an individual work.<sup>37</sup> She classifies "collage" as a particular type of eclecticism that may be understood as a composite of Schnittke's categories of quotation and allusion. Collage refers to a technique in which the bits of quotation or allusion retain their individuality, producing a mosaic of contrasting elements.<sup>38</sup> According to Peterson, other terms

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<sup>36</sup> Peterson, "Structural Threads," 11-24. Peterson refers to Leonard Meyer, who has written about the juxtaposition of musical styles in a manner similar to that of Schnittke, although his terminology differs. Leonard Meyer, *Music, the Arts and Ideas: Patterns and Predictions in Twentieth-Century Culture* and *Style and Music: Theory, History, and Ideology* (Chicago: University of Chicago Press, 1967). See also Other writers who have addressed the question of quotation and allusion in twentieth-century music are Lissa, "The Historical Awareness of Music"; Hicks, "The New Quotation"; and Joseph N. Straus, *Remaking the Past: Musical Modernism and the Influence of the Tonal Tradition* (Cambridge, MA: Harvard University Press, 1990).

<sup>37</sup> Peterson, "Structural Threads," 11.

<sup>38</sup> *Grove Music Online* defines collage as "A term borrowed from the visual arts, where it refers to the act of pasting diverse objects, fragments or clippings on to a background, or to the work of art that results. Musical collage is the juxtaposition of multiple quotations, styles or textures so that each element maintains its individuality and the elements are perceived as excerpted from many sources and arranged together, rather than sharing common origins. . . . Collage is distinct from quodlibet, medley, potpourri, centonization and other traditional procedures in that the diverse elements do not fit smoothly together. . . Elements in a collage often differ in key, timbre, texture, metre or tempo, and lack of fit is an important factor in preserving the individuality of each and conveying the impression of a diverse assemblage." J.



currently in use that apply to this phenomenon include “stylistic pluralism,” “stylistic polyphony,” and “the New Quotation.”<sup>39</sup>

But Schnittke seems to have found the terms “collage” and “eclecticism” inadequate for his purposes. In fact, he begins his essay with the admonition, “By the polystylistic method I mean not merely the ‘collage wave’ in contemporary music but also more subtle ways of using elements of another’s style.”<sup>40</sup> And later, he admits, “We do not know where the boundary lies between an eclectic and a polystylistic method, or between the polystylistic method and direct plagiarism.”<sup>41</sup>

Although Schnittke does not explicitly define polystylism, his critical writings articulate features that distinguish it from other techniques. His characterization of Berio’s methodology in the third movement of *Sinfonia* (1969) as both “polystylistic” and as a “super-collage symphony”<sup>42</sup> implies that it moves beyond ordinary collage technique by its “more subtle ways

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Peter Burkholder: ‘Collage,’ *Grove Music Online* ed. L. Macy (accessed November 14, 2003), <http://www.grovemusic.com>.

<sup>39</sup> Henri Pousseur’s employed the term “*polyphonie stylistique*” to describe Schoenberg’s technique in the sixth variation of the latter’s *Orchestral Variations*, op. 31 (translation mine): “Thus, a piece like the sixth variation offers us (as does the fourth) the extraordinary impression of a Viennese waltz composer having a profound sense of Bach’s three-part inventions together with the subtle manner in which certain Mozart minuets are written, but who had fused these revered artifacts with the practice of the most twisted post-Wagnerian harmonies into an indissoluble alloy with a sort of wild and profound mania to contort them more and more until they are taken to the point of shattering, [a point] that is, however, never exceeded. *Stylistic polyphony* manifests itself in a single gesture, in a single succession, even one that is purely monophonic.” Italics are Pousseur’s. Henri Pousseur, *Musique/Sémantique/Société* (Tournai, 1972), 66. “New Quotation” is a term employed by Michael Dustin Hicks in “The New Quotation.” Keith Potter refers to “Third Stream,” which he defines as “mixing disparate styles and techniques.” Keith Potter, “The Current Musical Scene,” in *Modern Times*, ed. Robert P. Morgan (Englewood Cliffs, NJ: Prentice Hall, 1993), 352.

<sup>40</sup> Schnittke, “Polystylistic Tendencies,” 87.

<sup>41</sup> Schnittke, “Polystylistic Tendencies,” 89.

<sup>42</sup> Schnittke, “The Third Movement of Berio’s *Sinfonia*,” 216; and “Polystylistic Tendencies,” 89. In the latter essay, Schnittke also refers to Stockhausen’s *Hymnen* as “a ‘super-collage’ mosaic of the modern world” (p. 87).

of using elements of another's style." In this case, the "subtle way" seems to refer to a single viewpoint approach rather than the fragmented viewpoint typical of collage; single viewpoint brings with it a higher degree of integration of elements than is implied by the term "collage."<sup>43</sup>

Schnittke discusses Berio's integrative techniques in finer detail in his article on Berio's *Sinfonia*, addressing the methodology by which the integration of diverse borrowings might be accomplished.<sup>44</sup> He characterizes Berio's procedure as the quotation of music of the nineteenth and twentieth centuries in "counterpoint" to the Scherzo theme of Mahler's Second Symphony, which functions as a "cantus firmus." For such counterpoint to be integrated, the composer must identify and exploit similarities among his quotations. A particular quotation might be chosen for its pliability in a process of structural synthesis or for subtext meaning. For example, the modal ambiguity in Mahler's theme is echoed in Berio's selected quotations, which include modally ambiguous passages (Berg's Violin Concerto), and split thirds (Debussy's *La Mer*, Webern's Cantata No. 2 and Stockhausen's *Gruppen*).<sup>45</sup> Secondly, since such quotations have an identifiable source, these passages carry subtexts. The composer may establish "linkages" based on the subtexts of his quotations:

Thus, between Mahler's scherzo and the quotation from *Wozzeck*, apart from the coincidence of the chromatic intonations already noted, there is also a plainly ironic literary association. "Hören Sie? Ja dort!"; then, "Jesus! Das war ein Ton!"—these exclamations are heard from the Captain and the Doctor as Wozzeck drowns. Then one remembers that Mahler's scherzo itself makes use of the melody of a song about St. Anthony of Padua preaching to the fishes from Mahler's song cycle *Des Knaben Wunderhorn*. But beneath even this manifest literary link hides yet another one. In both situations, in Mahler's scherzo and in the scene from *Wozzeck* (as well as in Berio's *Sinfonia*, which unites them

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<sup>43</sup> Schnittke's notion of integration bears some affinity with attempts by contemporary composers to express the same idea—"interrelationships" (Berio), "intermodulation" (Stockhausen), and "*ars combinatoria*" (Rochberg). David Metzger, *Quotation and Cultural Meaning in the Twentieth Century* (Cambridge: Cambridge University Press, 2003), 111.

<sup>44</sup> Schnittke, "The Third Movement of Berio's *Sinfonia*," 216-24. This article was cited previously (p. 7) in relation to Schnittke's deconstructive process.

<sup>45</sup> "Split thirds" refers to triads in which both major and minor thirds appear.

all), an overall sense is evoked of precarious, shaky ground slipping away beneath one's feet.<sup>46</sup>

Both structural similarities and subtextual meanings may have influenced Schnittke's choice of quotation in the Third Quartet (1983).<sup>47</sup> Identified by the composer on the first page of the score are a cadence from Orlando di Lasso's *Stabat Mater*,<sup>48</sup> the subject of Beethoven's *Grosse Fuge*, and the Shostakovich motto, DSCH. Schnittke works for cohesion in combining his historically diverse thematic material; the development of the three themes and interactions are a principal dynamic process of the work. He exploits correspondences in these seemingly diverse motives—the first four notes of the Fugue {B♭, B, A♭, G} and those of the Shostakovich motto {D, E♭, C, B} are members of symmetrical set class (0134). The prominent ic5 of Orlando's cadence, too, plays a seminal role in the harmonic structure of the Quartet. Gregory Brown has suggested subtextual meanings for Schnittke's choice of quotations—the Shostakovich and Beethoven fragments relate in various ways to Schnittke's Russian and German heritages, respectively; the cadential borrowing from Orlando may refer to the Flemish composer's cosmopolitan style. The connection of the *Stabat Mater* to Catholicism is also inescapable.

Schnittke makes some additional claims for his polystylistic method:

[Polystylism] widens the range of expressive possibilities, it allows for the integration of “low” and “high” styles, of the “banal” and the “recherché”—that is, it creates a wider musical world and a general democratization of style. In it we find the documentary objectivity of musical reality, presented not just as something reflected individually but as an actual quotation. . . . And finally it creates new possibilities for the musical

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<sup>46</sup> Schnittke, “The Third Movement of Berio's *Sinfonia*,” 223.

<sup>47</sup> Two recent conference papers treat this Quartet: Elizabeth Crafton, “Duality in Schnittke's Third Quartet,” (paper presented at the Schnittke Festival, London, January 10, 2001) and Gregory Brown, “Fractured Relics and Forged Reproductions: Schnittke's String Quartet No. 3,” (paper presented at the Society for Music Theory Annual Convention, Philadelphia, PA, November 9, 2001).

<sup>48</sup> Two cadence figures appear in the opening four measures of the Quartet. Brown has identified these as extractions from mm. 22-23 (first versus) and mm. 45-46 (second versus) of Orlando's *Stabat Mater*.

dramatization of “eternal” questions—of war and peace, life and death. . . .

It is doubtful whether one could find another musical approach that expresses as convincingly as the polystylistic method the philosophical idea of the “links between the ages.”<sup>49</sup>

This paragraph articulates some important philosophical characteristics of Schnittke’s concept of stylistic pluralism—that the technique is expressive because the quotations or allusions that bear stylistic implications also carry subtexts of meaning; that through its use, a composer can address certain “eternal” questions; and that the integration of styles in a manner that draws the attention of the listener to the affinities among sources rather than their alterity should be a compositional objective.

Schnittke’s concern with “eternal” questions is never far below the surface of his music. His thinking on such issues was influenced by a rather unusual source. As the critic Alex Ross has observed, “From beginning to end, his music has been haunted by a man who does not, and never did, exist: Adrian Leverkühn, the composer-protagonist of Thomas Mann’s novel *Doktor Faustus* (1947).”<sup>50</sup>

Schnittke read Thomas Mann’s novel soon after its publication and continued to be intrigued by the novel. He remarked, “Everything that Thomas Mann wrote about music in *Doktor Faustus* produces a most powerful impression—at any rate it once produced such an impression on me. I cannot say the same about descriptions of music written by

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<sup>49</sup> Schnittke, “Polystylistic Tendencies,” 90.

<sup>50</sup> Ross, “Connoisseur of Chaos,” 35. Schnittke is careful to point out that the idealization of Faust that is part of Goethe’s concept of the legend is quite different from that of Mann’s novel. Schnittke, “Conversations with Ivashkin,” 29. The Faust legend provides the framework for two of Schnittke’s large-scale works. The earlier of these is the cantata *Seid nüchtern und wachet* (“Be sober and attentive,” 1983), which tells the story of Faust’s death. The cantata eventually found a place in Schnittke’s opera, *Historia von D. Johann Fausten* (1983-94). Mann discusses his novel, including the advisory role of Theodor Adorno, in *The Story of a Novel: The Genesis of Doctor Faustus*, trans. Richard and Clara Winston (New York: Knopf, 1961).

musicologists.”<sup>51</sup> For Schnittke, the novel seemed to sum up his own philosophical viewpoint, addressing universal questions of the balances of life’s dualities of good and evil, banal and learned, rational and irrational, sinfulness and redemption.

Schnittke comments about his understanding of the Faust theme:

But particularly important for me is what I have heard about [the Faust theme] from the [Russian Orthodox] priest who regularly visits me, Father Nikolai. I first heard from him the idea that when human beings die there is a certain eternal, moral reckoning connected with their lives that does not die. Not just in the sense that all the good they have done continues to exist in the life of others, although they themselves are dead. But the bad they have done also continues to exist, and not merely in the bad that continues to develop. Life can turn that in another direction—even in the direction of what is good. And this may happen long after the physical death of a particular human being. The moral reckoning that concerns every deed and every word contains a hope, not a guarantee, but a hope of possible salvation (speaking from the point of view of a religious person), even for a character like Faust. . . .

I began to look at the character of Faust in a new way: he was no longer stigmatized as an utter sinner, cursed forever. This is because his destiny—I don’t mean his physical but his moral destiny, which continues to exist—is not finally decided and contains this new potential, which is decided by the way people react to him and his posthumous fate.<sup>52</sup>

For Schnittke, then, the Faust legend seems to illuminate the propinquity between good and evil.

Although good and evil exist as opposite poles and come from mutually hostile sources, there is a point where they unite, and somehow they share one nature. Augustine wrote that evil is an imperfect degree of good. . . . I understand that when Thomas Mann writes in his *Doktor Faustus* of an imagined oratorio on the Apocalypse in which the music of the righteous entering the Kingdom of Heaven and the music of Hell use the same notes, we have as it were the negative and the positive.<sup>53</sup>

Schnittke manifests his confidence in such kinship via compositional processes that produce synthesis. He considers synthesis a device that invigorates art, a sort of “hybridizing”

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<sup>51</sup> Schnittke, “Conversations with Ivashkin,” 9-10.

<sup>52</sup> Schnittke, “Conversations with Ivashkin,” 30.

<sup>53</sup> Schnittke, “Conversations with Ivashkin,” 23-4.

procedure in which elements of a “wild relative” are grafted onto some effete specimen.<sup>54</sup>

Synthesis might be reflected in motivic cohesion (as discussed above with regard to the Third Quartet), a programmatic idea in which universality is the underlying driving force, or in the integration of stylistic features.

The universality of religious traditions was the objective of Schnittke’s selection of quotations in his Fourth Symphony (1984). Writing about the Symphony, Schnittke recalled,

In the symphony there are elements of Orthodox processional singing, Lutheran chorales, and triumphal hymns recalling Gregorian chant. I also included synagogue singing, wanting to show, together with the differences, a certain basic underlying unity. . . .

Common to all the harmonies is the fact that in their use of intervals we find constant variant alterations of the same steps in different registers. As a result there are diminished or augmented octaves. The whole work is sustained in this “distorted intonational space.” “Corrected” pure octaves appear only in the coda, where all the themes are combined and a diatonic scale is established.<sup>55</sup>

In the process, Schnittke selected “intonational” segments to represent the musical traditions of Russian Orthodox, Lutheran, and Gregorian, and Jewish cantillation.<sup>56</sup>

Stylistic pluralism is, of course, a logical extension of the recognition of such universals. Schnittke’s belief in the notion that certain universals served as the underpinning of music for all

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<sup>54</sup> Schnittke, “The Third Movement of Berio’s *Sinfonia*,” 223-4.

<sup>55</sup> Alfred Schnittke, “On the Fourth Symphony (1984),” in Russian, *Muzyka v SSSR* [Music in the USSR] (October-December 1984): 82; reprint in *Besedy*, 71-72; English translation in *Reader*, 47.

<sup>56</sup> By “intonational,” Schnittke refers to the notion of the “clear definition of particular musical areas and images in terms of the mesh of their principal modal, intervallic, rhythmic and textural characteristics.” Gerard McBurney, “The Music of Roman Ledenev,” *Tempo* no. 177 (June 1991): 27-29. Such symbolic uses of intonations are reflected in Michael Lawrence Hall’s contention that underlying the idea of intonation is the notion that “music is not an abstract art form, but rather represents events, emotions, individual, and concepts.” Michael Lawrence Hall, “Polystylism and Structural Unification in the Alfred Schnittke Viola Concerto,” (DMA document, University of North Carolina at Greensboro, 2000), 8 (from a definition by Ivashkin). For the basics of the theory of intonations, see Gordon D. McQuere, “The Theories of Boleslav Yavorsky,” in *Russian Theoretical Thought in Music*, ed. Gordon D. McQuere, Russian Music Studies No. 10 (Ann Arbor, MI: UMI Research Press, 1983), 129-36.

periods seems to have deepened following his contact with the remarkable personality Philip Herschkowitz (d. 1989). A native of Romania, Herschkowitz (also spelled Gershkovich), had been a student of both Alban Berg (from 1928-31) and Anton Webern (from 1935-39) in Vienna. Fleeing from the Nazi persecution of Jews, Herschkowitz eventually settled in Moscow in 1946. He never held a position at any Soviet musical institution, but the informal analytical discussions he held at his apartment influenced many contemporary Russian musicians, including Schnittke.<sup>57</sup>

Schnittke's contemporary, composer Viktor Suslin (b. 1942), said of Herschkowitz's relationship to contemporary composers,

I consider that he is one of the most important theoreticians. It is thanks to their acquaintance with him that many composers (especially in Moscow, of course) came to understand what musical form is, and began to concern themselves with it on a quite different level. This was not some kind of quantitative addition to their knowledge, but a great leap forward, into a new order. I think that without Herschkowitz we would not have works that are really interesting from a formal point of view, such as certain works by Schnittke, for instance, or Gubaidulina. Everything would have been quite different. He was the seed.<sup>58</sup>

Herschkowitz applied the analytical techniques he learned from Webern to music of all historical periods, identifying "modern elements" embedded in every musical style, with particular interest in the relationship between tonality and serialism.<sup>59</sup> Of Herschkowitz,

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<sup>57</sup> Schnittke wrote an obituary for Herschkowitz. Alfred Schnittke, "In Memory of Filip Moiseevich Gershkovich (1988)," in Russian in *Besedy*, 215-6; English translation in *Reader*, 70-71.

<sup>58</sup> Viktor Suslin, "Herschkowitz Encountered," interview by Gerard McBurney, *Tempo* no. 173 (June 1990), 40.

<sup>59</sup> "Tonal'niye istoki shyonbergovoy dodekafonii" [The Tonal Sources of Schoenberg's Dodecaphony], *Trudi po znakovim sistemam*, 6 (1973): 344-79; Klaus Linder, "Herschkowitz, Philip," *Grove Music Online* ed. L. Macy (accessed 26 September, 2003), <http://www.grovemusic.com>. According to Ivashkin, Herschkowitz comments in this article that "Schoenberg was like Columbus, with one important exception: Columbus wanted to find a new way to old India but discovered the New World instead; Schoenberg thought he had discovered the New World but had merely found a new way to old India." Ivashkin, *Schnittke*, 88.

Ivashkin had the following to say,

I distinctly remember visiting him, just having a supper with him. He talked about Beethoven or about Weber, and the way he described music—a Beethoven piano sonata, say—was completely new, fresh and full of extremely provocative ideas. I think he was always like that.

He was a paradoxical person. He was not an easy person to deal with. He wasn't really a great composer, but he was a great thinker, and he influenced Schnittke, Denisov and Gubaidulina a lot in this particular way. They had to be independent. They had to find their own way. And they always had to find a new point of view on something that is very well known.

I think what was most important in his informal teaching, was that there is no such thing as modern music, old music, traditional music and avant-garde music. Music is actually something which cannot be divided.

So the same rules, or same ideas apply to Beethoven, Bach, Palestrina, Webern, Schnittke or whoever. This was fantastic. He was one of the pioneers in this kind of thinking, who did it just because he had an incredibly developed intuition in music. Not knowledge as such. He felt music like nobody else.<sup>60</sup>

Herschkowitz's notions of stylistic confluence and universal musical principles colored Schnittke's teaching at the Moscow Conservatory and provided an underlying framework through which Schnittke fashioned his own inclusive style.<sup>61</sup> As he wrote in regard to his Fourth Symphony, "By making contact with the creative work of our distant ancestors we have a different sense of time, of time as an unbroken line, almost as a 'simultaneous chord.'"<sup>62</sup>

Schnittke's habit of creating sharp contrasts by juxtaposing passages suggestive of styles from the whole spectrum of music history as well as from learned and popular idioms was present throughout his career.<sup>63</sup> In his first compositions, this tendency occurs inchoate

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<sup>60</sup> Alexander Ivashkin, "Voice in the Dark," interview by Michael Dervan, *Irish Times*, June 28, 2003, City Edition, Weekend, p. 55, [http://80-web.lexis-nexis.com.ezproxy.lib.uh.edu/universe/document?\\_m=efbea536198b3](http://80-web.lexis-nexis.com.ezproxy.lib.uh.edu/universe/document?_m=efbea536198b3) (accessed October 24, 2003).

<sup>61</sup> Ivashkin, *Schnittke*, 87-88.

<sup>62</sup> Schnittke, "Fourth Symphony," 47.

<sup>63</sup> Hall has identified three broad stylistic periods in Schnittke's music: Early (1958-68), Middle (1968-85), and Late (1985-98). Hall, "Polystylism and Structural Unification," 34.



alongside the modernist serial and aleatoric techniques that were current at the time. Schnittke's early compositions would often include surprising juxtapositions of styles, such as the mingling of jazz and serialism in his *Music for Piano and Chamber Orchestra* (1964).<sup>64</sup>

In the 1970s, the juxtaposition of quotations became a conscious element in his compositional style. Mention has already been made of the literal quotations in Symphony No. 1 (1972).<sup>65</sup> In 1977, Schnittke refined his procedures in Concerto Grosso No. 1.<sup>66</sup> In this piece, Schnittke employs what he called the "stereotypical micro-elements of an alien style" and "pseudo-quotations" he described in "Polystylistic Tendencies."<sup>67</sup> Among the most significant micro-elements in the concerto are ic1 and ic3, deployed so as to suggest atonality and tonality, respectively. The harmonic and melodic materials of the work form pitch class sets generated from various combinations of these two interval classes.<sup>68</sup> The thematic resources of the work imply three stylistic categories—Baroque, modern, and popular. The work's genre (Concerto Grosso) and movement titles (Preludio, Toccata, Recitativo, Cadenza, Rondo, and Postludio) along with its instrumentation (including strings and harpsichord, grouped into ripieno and concertino) recall Baroque procedures. Modern features involve serialism, atonality, and inclusion of prepared piano in its orchestration. Popular styles are represented by folksong parody and a tango. Despite the stylistic diversity, underlying commonalities in the thematic

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Peterson subdivides what she calls Schnittke's polystylistic period (1968-98) into four sub-periods based on Ivashkin's descriptions—1968-72, 1972 ca.-1977, 1977-85, and 1985-98, describing the various characteristics of each. Peterson, "Structural Threads," 56-60.

<sup>64</sup> Milton Babbitt composed *All Set*, which also combines serialism with allusions to jazz, in 1957.

<sup>65</sup> See p. 18.

<sup>66</sup> Concerto Grosso No. 1 is the subject of Peterson's fourth chapter, "Stylistic Diversity and Intervallic Consistency: An Analysis of Concerto Grosso No. 1," "Structural Threads," 139-218.

<sup>67</sup> Schnittke, "Polystylistic Tendencies," 87.

<sup>68</sup> Peterson, "Structural Threads," 141-46.

materials unify the pieces.

Many of Schnittke's quotations refer to sacred music, which carries with it associations with acceptance and redemption. String Quartet No. 2 (1980), written as a required piece at the International String Quartet Competition in Evian (France), was dedicated to Larissa Shepitko, a film director and friend of Schnittke who died in an automobile accident. The consolatory program of the Quartet is enhanced by Schnittke's selection of material, its single source a unifying device in the work. The composer said of the Quartet,

Almost all the thematic material of the Quartet, which consists of four movements that follow one another directly, is taken from old Russian church songs. (Russian sacred music of the 16<sup>th</sup> to the 17<sup>th</sup> centuries was quite distinctive because of its dissonant heterophony.) The material is rather freely handled—diatonic themes become chromatic, their intervals are expanded or contracted through a deliberately complicated performance technique by which scale-step instability is achieved; this leads to choral effects.<sup>69</sup>

Eventually more subtle allusions superseded quotations in Schnittke's work. In 1985, Schnittke suffered the first of five strokes that would eventually end his life. He sensed his illness marked a critical juncture in his life; things were to be very different after his stroke than before:

Something that made a great impression on me and continues to do so is my growing feeling that the same amount of time can vary in length. In human life—at any rate in my own case—time has two circles of development. The first, the longest, which seemed for me to come to an end in 1985, and the second, which began after that time. Now every day has a very long time span. It contains a great deal.<sup>70</sup>

And in 1989, Gidon Kremer said of Schnittke,

An inner change took place directly before or after his illness. Some people think that the Cello Concerto, written at that time, seems to provide evidence of this. But already in

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<sup>69</sup> Translation mine. Alfred Schnittke, "Streichquartett Nr. 2," *Alfred Schnittke zum 60. Geburtstag—Eine Festschrift*, ed. Jürgen Kochel (Hamburg: Sikorski, 1994), 122-23. In the final fourth movement, Ivan Moody has identified a quotation from *Kheruvimskaya piesn* (Cherubic Hymn) which has a place in the Orthodox Liturgy of St. John Chrysostom. Ivan Moody, "The Music of Alfred Schnittke," *Tempo* no. 168 (March 1989): 6.

<sup>70</sup> Schnittke, "Conversations with Ivashkin," 5.

the String Trio, written before his illness, I find the quintessence of his suffering, or even the whole of his struggle to find some unearthly power that might enable him, if you like, to overcome the force of gravity. Written before the illness, the String Trio has a lucidity that anticipates the definite sense of luminescence of later works. Generally speaking, talking about his illness as a definite point of change, I would say that there he had a presentiment of the illness even before it came. The String Trio and even moments in the Second String Quartet are evidence of this. After the illness there was further development of this feeling. As he himself said, a new time began for him.<sup>71</sup>

His music during this final period became more compressed, intense, and introspective. His procedures of stylistic pluralism remained, though with the tendency to replace quotation with a single element—a monogram, characteristic interval, or particular harmonic structure—that would represent a style. Schnittke composed the Fourth Quartet just four years after his first stroke. There are no discernible quotations or pseudo-quotations in the work, but rather the subtle “scents and shadows” of various styles pervades the composition.

In fashioning stylistic allusions in the Fourth Quartet, Schnittke relied on established features of other styles combined with an array of musical ideas that developed in the course of his career to take on symbolic meaning. Although style features in the Quartet may be understood as subsumed under the broad categories of diatonic and chromatic resources, Schnittke’s efforts toward integration blend these resources and their associated features. His musical symbols often emanate from Schnittke’s views on the “basic structural law”<sup>72</sup> of nature.

Among the diatonic elements in the Quartet are triads and the pentatonic collection along with its association with perfect fourths and fifths. More overt are references to Baroque features such as the ritornello procedures of the fourth movement and mirrored or wedge textures. Both canon and chorale are associated with Baroque procedures, and particularly with J. S. Bach.

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<sup>71</sup> Gidon Kremer, “Gidon Kremer on Schnittke (1989),” interview in Russian by Alexander Ivashkin, in *Besedy*, 238-45; English translation in *Reader*, 234.

<sup>72</sup> See p. 10.

In fact, the Quartet affirms Schnittke's longstanding attachment to the Baroque composer. As he told Ivashkin,

Try to have a loud conversation when Bach's music is playing and you find you cannot. . . .

Bach's music produces its own form of physical effect, although not one of loudness or harshness. In fact, one could call it a spiritual effect. But in Bach's music one ceases to be conscious of the boundary between what is spiritual and what is physical, or, to be more precise, the spiritual is a continuation of the physical, not something quite distinct from it.<sup>73</sup>

For Schnittke, Bach's influence is an important link in the "simultaneous chord"<sup>74</sup> that is the historical legacy for twentieth-century musicians. During a lecture to the students of the Hamburg Musikhochschule, for example, he commented that "at least two centuries of European music were 'Bach-centered,'" and that throughout his career he himself had interacted with "Bachian techniques" in his own compositions.<sup>75</sup>

The quartet's chromatic resources, including microtonality, the chromatic aggregate, and manipulation of pitch class sets (especially those that are symmetrical) are associated with twentieth-century techniques. Simultaneous duple and triple divisions of the beat and ametrical passages also serve as emblems of modernism.

Concomitant with these stylistic juxtapositions are rhetorical ideas that took on meaning with respect to his perception of the human condition as the individual faces good and evil, life and death, thus carrying broadly positive or negative implications. Early on he recognized the existence of a kind of symbolism in music that is a function of its sonoristic character, such as the ability of loud, jarring sounds to evoke alarm in the listener or euphonious ones to create

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<sup>73</sup> Schnittke, "Conversations with Ivashkin," 9.

<sup>74</sup> See p. 39, note 62.

<sup>75</sup> Ivashkin, *Schnittke*, 166. Schnittke's frequent use of the BACH motto in some of his most important pieces (including Sonata No. 2 for Violin and Piano (*Quasi una sonata*), Piano Quintet (1978), Symphony No. 3, and Concerto Grosso No. 3) symbolizes Bach as a primary source of the genetic material of Western music and of his own.

calm. In *The Eleventh Commandment* (1962), for example, style contrasts take on programmatic implications. Commissioned by the Ministry of Culture for the Bolshoi Opera, this early work ponders the emotions of the American pilot who dropped the atomic bomb on Hiroshima. In Schnittke's score, tonal harmonies reflect pleasant sentiments while dissonances portray disturbing ones.

Other ideas have more abstract associations. Balance and symmetry, like that of Classical-period compositional practice, are for Schnittke positive ideals.<sup>76</sup> This association is perhaps linked to a natural "basic structural law."<sup>77</sup>

Symmetrical structures appear in other Schnittke works. String Quartet No. 1 (1966), commissioned by the Borodin Quartet, commences with an all-combinatorial row (021T3E/594786) symmetrically laid out, the interval classes in its second hexachord a retrograde of the first. A similar arrangement is found in Schnittke's Viola Concerto (1985), in which a twelve-tone row plays an important structural role.<sup>78</sup> The first hexachord, {B $\flat$ ,A,E $\flat$ ,C,B,E}, is a motto (BASCHMET) of name of the Concerto's dedicatee, Yuri Bashmet (German spelling "Baschmet"). The second hexachord is again a palindrome of the first, {C $\sharp$ ,F $\sharp$ ,F,D,A $\flat$ ,G}. Symmetry is also a significant concern in the Fourth Quartet (Chapter 2).

In addition, good may be portrayed by "music that is in every possible way meditative and expressive of weariness, music based on overtones, music that involves a long and slow progression into static harmony."<sup>79</sup> The association of the overtone series with nature, audible he says at such places as the seaside and at Ruza, a composers' retreat outside Moscow, imbues it

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<sup>76</sup> Ivashkin, *Schnittke*, 31.

<sup>77</sup> See p. 10 above.

<sup>78</sup> Hall, "Polystylism and Structural Unification," 83.

<sup>79</sup> Schnittke, "Conversations with Ivashkin," 23.

with positive associations.<sup>80</sup>

Schnittke associates a certain type of static writing with a suggestion of the eternal:

For example, metrical accents are weakened in the adagios of Beethoven and Schubert and there arises a melodious, flowing, seamless music whose meditative profundity captivates listeners and carries them away from any real sense of time (one has the feeling of making contact with eternity).<sup>81</sup>

In his article, “Static Form: A New Conception of Time,” Schnittke identifies Ligeti (micropolyphony) and Stockhausen (moment form) among the contemporary exponents of static composition.<sup>82</sup> He characterizes Ligeti’s micropolyphony as a “musical symbol” of stasis. Stasis may be achieved either through inherently static forms (moment) that neutralize forward motion or by neutralizing metric pulse (ametricality). The creation of static time seems to have been a concern for Schnittke in the unfolding of the opening gesture of the Fourth Quartet and the work’s concluding chorale (Chapter 2).

In contrast, musical gestures that portray disintegration and turmoil—fragmented melodic lines or textures—represent what Schnittke refers to as “broken good” rather than evil in a broad sense.<sup>83</sup> In his Viola Concerto (1985), for example, *moto perpetuo* figures represent “a frenzied chase through life, guided, as it were, by a premonition of things to come.”<sup>84</sup>

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By the circumstances of his birth and life, Alfred Schnittke was perhaps destined to set for himself the task of reconciling the paradoxical. The multiplicity on the surface of his music,

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<sup>80</sup> Schnittke, “Conversations with Ivashkin,” 12.

<sup>81</sup> Schnittke, “Static Form: A New Conception of Time (1970s),” (Russian text has not yet been published.) in *Reader*, 147.

<sup>82</sup> Schnittke, “Static Form,” 147-50.

<sup>83</sup> Schnittke, “Conversations with Ivashkin,” 22. Another style that Schnittke considers suggestive of evil is pop music; no references to such music are present in the Fourth Quartet.

<sup>84</sup> The quote is Schnittke’s own description, quoted in Michael Lawrence Hall, “Polystylism and Structural Unification,” 70-71.

manifest as jarring contrasts, is often supported by an underlying coherence. In the Fourth Quartet, coherency is achieved through Schnittke's careful selection of the work's fundamental components and their animation via the processes of chorale and canon. Basic materials associated with each of these processes are considered in Chapters 2 and 3.

## CHAPTER 2

### EXPOSITION AND EXPANSION OF BASIC MATERIALS: CHORALE

The Fourth Quartet's initial Lento functions as a slow introduction to the work as a whole, laying out in the process its basic materials. These basic materials—constituent elements, devices, and procedures—are often not clearly drawn, their character left indistinct. Schnittke has described vague references to foreign styles introduced into musical works as the “scents and shadows” of these musics.<sup>1</sup> In this opening movement, he provides his audience with the scents and shadows of events to come.

The Quartet's opening gesture (mm. 1-10), which engages the audience and sets the tone of the work, is one of great power. The studied reserve of this pensive utterance demands the full attention of the listener—with its muted dynamics and slow advance interrupted by “*sehr lange Pausen*,”<sup>2</sup> the listener must strain to grasp it.<sup>3</sup> The serious—even transcendent—mood stems from the chant-like austerity of the solitary cello voice as it sings in its lowest range, unmetered and without vibrato. In the final bars of the opening gesture, the melody blossoms

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<sup>1</sup> Schnittke, “Polystylistic Tendencies,” 88. See Chapter 1, p. 16.

<sup>2</sup> Schnittke marks the first square fermata, which appears over the first bar line of the work, as *sehr lange Pausen*—“very long pause,” to distinguish them from the shorter, round traditional fermatas.

<sup>3</sup> It takes the Alban Berg Quartet one minute and twenty seconds to perform the first 10 measures. Kronos takes even longer—one minute and forty-seven seconds.



into dissonant polyphony punctuated by a perfect triad in harmonics.<sup>4</sup>

After restatements in the first movement (mm. 11-20 and 83-85), the melody will not be heard again until the final moments of the work. At the end of the fifth movement, in a closing statement of spiritual faith and resignation, Schnittke recasts the cello's meditation as the melody of a dramatic chorale (mm. 93-102).

The reinterpretation of the opening cello passage as a chorale, a tranquil moment embedded in highly dissonant surroundings, is aurally stunning. Yet Schnittke has carefully prepared for the transformation by treating its component parts as separable entities, each subject to developmental procedures. These components appear almost unnoticed, scattered throughout the work in other contexts, in anticipation of their final accumulation as a chorale. Only in retrospect does the listener understand such events as adumbrations of the concluding hymn. The cello declamation is one such element of the chorale utterance and may be referred to as a "chorale melody" to reflect its ultimate destination.

The cello declamation is a reservoir for the harmonic resources of the quartet and for the symmetrical structures that pervade the work, both of which become detachable elements to be examined, combined and manipulated as independent objects. The first large section of Chapter 2 (Section 2.1) treats the elements deconstructed from the chorale melody (first movement) and its harmonization (fifth movement). The elements are considered separately; the properties of each are discussed and explored. The second large section of the Chapter follows Schnittke's expression of the elements in the first movement. Further development of the basic materials in the remainder of the movements is addressed in Chapter 4.

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<sup>4</sup> "Perfect triad" is a triad with a perfect, rather than diminished or augmented, fifth.

## 2.1 EXPOSITION OF THE BASIC MATERIALS

The cello declamation (or one of its varied statements) appears only in the Quartet's framing first and fifth movements. These function as unifying elements in the piece and as a source of the raw materials of the work.

### 2.1.1 Cello Declamation in the First Movement: Structural and Harmonic Elements

Structural and harmonic elements exploited in the work saturate the first announcement of the declamation (mm. 1-10). Additional salient features appear in the transposed and varied repetition of the melody that immediately follows (mm. 11-20). Rounding off the movement is a truncated statement at its original transposition (mm. 83-85).

Example 2-1 shows the first statement of the cello declamation (mm. 1-10). An inventory of the pitch content of its first phrase (mm. 1-5) reveals a melody consisting of all twelve pitch classes, unduplicated and arranged in two chromatic hexachords—{D,D $\flat$ ,C,E $\flat$ ,F,E} and {F $\sharp$ ,B,A $\sharp$ ,G $\sharp$ ,G,A}.<sup>5</sup> The aggregate may serve as a referential set (as here), an initiating event, or as a local or large-scale structural goal. Concomitant with its structural duties are its properties as the full chromatic array—a protogenic collection characterized by ic1 as its most distinctive interval, and a superset subject to segmentation into selected subsets that function as the basic harmonic materials of the Quartet.

The most important of these subsets appears in the first phrase, with the emergence from the aggregate background of five pitches {D,C,E,G,A} by virtue of their long durations. These pitches, indicated in the example by letter name and pc number, form a member of set class

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<sup>5</sup> Pitch class sets are indicated by parentheses. Pitch collections are enclosed in curly brackets with pitches separated by commas. When pitch class notation is used, "0" indicates C, "t" indicates A $\sharp$ /B $\flat$  and "e" indicates B.

1                      sehr lange Pausen                      3                      4                      5

D, pc 2                      C, pc 0                      E, pc 4                      G, pc 7                      A, pc 9

non-vibr.                      3                      5

*ppp*

6                      8                      9                      10

3 1 0 2                      8 7 5                      4                      9

Vln 1                      Vln 2                      Vla                      Vcl

*p*                      *p*                      *ppp*

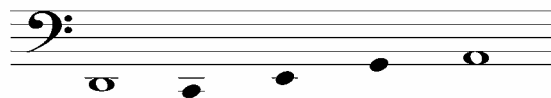
(016)                      (016)

Example 2-1. Movement I, mm. 1-10. Copyright 1989 by Universal Edition A. G., Wien/PH532. Used by permission.

(02479), the anhemitonic pentatonic collection.<sup>6</sup> The privileging of the pentatonic collection in the opening melody makes available its distinctive melodic and harmonic properties as resources in the work.

Among the structural properties of the anhemitonic pentatonic collection are the frequent occurrence of ic5, the presence of two triads (one major, the other minor), and its symmetrical architecture. Each of these properties appears as an element of the cello's opening melody, and each will play a significant role as the Quartet unfolds.

The melodic boundaries of the first phrase are defined by perfect fifth D-A, while the major triad C-E-G is interposed between (Example 2-2). In essence, the pentatonic collection has spawned two subsets of its own as it emerges from its aggregate superset—a dyad (ic5) and a triad (037). Members of the complementary set, {C#,D#,F,F#,G#,A#,B}, occupy the gaps between the pentatonic pitches.



Example 2-2. Triad embedded within the boundary pitches D and A.

The framing of the first phrase by the perfect fifth D-A suggests D as a tonal center. Although no triad on D is available from the given pentatonic collection, the symmetrical architecture, with D as its axis, reinforces that pitch as an important point of reference. Diagram 2-1 illustrates the symmetry of the collection using pitch class notation. In fact, Diagram 2-1 shows the long notes in the first phrase of the cello declamation radiate out from the axis D in pitch class space—2-0-4-7-9.

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<sup>6</sup> “Anhemitonic pentatonic” refers to pentatonic collections in which semitones are absent, typically the pattern of the black notes on the piano.

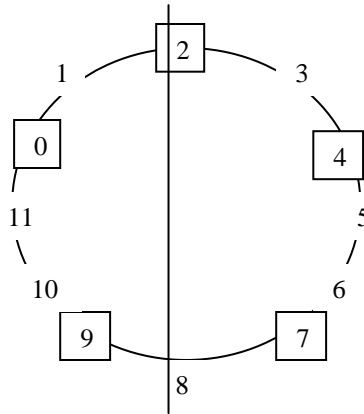


Diagram 2-1. Symmetrical architecture of the anhemitonic pentatonic collection.

A total of ten pitch classes sound in the course of the following phrase (including the sustained notes in violin 2 and viola). The ten pitches may be arranged as two five-note cycles of fourths—{E,A,D,G,C, // F,B $\flat$ ,E $\flat$ ,A $\flat$ ,D $\flat$ }, or two pentatonic collections related under  $T_1$ .

Schnittke's ordering of the pitches of mm. 6-9, indicated in Example 2-1 by pitch-class notation and in Diagram 2-2 by interval succession, seems to support the pentatonic association.

In this second phrase, Schnittke again privileges selected pitches of the cello declamation by assigning them long durations. Here, D, F, and A (mm. 6, 7-8, and 9, respectively) carry a whole note or longer. The resulting minor triad reintroduces the notion of the triad as a structural object and corroborates D as the tonal center of the Quartet.

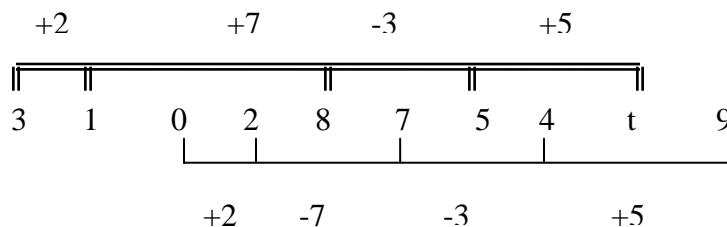


Diagram 2-2. Movement I, mm. 6-9. Layout of pentatonic collections.

Example 2-1 also demonstrates how Schnittke expands the harmonic vocabulary in the second phrase through the introduction of ic6, which appears both as a surface detail and

embedded below the musical surface. Melodic tritones occur between D and A $\flat$  (cello, mm. 6-7) and between E and B $\flat$  (viola/violin 2, m. 8). Because they are sustained, E and B $\flat$  also sound as a harmonic unit in conjunction with the cello's F and A in mm. 8 and 9. The result is two overlapping and inversionally related (under T<sub>2</sub>I) members of set class (016)—{E,F,B $\flat$ } and {E,A,B $\flat$ }, boxed in the example.

Finally, tritones frame both the second phrase (E $\flat$ , m. 6 and A, m. 9) and the cello declamation as a whole (D, m. 1 and A $\flat$ , m. 10), forming, when taken together, set class (0167), a superset of (016). Set class (0167) subsumes the most prominent intervals of both the aggregate superset and its pentatonic subset (ic1 and ic5, respectively).

The second announcement of the cello declamation (mm. 11-20) is a truncated variant of the original melody. The first six pitches are an exact transposition of the opening recitative. Schnittke opens the tonal space in this statement by octave displacement (D in m. 13, for example) and by dividing the melodic line among the instruments using the full quartet in the manner of a “super-instrument.” The dynamics rise to *pianissimo*, and there is an expanded range of vibrato markings (*non-vibrato*, *poco vibrato* and *vibrato*). The announcement concludes with groupings of chromatic pitch classes (mm. 14-19). In mm. 18-19, the chromatic trichord {A $\flat$ ,G,F $\sharp$ } is spaced as a cycle of major sevenths, introducing a dramatic gesture Schnittke will develop extensively. He employs major sevenths to open tonal space and create a descending chromatic pitch class segments (Sections 3.1.2 and 4.2.1.1.2).

Schnittke rounds off the first movement by restating the first six notes of the opening gesture at the original pitch level. The second movement follows the first without pause; the two movements are linked by E, which serves as the last pitch of the cello declamation fragment in the first movement and as a lengthy pedal that opens the Allegro.

### 2.1.2 Cello Declamation in the Fifth Movement: Harmonization and Tonal Return

The cello declamation returns transposed at the end of the fifth movement, harmonized as the melody of a homorhythmic hymn. The melody, carried by the first violin, is harmonized exclusively by root position major and minor triads (set class (037), a subset of the pentatonic collection). The two melodies, compared in Examples 2-3a and b, are analogous in terms of design. In the first seven measures of the harmonized version (mm. 93-99), the new melody is modified by pitch level, replacement of *sehr lange Pausen* by traditional fermatas, and slight rhythmic adjustments.<sup>7</sup> In the remaining measures, other minor alterations occur, perhaps to accommodate the chorale texture of the harmonization. The harmonized chorale phrase is also extended by two measures.

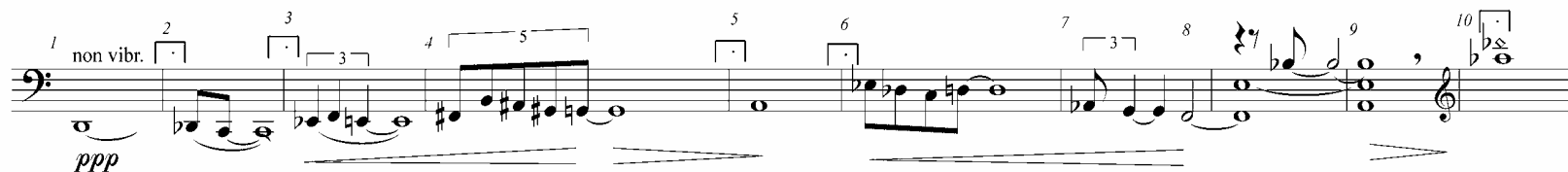
Schnittke's final statement of the melody (mm. 106-110), a restatement of the first five measures of the melody at pitch, reprises the rounding off function of the third statement of the cello declamation in the first movement. The outer-voice boundary tones, D and A, support the centrism of D as a referential element. Here again, Schnittke employs the full quartet to heighten the melodic presentation—sustained tones create an intense sonority at m. 110. Sounding in the last measure of the example is the entire referential pentatonic subset from the opening melody, {C,D,E,G,A}, along with the mediant F of the D minor triad, and D $\flat$  and E $\flat$ , upper and lower chromatic neighbors to D.<sup>8</sup>

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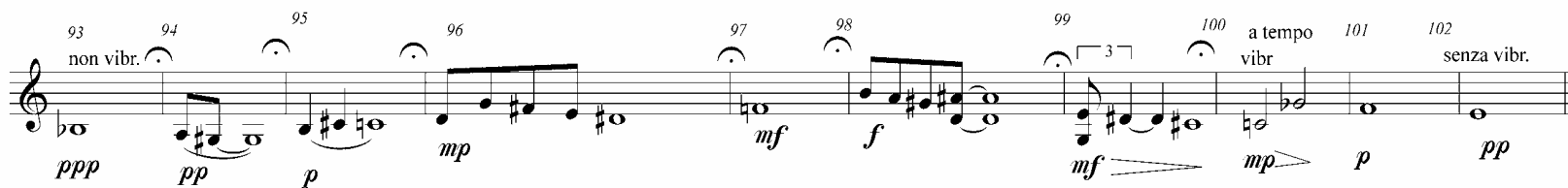
<sup>7</sup> The chorale melody in the final movement is an exact transposition (up an octave-plus-a-minor-sixth) except for E3 on the downbeat of m. 96, where D is expected. It is likely that E3 is a misprint. Substituting D3 in its place not only completes the aggregate collection, but also preserves the triadic nature of the remainder of the passage.

<sup>8</sup> For the association of C $\sharp$  and D $\flat$  to D, see Section 4.3.2.1.

a) Cello Declamation, Movement I, mm. 1-10



b) Violin 1 Chorale Melody, Movement V, mm. 93-102



Examples 2-3a and b. Movements I and V. Comparison of cello declamation and chorale melody. a) Movement I, mm. 1-10, cello declamation; b) Movement V, mm. 93-102, violin 1 chorale melody. Copyright 1989 by Universal Edition A. G., Wien/PH532. Used by permission.



### 2.1.3 Basic Materials in the Cello Declamation and Its Restatements

The cello declamation and its restatements lay out basic harmonic and procedural materials prominent in the Quartet. The statement of the aggregate in the opening cello gesture and the privileging of the pentatonic collection as its subset make available distinctive harmonic properties—in particular ic1 and ic5—as resources in the work and alludes to a certain tension between the diatonic and the chromatic.

Additional procedural devices that are important in the course of the Quartet appear subtly in the cello declamation and its restatements. Transposition, length of restated material, dynamics, and vibrato are of particular interest to the composer. These parameters are subject to modification in each statement of the melody as Schnittke carefully controls their deployment and intensity as part of his formal plan. Alteration of melodic contour as a result of register changes and the sharing of a melodic line by creating a super-instrument are also typical procedures in the Quartet.<sup>9</sup> Such modifications increase the composer's ability to generate expansive and dramatic gestures.

Ametric rhythmic organization is associated almost exclusively with the cello declamation.<sup>10</sup> The fluctuating number of beats from measure to measure in the first two statements of the opening gesture of the Quartet and segmentation of the melodic line by square or traditional fermatas account for the absence of a meter signature at the beginning of the movement. Although a meter signature is in effect during the concluding statement of the cello declamation in the first movement (mm. 83-85), the notation runs contrary to the written

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<sup>9</sup> Schnittke uses this technique in short passages throughout String Quartet No. 4. Nearly half of the third movement of String Quartet No. 1 ("Cadenza") consists of this type of melodic writing.

<sup>10</sup> Only the final statement of the chorale melody in the finale conforms to notated metric organization.

quadruple meter. The harmonized chorale, too, is explicitly marked *senza metro*. The absence of regularly recurring accents recalls Schnittke's description of "static" music that suggests the eternal by abandoning the sense of time.<sup>11</sup> The chorale harmonization, with its series of root position triads that thwarts the sense of forward motion, becomes a symbolic statement of spiritual faith in the midst of dissonant chaos.

## 2.2 EXPANSION OF THE BASIC MATERIALS

Schnittke manipulates the components of the cello declamation and its restatements, engineering new entities by extending or combining the separable elements in various ways. Many of these expanded structures are relatively inconspicuous in the first movement; their significance is revealed in subsequent movements as the work unfolds. The objects of such manipulation may be generally grouped under the headings of pitch, texture, and symmetry.

### 2.2.1 Pitch as a Compositional Resource

The chromatic and pentatonic collections exposed in the opening cello declamation generate the pitch materials of the Quartet. Resources derived from each of these sources are addressed separately in Sections 2.2.1.1 and 2.2.1.2.

#### 2.2.1.1 Chromatic Resources

Chromatic resources include segments of the aggregate employed harmonically or melodically. Such segments may be either fully chromatic or gapped. Harmonically, chromatic segments may appear as either pitch or pitch-class clusters.<sup>12</sup> A typical function of such clusters

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<sup>11</sup> Chapter 1, p. 32.

<sup>12</sup> The term "cluster" is used here to mean "a group of adjacent notes sounding simultaneously." "Cluster," *Grove Music Online* ed. L. Macy (Accessed December 28, 2004), <http://www.grovemusic.com>. "Chromatic cluster" will be used to indicate clusters in which pitches are separated by semitones; "pitch-class cluster" to indicate those in which adjacent pitch classes are separated in register; and "gapped cluster" to indicate sonorities in which a gap greater than a whole step exists between pitch names.

in the Fourth Quartet is to fill structurally important intervals. In the eight-note chord in mm. 38-39, each instrument performs a double stop. The composite texture is a chromatic cluster composed of intertwined major seconds deployed such that the outer voices form the perfect fifth B $\flat$ -F, and the inner voices chromatically fill the space in between. The cluster appears at a structural articulation and foreshadows the importance of this particular perfect fifth in later movements of the Quartet.<sup>13</sup>

Intervals may also be filled via stepwise melodic lines. These conjunct lines may not be fully chromatic, or they may take a circuitous path to their destination. The descending cello line from F3 to G2<sup>14</sup> in mm. 54-61, a gapped chromatic segment, is typical. Here the line moves steadily downward, although the double stops disrupt its direct descent. Motion is by semitone until the B $\flat$  descends by whole step to A $\flat$  in mm. 56-57. Another line joins the descent in m. 56 and progresses by a half step followed by a whole step {E, E $\flat$ , C $\sharp$ }.

Of particular significance is the unfolding of chromatic segments through spaced entrances of instruments. In mm. 18-19, the collection {A $\flat$ , G, F $\sharp$ } is deployed as an ascending cycle of major sevenths, and in mm. 21-22, the collection {B $\flat$ , A, A $\flat$ , G} is deployed as a descending cycle of minor seconds. The significance of such spaced entrances in the first movement with regard to Schnittke's canonic technique is discussed in Section 3.1.2.

Schnittke's measured employment of nuanced vibrato, glissandos, and microtones expands the universe of pitches beyond the dodecaphonic collection stated in the cello declamation. The graphic indication of vibrato in m. 13 and glissandos (for example, m. 36) fill in the distance between pitches with immeasurably small increments. The glissandos like those

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<sup>13</sup> The perfect fifth B $\flat$ -F is important in the principal theme of the second movement and in the concluding harmonized choral. See Sections 4.2.2.1.2 and 4.3.2.3.

<sup>14</sup> The system used here designates middle C as C4.

in mm. 58-61 become slow microtonal trills in the first violin in mm. 62-63. In the Fourth Quartet, Schnittke's microtonic passages intensify the semitone and introduce into the texture an element of harmonic uncertainty; microtones are not components of scalar structures.

#### 2.2.1.2. Pentatonic Resources

Two subsets emerge from the privileged pentatonic collection in the cello declamation—ic5 and the triad (037). Schnittke makes extensive use of both of these throughout the Quartet.

Segments of the ic5 cycle are employed both harmonically or melodically. The succession of parallel perfect fifths in m. 76, for example, strengthens the arrival on {E,A} in m. 79, foreshadowing more extensive lines in later movements.<sup>15</sup> In m. 67, the first violin projects a melodic series of perfect fourths {E,B,F#,C#}.<sup>16</sup>

Interval class 5 dyads may combine to form tetrachords. Example 2-4a shows the possible tetrachords composed of pairs of transpositionally related ic5 dyads.<sup>17</sup> Example 2-4b shows the same tetrachords arranged symmetrically around an axis.

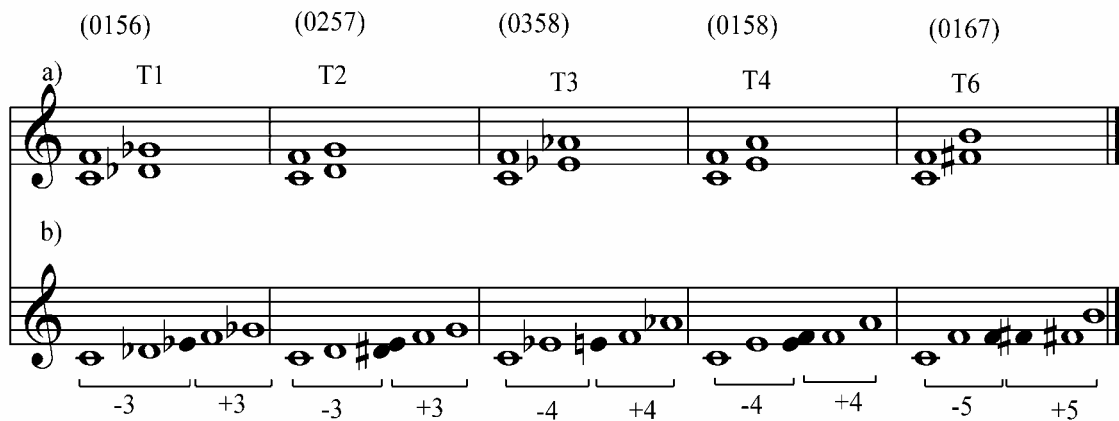
Each of these tetrachords appears in the concluding measures of the first movement (mm. 75-82), shown in Example 2-5. The perfect fifth {C,G} is sustained throughout the example, except in mm. 79-80. Where present, it combines with various transposition of itself to form the symmetrical tetrachords indicated below the cello voice. By combining members of the same set class, Schnittke prolongs or intensifies selected harmonies.

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<sup>15</sup> This succession is shown below in Example 2-5.

<sup>16</sup> This same collection introduces (in retrograde) the melody that begins in m. 41. See Section 4.1.2.

<sup>17</sup> Omitted from this array is the trichord (027) created by transposing ic5 by itself, producing a common tone. Since the sets are symmetrical, transposition by intervals 7 through 11 duplicate those in the example.



Examples 2-4a and b. Possible tetrachords comprised of transpositionally related ic5 dyads. a) Pitch class sets and transposition of dyads; b) Tetrachords arranged symmetrically around an axis (notated as stemless black notes).

Schnittke often expands combinations of transpositionally related dyads beyond the tetrachord. Example 2-6 shows a cascade of three diminished fifths deployed so that the upper pitches (A, D, and G) and the lower pitches (D $\sharp$ , G $\sharp$ , and C $\sharp$ ) of the three tritones each unfold a projection of perfect fifths. Taken as contiguous pairs, the tritones form the two statements of (0167) boxed in the example; G $\sharp$  and D are common tones. The collection taken as a whole is the superset (012678), a common pitch class set in the Quartet. Multiple transpositions of a symmetrical set may also be employed to create aggregates. In Example 2-7, the cello unfolds the aggregate through a series of statements of (0167).

Perfect triads, particularly minor triads in root position, occur as independent elements throughout the Quartet, often in homorhythmic texture. Schnittke employs these structures, subsets of the pentatonic collection, to great effect as harmonic support in the chorale harmonization. Schnittke also uses triads enriched by appending an additional tone a minor second above or below any one of the triad members. Triads of either the perfect or enriched type may serve as accompaniment for more active lines or as punctuation for cadences.

75 76 77 78 79 80 81 82

*pp* *pp* *pp* *pp* *pp* *mf* *pp*

(0156) (0257) (0158) (0167)

non-vibr. non-vibr. vibr. vibr.

*p* *p* *mp* *mf* *mf* *pp*

Vln2/Vcl (0257) Vln 1/Vcl (0358)

Example 2-5. Movement I, mm. 75-82. Tetrachords comprised of transpositionally related ic5 dyads. Note the microtones in mm. 75 (violin 1) and 77-78 (cello). Copyright 1989 by Universal Edition A. G., Wien/PH532. Used by permission.

The image shows a musical score for four staves (treble and bass clefs) in 4/4 time. The score covers measures 27 and 28. Above measure 27 is a bracket labeled '27' and above measure 28 is a bracket labeled '28'. A curved line connects the two measures, with the label '(0167)' above it. The first two staves (treble clef) have dynamic markings *mf* in measure 27 and *p* in measure 28, with a wedge indicating a decrease in volume. The third staff (bass clef) has dynamic markings *mp* in measure 27 and *p* in measure 28, also with a wedge. The fourth staff (bass clef) has a dynamic marking *p* in measure 28. Below the staves, a bracket labeled '(012678)' spans measures 27 and 28. Another bracket labeled '(0167)' is positioned below the fourth staff in measure 28.

Example 2-6. Movement I, mm. 27-28. Set class (012678) as a superset of two transpositions of (0167).

Schnittke employs triads as punctuating sonorities in the first movement. The punctuating A $\flat$ -major triad in m. 10 has already been noted. Example 2-8 shows two additional triads found in the first movement. They function again as punctuation, but neither triad is in root position. In subsequent movements, nearly all triads are in root position.

### 2.2.2 Texture as a Compositional Resource

Texture is an important compositional resource in the Fourth Quartet. Not only are monophony, homophony, and polyphony elements of the work's formal plan, but these textures seem to play a role in the Quartet's rhetorical narrative. The first movement's dramatic monophonic opening, with its chant-like style, evokes associations with sacred music. The hymn-like quality of the homophonic texture in the concluding chorale also links homorhythms with faith. In retrospect, homorhythmic texture may be understood as a deconstructed element of

The image displays a musical score for Movement II, measures 218-23. The score is written for four staves: three treble clefs (top three) and one bass clef (bottom). The key signature is one flat (B-flat), and the time signature is 4/4. The music features a series of triplet figures and dynamic markings: *mf*, *f*, and *ff*. The bottom staff contains three boxed segments, each labeled with a transposition of the set (0167): *sf* *mf*, *f*, and *ff*. Arrows labeled "T10" indicate the transposition of these segments. The measures are numbered 218, 219, 220, 221, 222, and 223. The score illustrates the completion of an aggregate through three transpositions of the set (0167).

Example 2-7. Movement II, mm. 218-23. Aggregate completion through three transpositions of (0167). Copyright 1989 by Universal Edition A. G., Wien/PH532. Used by permission.



18 19 20 21 vibr. 22 23 24

*mp* *p* *mp*

*mp* *p* *mp*

*mp* *pp* *pp*

*pp* *p* *mp* *pp*

non-vibr. vibr. non-vibr. non-vibr.

vibr. vibr. vibr.

*e* 6  
3

*a* 6  
4

Example 2-8. Movement I, mm. 18-24. Triads. Copyright 1989 by Universal Edition A. G., Wien/PH532. Used by permission.

chorale. Schnittke introduces two types of homophonic textures in the first movement, both of which appear in mm. 37-43. The more common of the two occurs in mm. 37-39, where a chorale texture is produced by all voices moving simultaneously from sonority to sonority.<sup>18</sup> The second type, which follows in mm. 40-43 in the lower three voices, is one in which the texture accumulates by successively added and sustained tones.<sup>19</sup>

Schnittke counterpoises homophonic and canonic imitation in his processes of intensification. In these processes, the greater simplicity of homophonic texture represents a higher degree of stability. Instability increases as the texture becomes more complex with the introduction of more intricate polyphony. These mercurial textures (and canonic imitation in particular) may be associated with the “broken good” Schnittke described in his conversations with Ivashkin.<sup>20</sup> Canonic imitation and intensification procedures are addressed in Chapters 3 and 4, respectively.

### 2.2.3 Symmetry as a Compositional Resource

Mention has already been made of Schnittke’s interest in symmetry. In the Fourth Quartet, symmetries are arranged either spatially (collections arranged symmetrically in musical space) or abstractly (collections with symmetrical morphology, but deployed such that those properties are not architecturally displayed).

#### 2.2.3.1 Spatial Symmetry

Tetrachords created by the combination of transpositionally related dyads may be deployed as spatial symmetries. Such symmetrical sets are pervasive in the quartet, often

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<sup>18</sup> Each of the oscillating six-note simultaneities in m. 37 consists of two sets of (0167) related by a common tritone (E<sup>b</sup>-A in the first, and D-G<sup>#</sup> in the second).

<sup>19</sup> Schnittke used this cumulative technique in connection with chorale in his Third Quartet. See String Quartet No. 3, Second Movement, mm. 60-73.

<sup>20</sup> Chapter 1, p. 32.

thickening textures in homorhythmic passages. Examples 2-9a and b show the oscillation of two vertical statements of (012678). This hexachord is a superset composed of two transpositions of (0167) that have a common tritone ( $\{E^b, A\}$  on beats 1 and 3 and  $\{D, G^\sharp\}$  on beats 2 and 4). The superset is symmetrical (with an index number of 8) and deployed in a symmetrical manner, as shown in Example 2-9b.

a) Movement I, m. 37

Diagram illustrating the symmetrical subsets and supersets in Movement I, m. 37. The score shows four measures of music. The first measure is labeled (012678), the second (012678) at T11, and the third and fourth are labeled (0167). The notes are grouped into boxes corresponding to these labels.

b) Spatial symmetry in supersets.

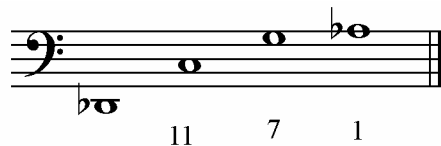
Diagram illustrating the spatial symmetry in supersets. The score shows two parts: Beats 1 and 3, and Beats 2 and 4. The notes are grouped into boxes corresponding to these labels. Below the notes, the semitones are indicated: 6, 5, 6, 5, 6, 6, 5, 6, 5, 6.

Examples 2-9a and b. Movement I, m. 37. Symmetrical subsets and supersets. a) Subsets and supersets; b) Spatial symmetry in supersets. Copyright 1989 by Universal Edition A.G., Wien PH/532. Reprinted by permission.

### 2.2.3.2 Abstract Symmetry

Symmetrical structures may also be laid out in a manner such that the musical surface obscures its symmetrical morphology. Example 2-10 shows the pitches of the sonority in m. 73 of the first movement in their original registers. The pitch collection,  $\{C, D^b, G, A^b\}$ , is a member of symmetrical set class (0156). The Arabic numerals, which indicates number of semitones, marked below each melodic interval illustrate that the sonority is not arranged symmetrically in

pitch space; it is deployed in a manner that its symmetry is obscured. Such an arrangement, however, may be considered to exhibit symmetry in pitch class space.



Example 2-10. Abstract symmetry in set class (0156).

\* \* \*

Schnittke counterpoises the homorhythmic and polyphonic textures of chorale and canon as contrasting principles in the Fourth Quartet. The interests of the two textures are not always competitive. Indeed, Schnittke's preoccupation with discovering commonalities between seemingly antithetical elements results in an intersection between the two, each one enhancing and enriching the other. Chapter 3 explores Schnittke's style of canonic writing and its links with chorale.

## **CHAPTER 3**

### **THE BASIC MATERIALS OF CANON: MORPHOLOGY AND FUNCTION**

The harmonized chorale operates as a point of convergence, an accumulation of objects whose separable components serve as a source for germinal elements and procedures of the work. The basic materials of canon, however, are deployed in a very different manner—the only traces of canon in the opening Lento are the shadowy prototypes of canonic entrances (Movement I, mm. 25ff), and there is no canon archetype analogous to the chorale harmonization. Nevertheless, canonic textures permeate the texture of all but the first movement, exposing, intensifying, or developing the work's motives and tonal strategy.

This chapter begins with an historical perspective on canonic technique and some observations concerning canonic prototypes in the first movement (Section 3.1). The array of structural types exhibited in Schnittke's technique is considered in Section 3.2.

#### 3.1 MORPHOLOGY OF CANONS IN THE FOURTH QUARTET

Canonic imitation has a long history, described in centuries of theoretical treatises.<sup>1</sup> As such, it is not surprising that its processes have evolved and changed over time in both practical and theoretical sources. Schnittke forges his own technique from the vast experience of other composers, including those working in the twentieth century.

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<sup>1</sup> Denis Brian Collins, "Canon in Music Theory from c. 1550 to c. 1800," 2 vols. (Ph.D diss., Stanford University, 1992).

### 3.1.1 Canon History and Terminology

The term “canon” denotes a particular type of imitative technique. Implicit in the procedure is the notion that *comes* voices are derived from a *dux* via a “rule” or “canon.” In a study of the music of Stravinsky, Glenn Watkins formulates the following definition: “By the term ‘canon’ I mean to define a strict and rigorously imitative form, all of whose parts ‘could be reduced to, and be performed from, a single written line.’”<sup>2</sup>

During the eighteenth century, Bach’s great essays in canonic technique (including *Musical Offering*, Goldberg Variations, and Canonic Variations on *Vom Himmel hoch*) set the standard for tonal music with regard to contrapuntal writing of all types. The traditional canons of the common practice period are typically composed so that the lines are heard as independent entities. In terms of the time interval between entrances, this means that voices generally enter after an interval long enough to allow the listener to grasp the metric and motivic character of the melody before it appears again in a different voice, but not so long that he is unable to recall the imitated passage.

Although genres of the Classical and Romantic periods—symphony, opera, Lied, and character pieces, for example—made canonic technique less compatible with aesthetic sensibilities, canon experienced something of a renaissance in post-tonal music. In the first half of the twentieth century, Webern, Bartók, Stravinsky, and Schoenberg all made extensive use of the technique. There are a number of affinities between the approach of these composers and Schnittke’s canons.

Kathryn Bailey demonstrates how Webern’s canons tend toward rhythmic but not

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<sup>2</sup> Glenn Watkins, “The Canon and Stravinsky’s Late Style,” in *Confronting Stravinsky: Man, Musician, and Modernist*, ed. Jann Pasler (Berkeley, CA: University of California Press, 1986), 217-46. He quotes Hans T. David, *J.S. Bach’s Musical Offering* (1945; reprint New York, 1972), 22.

melodic strictness—that is, “the *comes* neither consistently duplicates nor consistently mirrors that of the *dux*.”<sup>3</sup> She goes on to say that

Webern seems to consider a rhythmic canon between voices with similar row forms to be strict, regardless of their actual melodic disposition, apparently judging the inherent sameness of like rows to be sufficiently binding. This is a significant step in the progressive abstraction from canon of the sonic elements that make its aural recognition possible, a process that is complete in Op. 31.<sup>4</sup>

Canonic textures also pervade the six string quartets by Bartók. Bernard Rands demonstrates Bartók’s use of canon to expand and intensify melodic ideas or to affirm a musical argument.<sup>5</sup> Rands describes several passages in which the *comes* is altered, adding that Bartók might make rhythmic or melodic modifications “if the changes procure the desired effect, causing his musical thoughts to make a greater impression and appear with greater force, clarity or poignancy.”<sup>6</sup>

Schoenberg, too, echoing Rands’s assessment, identifies canon as a vehicle for intensification. In an article describing the Minuet and Trio from his Suite Op. 25, Schoenberg observed that, “It [canon] is only one of the ways of adding coherent accompaniment, or subordinate voices to the main theme, whose character it thus helps to express more intensively.”<sup>7</sup>

Canonic procedures in Stravinsky’s Cantata have drawn the attention of scholars like Glenn Watkins and Christoph Neidhöfer. Glenn Watkins recounts Stravinsky’s canonic technique in his late works, acknowledging the rhythmic and registral alterations in the imitating

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<sup>3</sup> Kathryn Bailey, “Canon and Beyond: Webern’s Op. 31 Cantata,” *Music Analysis* 7 (October 1998): 314.

<sup>4</sup> Bailey, “Canon and Beyond,” 315.

<sup>5</sup> Bernard Rands, “The Use of Canon in Bartók’s Quartets,” *Music Review* 18 (August 1957): 186-87.

<sup>6</sup> Rands, “Canon in Bartók’s Quartets,” 184.

<sup>7</sup> Arnold Schoenberg, “Composition with Twelve Tones (I),” in *Style and Idea*, ed. Leonard Stein (New York: St. Martin’s Press, 1975), 235.

voices. Watkins has grouped the canons into categories according to the type of modification:

. . . in both labeled and nonlabeled canons of the decade [1951-61], there is a range of structures from classically defined canon to those that may be classified only as pitch-canons, rhythm-canons, or pitch-rhythm canons with registral freedom.<sup>8</sup>

Neidhöfer has devised an elaborate typology based on the treatment in the *comes* of specific variables: interval classes, step class interval, rhythm, and contour.<sup>9</sup> Of particular interest with regard to Schnittke's music is Neidhöfer's free ic canon, in which the imitating voices may substitute an interval in the *dux* with its complement or inversion; rhythmic modifications may also appear in such canons.

Among late twentieth-century composers, Ligeti's creation of multi-voiced canons to create a sound-mass (micropolyphony) is of particular interest with regard to Schnittke's technique. Ligeti's closely spaced and dense canonic imitation is so complex that its individual lines disappear into the texture. Robert Rollin describes Ligeti's procedures as a reflection of the composer's interest in "the imagined, the mysterious, with the beautiful yet frightening and distant."<sup>10</sup> Schnittke wrote an analysis of Ligeti's *Lontano* during the 1970s, in which he characterizes Ligeti's method as that of "a composer who revealed the world of musical stasis with all its secret energies."<sup>11</sup> Ligeti's inclinations toward the mysterious and the dynamic stasis of his music may have struck Schnittke's fancy in his own attempts to create textures that are static on the surface, but animated below. Schnittke's first-species canons, in which time and pitch intervals are very close, approach Ligeti's example.

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<sup>8</sup> Watkins, "The Canon and Stravinsky's Late Style," 226.

<sup>9</sup> Christoph Neidhöfer, "A Case of Cross-Fertilization: Serial and Non-Serial Counterpoint in Stravinsky's Cantata (1951-52)," *Tijdschrift voor Muziektheorie* 9 (May 2004): 92.

<sup>10</sup> Robert L. Rollin, "Ligeti's *Lontano*: Traditional Canonic Technique in a New Guise," *Music Review* 41 (November 1980), 292.

<sup>11</sup> Alfred Schnittke, "Ligeti's Orchestral Micropolyphony (1970s)," in *Reader*, 225-28. According to Ivashkin, the article has not been published in the original Russian.



Historically, “canon” implies imitation generated by the application of a “rule” by which *comes* voices may be derived from a given *dux*. Composers working in the twentieth century have found canonic imitation useful in the exposition, expansion and intensification of musical ideas and in the creation of sound-mass music. Often their structures vary with regard to how rigorously the *comes* voices duplicate the *dux*. Schnittke’s canons, too, embrace a wide range of functions and types. In the Fourth Quartet, structures that will develop into canonic imitation are suggested in the first movement.

### 3.1.2 Proto-Canonic Entrances in the First Movement

The first movement presents a succession of cascades, shown in Example 3-1, which anticipate the canonic procedures found in the body of the Quartet.<sup>12</sup> The example begins with an ascending gesture (mm. 18-20, bracketed in the example) that closes a varied restatement of the opening cello declamation. Perfect triads (mm. 20 and 24), performed *pianissimo* and without vibrato, set off the cascades. Dynamic markings shape the passage—*piano* in m. 21, growing to *mezzoforte* in m. 26 and returning to *piano* in mm. 27-28.

The instruments of each cascade enter at consistently spaced time intervals, although the interval may vary for each. Individual cascades unfold one of two important set classes, (0123) or (0167), as indicated under the cello staff in the example. These pitch class sets are pervasive harmonic elements in the quartet; present in both is ic1, designated as an important interval in the opening cello declamation.

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<sup>12</sup> I use the term cascade in much the same sense it is used in cell biology. A protein may trigger the process of sending information from station to station through pathways known as “signaling cascades.” No directionality can be inferred from the cascades, only the process of motion.



Each of the cascades in mm. 18-19, 21-22, 25, and 26 forms a chromatic segment, (012) or (0123). Each segment, however, is deployed in a slightly different manner. Because Schnittke employs a variety of spatial arrangements to carefully control tonal space, he is able to contract or expand tonal space at will.

In m. 25, the voices unfold {C $\sharp$ ,D,D $\sharp$ ,E}—a succession of minor seconds that produces an ascending chromatic series. The cascade in mm. 21-22 also employs a segment of the minor second cycle {B $\flat$ ,A,A $\flat$ ,G}, but one arranged so that the cascade descends as it moves from instrument to instrument. Since the pitches in each of these cascades are chromatically adjacent, pitch space and pitch class space are identical.

Pitch collections that constitute a chromatic segment in terms of pitch class may be arrayed in an expanded range. The rising major sevenths in mm. 18-19 unfold a descending chromatic series {A $\flat$ ,G,F $\sharp$ }; in m. 26 two minor seconds, one descending {F $\sharp$ ,F} and one ascending {D $\sharp$ ,E} are widely spaced. The arrangement of pitches in open spacing in these cascades produces chromatic segments in pitch class space only.

The remaining two cascades (m. 23 and mm. 27-28) involve set class (0167), a set that combines intervals significant in the Quartet—interval classes 1, 5, and 6. In mm. 23, they are deployed as interlocking tritones (violin 1/viola; and violin 2/cello). The pitch space is expanded in the cascade in mm. 27-28. Here dyads rather than single pitches cascade downward, arranged so that the series of upper pitches {A,D,G} and the series of lower pitches {D $\sharp$ ,G $\sharp$ ,C $\sharp$ } each project an ic5 cycle. In m. 28, the dyads culminate in the hexachord (012678), a superset that combines two transpositions of (0167) that have a common tritone (here, {G $\sharp$ ,D}). The (0167) subsets are boxed in the example.

In the canons of later movements, the first violin often serves as the leading voice,

followed at regular time intervals by violin 2, viola, and cello, respectively. The initial pitch of each voice is often of relatively long duration. In the Fourth Quartet, such entrances signal the beginnings of imitative textures, an important consideration since Schnittke's canonic textures, like Ligeti's, are often conceived such that the voices are not easily heard as independent entities. In the body of the Quartet, canonic entrances are often arranged in ways similar to the cascades shown in the preceding example. These cascades, then, may be understood to be proto-canonic.

### 3.2 INVENTORY OF CANON TYPES

The pervasiveness of canonic technique in all but the first movement allows Schnittke to create canons with a wide range of structures to suit his needs. Examples 3-2a-f provide an inventory of canon types encountered in the Quartet. "Canon types" will include those imitative passages in which the following voices do not duplicate every aspect of the initiating voice. Those that deviate fall into the general categories developed by Watkins and Neidhöfer with regard to Stravinsky (Section 3.1.1).

The examples are drawn from the second and fourth movements. Examples 3-2b, 2d, and 2f serve as foils to the second movement's oscillating minor-second theme. Movement IV is a clear ritornello form. (The oscillating and ritornello themes are both explored in Chapter 4.) Examples 3-2a and 2c are extracted from the episode that separates the first two ritornello statements; Example 3-2e is the opening of the third ritornello.

The variables of canonic construction—the number of voices, the time and pitch intervals between them, and the order in which they enter—provide a point of departure for a discussion of Schnittke's treatment of canon. The selected examples generally exhibit more than one salient feature of Schnittke's canonic writing; as a result, the discussion proceeds by topic rather than an examination of each example in order. Following this discussion of the basic elements, other

a) Movement IV, mm. 24-30.

The musical score for Movement IV, mm. 24-30, is presented in four staves. The first two staves are in treble clef, and the last two are in bass clef. The key signature has one sharp (F#). The score features complex rhythmic patterns, including triplets and sixteenth notes. Dynamics include forte (f) and fortissimo (ff). There are also markings for 'open string' and 'sim.' (simulazione). The score is divided into measures 24 through 30. Measure 24 starts with a forte (f) dynamic and an 'open string' marking. Measures 25 through 30 show various rhythmic patterns and dynamics, including fortissimo (ff) in measure 30. The score is a basic example of canon types.

Examples 3-2a-f. Movements II and IV. Basic examples of canon types. a) IV, mm. 24-30; b) II, mm. 190-91; c) IV, mm. 31-35; d) II, mm. 225-29; e) IV, mm. 99-101; f) II, mm. 53-55. Copyright 1989 by Universal Edition A. G., Wien/PH532. Used by permission.  
(examp. con'd.)

b) Movement II, mm. 190-91.

The musical score is written for four staves in 4/4 time. The first staff (treble clef) begins at measure 190 with a forte (*ff*) dynamic and a triplet of eighth notes. A bracket labeled "Canon 1" spans measures 190-191. A circled "G" with an arrow points to the first note of the triplet in measure 191. The second staff (treble clef) also begins at measure 190 with a forte (*ff*) dynamic and a triplet of eighth notes. A circled "G" with an arrow points to the first note of the triplet in measure 191. The third staff (bass clef) begins at measure 190 with a forte (*ff*) dynamic and a triplet of eighth notes. A circled "G" with an arrow points to the first note of the triplet in measure 191. The fourth staff (bass clef) begins at measure 190 with a forte (*ff*) dynamic and a triplet of eighth notes. A bracket labeled "Canon 2" spans measures 190-191. The score concludes with a final measure in measure 191.

(examp. con'd)

c) Movement IV, mm. 31-35.

Canon 1

Canon 2

The musical score is written for four staves in 3/2 time. Measures 31 and 32 are marked with a 'pizz.' (pizzicato) instruction and a mezzo-piano (*mp*) dynamic. Measures 33 and 34 are marked with a mezzo-forte (*mf*) dynamic. Measure 35 is a whole rest. The notation includes various accidentals (sharps, flats, naturals) and stems. Brackets above the staves indicate the measures covered by Canon 1 (measures 31-33) and Canon 2 (measures 33-35).

(examp. con'd)

d) Movement II, mm. 225-29.

Canon 1

Canon 2

fff

ff

fff

ff

fff

ff

ff

(examp. con'd)



e) Movement IV, mm. 99-101.

A musical score for Movement IV, measures 99-101. The score is written for four staves in 3/4 time. The key signature has one sharp (F#). The first staff (treble clef) has a *fff* dynamic marking at measure 99. The second staff (treble clef) has a *fff* dynamic marking at measure 99. The third staff (bass clef) has a *fff* dynamic marking at measure 99. The fourth staff (bass clef) has a *fff* dynamic marking at measure 99. The score includes various musical notations such as notes, rests, and slurs. Measure 99 starts with a whole rest in the first staff, followed by a half note in the second staff, and a half note in the third staff. Measure 100 starts with a whole rest in the first staff, followed by a half note in the second staff, and a half note in the third staff. Measure 101 starts with a whole rest in the first staff, followed by a half note in the second staff, and a half note in the third staff. The score ends with a double bar line at the end of measure 101.

(examp. con'd)

f) Movement II, mm. 53-55.

53

major 7th

*f*

54

*ff*

55

minor seventh

*f*

*ff*

*f*

*ff*

longer time interval

single perfect fourth

expanded succession fourths in inversion

considerations, including the length of sustained imitation, method by which the voices enter, rigor of the imitation, and certain other construction types used by the composer will be addressed.

### 3.2.1 Number of Voices

When one voice is allotted to each participating instrument, canonic structures may involve two, three, or four voices (see Examples 3-2a, b, and c, respectively). In Example 3-2a, a two-voice canon, the *comes* voice follows the *dux* strictly, but is divided between violin 2 and viola (indicated in the example by a dashed line), perhaps to maintain the performance of the initial note of each motivic segment on an open string.

When double stops are employed, the number of canonic voices may exceed the number of participating instruments. In Example 3-2d, the double stops in the second violin and viola expand the number of canonic voices to six. The cello imitates the first violin, but its voice commences simultaneously with the second voice of the viola in m. 227. Its low C in m. 226 is not part of the canon.

Each instrument is double-stopped in Example 3-2e. The upper voice of each instrument duplicates the lower voice of the preceding one in the manner of a canon at the octave. If each note of the double stop is considered an independent voice, the result is an eight-voice canon.

### 3.2.2 Time Interval between Voices

The time interval that separates entrances is often brief in Schnittke's canons—one beat or less. In Example 3-2d, the voices enter a beat apart in Canon 1; in Canon 2, the time interval is reduced to a half-beat. Voices also enter at half-beat intervals in the canons in Examples 3-2b, 2c, and 2e. Such entrances locate the imitative material on different parts of the measure, or even different parts of the beat. More importantly, however, such short time intervals between

entrances make it difficult for the listener to grasp the imitated melody before the following voices enter; the independence of individual lines is obscured.

Occasionally, longer intervals separate entrances. In Example 3-2a, the *comes* follows the *dux* after a full measure. The canonic voices are composed of a series of two-measure motivic units, so that in each voice, the beginning of each unit consistently coincides with the downbeat of alternate measures (mm. 24, 26, and 28 for Violin 1). Contrasting rhythmic units in the overlapping measure (quarter-note triplets against syncopated half notes) allow the listener to distinguish each voice. The pitch interval between the voices, a perfect fifth, furthers the traditional character of this canon.

The time interval between voices may also be inconsistent. In Example 3-2f, the imitating voices enter after successively longer time intervals. The false entry of the cello (it begins with a single perfect fourth and then inverts and expands the corresponding succession of fourths in the upper three instruments), arrives after two full beats.

### 3.2.3 Pitch Interval between Voices

The beginning pitches of participating voices in Schnittke's canons often unfold cycles of ic1 or ic5, intervals important in the Quartet in general. Voices separated by ic1 are especially common, as illustrated by both canons in Example 3-2c. Here, each instrument enters a minor second above the preceding voice so that the first pitches form a tetrachord belonging to set class (0123). Entrances in which the starting pitches form a chromatic segment, that is, they enter a minor second, major seventh, or their octave compounds apart, are the most common arrangement in the Fourth Quartet. Other initiating collections, however, are also possible. In Example 3-2a, the voices enter a perfect fifth apart; canons beginning in mm. 53 and 103 of the fourth movement (not shown in the examples) feature starting collections that belong to set

classes (0257) and (0167), respectively.

Consistency between pitch intervals, too, may not be maintained. In Example 3-2f, violin 1 and violin 2 begin a major seventh apart (B $\flat$ -B); the viola follows the second violin, however, a minor seventh below (B-C $\sharp$ ). In Example 3-2b, the starting pitches of each voice of Canon 1 {D,C $\sharp$ ,C} are a minor ninth apart. Then, in Canon 2, which begins in the last beat of m. 190, the interval of imitation “corrects” to a perfect octave. (The initiating G’s of the canonic voices are indicated in the example.)

#### 3.2.4 Order of Voices

The most common arrangement for entering order of voices in the Fourth Quartet is the cascade, illustrated in Example 3-2b, 2d, 2e and 2f, was anticipated in the Quartet’s first movement (Example 3-1). The long duration of the starting notes in Example 3-2d is also typical. Schnittke uses a number of other entrance arrangements, including that in Example 3-2c, in which the voices enter in the order viola-violin 2-violin 1-cello.

#### 3.2.5 Length of Canon

The relatively short length of Schnittke’s canons, often including only a few notes (two or three notes in Example 3-2e, Canon 1) allows little opportunity for the listener to track individual voices. In the absence of easily perceived voice independence, the cascade entrances on long notes, like that in Example 3-2d, become an important aural cue signaling the presence of canonic imitation.

#### 3.2.6 Texture

Schnittke’s preoccupation with the synthesis of seemingly contrasting elements can be seen in his treatment of textures. Example 3-2c shows two four-voice canons, beginning in mm. 31 (*mp*) and 33 (*mf*), respectively. Each voice proceeds in even quarter notes and entrances are

spaced a quarter note apart in first species counterpoint; the aural impression is that of homorhythmic texture. Examples of first species counterpoint, including Example 3-2b, are scattered throughout the Fourth Quartet.

### 3.2.7 Group Canons

Schnittke also creates what might be called “group” canons, in which a succession of separate but juxtaposed canons is heard as part of the same gesture. Example 3-3, taken from the second movement, shows a single musical entity comprised of three canons, each with its own structure. Canon boundaries are marked in the score with brackets, and pitches that do not participate in the imitation are circled. The canons are distinguished from one another by order of voice entrance, interval of imitation, rhythmic figures, or by the presence or absence of consistent mirroring.

Canon 1 begins with a striking series of ascending perfect fourths (violin 1). The voices enter in cascade fashion a minor ninth apart, their initial pitch classes creating set class (0123). The deployment in pitch space spans over three octaves (E2-G5). Rhythmically, this canon is characterized by eighth-note triplets. Though not completely strict—there are a few instances of octave displacement and inversion—the direction of all voices is basically uniform. Violin 1 states the aggregate (including E5 at the end of m. 40) without duplication of pitch classes; each successive voice states progressively fewer notes because the course of each is interrupted by Canon 2 in m. 41. In both violin 1 and viola, a single note (E4 and F3, respectively) is interpolated between Canon 1 and Canon 2. In the cello, the briefest voice, B♭ elides the two canons.

The initiating cascade of starting pitches in Canon 2 {F,E,B,B♭}(m. 41) forms set class (0167), and the rhythm is now augmented to quarter-note triplets. Imitation is strict and the viola

Canon 1                      Canon 2                      Canon 3

40 41 42 43 44 45

*f* *f* *f*

eliding Bb      enharmonic ellision      G#/A axis

Example 3-3. Movement II, mm. 40-45. Group canon. Copyright 1989 by Universal Edition A. G., Wien/PH532. Used by permission.

and cello mirror violin 1 and violin 2. G3 is interpolated between Canon 2 and Canon 3 in violin 2; these canons are again elided in the cello (G#3/A♭3) across the bar in mm. 42-43.

In Canon 3 (m. 43), the first violin and cello begin simultaneously, moving in strict contrary motion from the common axis, G# (or A♭)/A. Violin 2 and viola also begin simultaneously in canon with violin 1 and cello, mirroring one another around the same G#/A axis. The imitation in these middle voices is less exact than in the outer voices, and the mirror is not fully preserved. Both quarter-note and eighth-note triplets occur in Canon 3.

### 3.2.8 Free Imitation

Alongside Schnittke's strict canons are those in which the imitation is free in one or more ways. Several types of free alterations in canonic structures are shown in Example 3-4a and b.<sup>13</sup> Example 3-4a shows a four-voice canon from the second movement; the boundaries of the imitation are marked with brackets. Example 3-4b is a reduction of the same passage with the pitches realigned to create a note-against-note texture.

As shown in Example 3-4a, the canon lacks a firm beginning. Violin 1 and violin 2 begin simultaneously (on E♭ and D♭, respectively), while the viola and cello follow after irregular time or pitch intervals. The cello omits its first note, G, boxed and labeled in Example 3-4b. The rhythmic series is different for each voice; Schnittke typically composes variant rhythms for his canonic voices as an intensifying technique (see Chapter 4). Schnittke may replace an interval in the *dux* by its complement or inversion; he may also employ octave displacements, or omit or interpolate pitches. Example 3-4b illustrates all of these alterations.

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<sup>13</sup> This Example illustrates features that Schnittke treats freely; it should be kept in mind, however, that in terms of his canonic writing in this quartet, it is also atypical because of the number and degree of the adjustments.



a) Movement II, mm. 25-27.

Example 3-4a is a musical score for Movement II, measures 25-27. It consists of four staves. The top staff is in treble clef, the second and third staves are in alto clef, and the bottom staff is in bass clef. The key signature has one flat (B-flat). The time signature is 4/4. The score includes various musical notations such as triplets, slurs, and accidentals. Measures 25, 26, and 27 are indicated at the top of the staves.

b) Reduction

Example 3-4b is a reduction of the musical score from Example 3-4a. It consists of four staves. The top staff is in treble clef, the second and third staves are in alto clef, and the bottom staff is in bass clef. The key signature has one flat (B-flat). The time signature is 4/4. The score includes various musical notations such as notes, rests, and accidentals. Annotations include 'descending P4s', 'P4', 'M10', 'P12', 'm6', 'mirroring', 'omitted note', 'complements + octave displacement', 'complements', 'M3', 'octave displacement', and 'added note'.

Examples 3-4a and b. Movement II, mm. 25-27. Free imitation. a) Canonic imitation marked in brackets; b) Reduction. Copyright 1989 by Universal Edition A. G., Wien/PH532. Used by permission.

1. Complement: The descending projection of perfect fourths in the *dux*, (B-F $\sharp$ -C $\sharp$ ), becomes an ascending projection of perfect fifths (E $\flat$ -B $\flat$ -F) in the cello. Both collections are boxed and labeled in the example. Complementation preserves pitch class content—a descending perfect fourth produces the same pitch classes as ascending perfect fifth—F $\sharp$  is both a fourth below and a fifth above B.
2. Complement and octave displacement: The first violin's last descending perfect fourth in the same series (F $\sharp$ -C $\sharp$ ) becomes an ascending perfect twelfth (D-A) in the viola, marked in hexagons in the example. The ascending major tenth (C $\sharp$ /D $\flat$ -F) in violin 1 becomes a descending minor sixth (A-C $\sharp$ ) in the viola and an ascending major third (F-A) in the cello, all marked in circles in the example.
3. Omission and interpolation: The cello omits a note of the canon (the initial G) and interpolates an additional note (D), boxed and labeled in the example.
4. Inverted direction: The last interval in the first violin, a descending minor second B $\flat$ -A, is followed exactly in the cello, E-E $\flat$ ; the second violin and viola invert the interval's direction. The result is outer voices that descend by minor second and inner voices that mirror them with ascending minor seconds. In contrast to complementation, change of direction results in a new pitch class—inverting the direction of minor second B $\flat$ -A produces B $\flat$ -B-natural.

A meaningful terminology of types must distinguish canons according to the nature of modifications in the imitating voices. Those canons in which the pitch interval and contour of the *dux* are duplicated exactly in the *comes* voices may simply be termed “strict.” Care must be taken, however, in applying other designations to the various free types. Schnittke's canons often feature more than one type of alteration, making it difficult to assign them to artificial

categories. Nevertheless, terms such as “pitch canon” (in which the *comes* voices duplicate the *dux* exactly with respect to pitch but not rhythm) and “pitch-class canon” (in which one or more intervals in the *dux* have been replaced in the *comes* voices by their complements or octave displacements) may be useful. Neidhöfer’s term “free ic canon” may be applied to canons that involve substitution by complement and/or inversion.

### 3.2.9 Inversion Canon and Mirroring

For Schnittke, the notions of canon and mirroring are closely allied since a mirroring voice complies with the “rule” or “canon” of inverted interval direction. Imitation using mirrored symmetry as the rule is thus a logical consequence of the application of symmetry to imitation.

Robert Gauldin identifies mirroring as one of several techniques employed in the *Fortspinnung* of Baroque melody. In mirror writing, the *inversus* is a reflection of the generating melody, as if it were the result of a mirror held below its *rectus*. Kennan distinguishes between a canon in contrary motion (*per motu contrario*) and mirror writing. “Canon,” he says, implies a *dux-comes* relationship between voices. If the inverted voices begin simultaneously, he prefers the term “mirror” rather than “canon.” Other distinctions have been drawn between inversion canon and mirror canon. Inversion canon (*canon per motu contrario per arsin et thesin*) refers to a canon in which the *rectus* melody is followed in the imitating voices through strict inversion. A mirror canon (*canone al contrario riverso*) may refer to imitating voices that are structured in retrograde inversion with respect to the initiating voice; performers of the following voices must invert the score to read their parts.<sup>14</sup>

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<sup>14</sup> Robert Gauldin, *A Practical Approach to Eighteenth-Century Counterpoint* (Englewood Cliffs, NJ: Prentice-Hall, 1988), 26; Kent Kennan, *Counterpoint*, 3d ed., (Englewood Cliffs, NJ: Prentice Hall, 1987), 98. Retrograde is a second type of mirror

Mirrored voices deployed as simultaneities were discussed in Chapter 2; here we anticipate the closely related technique of inversion canon that will be discussed in greater detail in Chapter 4. Mirroring frequently serves as an important technique in Schnittke's four-voice canonic textures. In such passages, the quartet members are grouped as mirrored pairs.

The fourth and fifth movements are particularly rich in inversion canons and mirror textures. Both movements open with the principal material presented by mirrored pairs. In the first measures of the fourth movement, the cello and viola melodies are transposed inversions of violin 1 and violin 2, respectively, in a homorhythmic texture. The movement builds climaxes by transforming the texture from these homorhythms to increasingly complex polyphony. The opening of the fifth movement is an intricate double mirror canon. Mirrors in these two movements are discussed in Sections 4.2.1.1 and 4.3.2.1, respectively.

Mirrored voices may move in contrary motion such that the interval between them steadily expands in a wedge. Such wedges may be a detail of a larger gesture. In the second movement (mm. 164-67), violin 2, viola, and cello accompany a melody in the first violin with a canon (Example 3-5). Each voice of the canon unfolds a series of dyads arranged as a wedge that expand from a perfect fourth to a minor ninth. Boxed in the example are some familiar tetrachords composed of transpositionally related ic1 or ic5 dyads.

Although the first violin initially appears to be independent of the accompanying canon, common pitches with the lower voices unify the passage. The opening dyad in the first violin (B $\flat$ -E $\flat$ ) is the enharmonic equivalent of the opening cello dyad (A $\sharp$ -D $\sharp$ ). The upper notes of the

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composition, as if a mirror were held at the end of the music. Brian Newbould, "Mirror Forms," *Grove Music Online*, ed. L. Macy (Accessed December 6, 2004), <<http://www.drovemusic.com>>; terminology is that of Alfred Mann, J. Kenneth Wilson, and Peter Urquhart: "Canon (i) Terminology," *Grove Music Online*, ed. L. Macy (Accessed December 6, 2004), <<http://www.grovemusic.com>>.

ic5 cycle

**E<sub>b</sub>-B<sub>b</sub>**

164

**ff**

(0257)

**F**

(0156)

**E**

**ff**

(0156)

**D#**

(0167)

**A#-D#**

165

166

**F**

167

**E**

**E<sub>b</sub>**

(0123)

Example 3-5. Movement II, mm. 164-67. Wedges as surface detail. Copyright Universal Edition A.G., Wien/PH532. Used by permission.

cascading instruments (violin 2, viola, cello), {F,E,D $\sharp$ }, are also echoed in the last four attacks of the first violin's melody.

### 3.3 SUMMARY

Schnittke's treatment of canonic imitation follows the traditions of centuries of contrapuntal compositions. Introduced in a latent state in the first movement, the proto-canons blossom into structures that participate in the formal design of the Quartet. In fashioning his canons, Schnittke is concerned with the conventional variables of canon—time and pitch intervals of the entrances, and the number and order in which the voices commence.

In the manner established by earlier twentieth-century composers, Schnittke's duplicating voices often exhibit some degree of freedom in their imitation. Among the types of canonic imitation that appear in the Fourth Quartet are classifications similar to those posited by Watkins and Neidhöfer with regard to Stravinsky's music: strict, pitch, pitch class, free, and inversion canons.

The interest in Schnittke's canons is rarely the result of a polyphonic texture in which independent lines are aurally comprehensible. Instead, his canons, like Ligeti's micropolyphony, create—by virtue of their brevity, short durations between entrances, or uniform rhythmic patterns—a texture continuously in motion.

Throughout the course of the Fourth Quartet, canons and mirrors present and develop its thematic material. In some instances, contrapuntal textures provide contrast with the homophony associated with chorale. Because Schnittke seems to characterize canon as more intense than chorale (following the views of Bartók and Schoenberg), it is an ideal tool in the construction of climactic moments via a process of controlled intensification. The deployment of chorale and canon and their role in shaping the large-scale design of the Quartet is the topic of Chapter 4.

## **CHAPTER 4**

### **FORMAL PROCESSES**

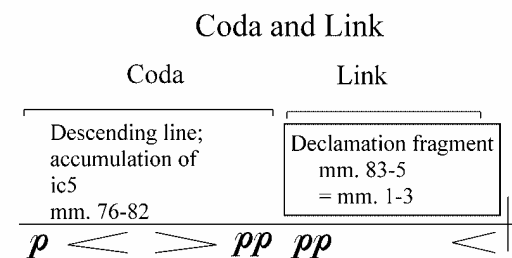
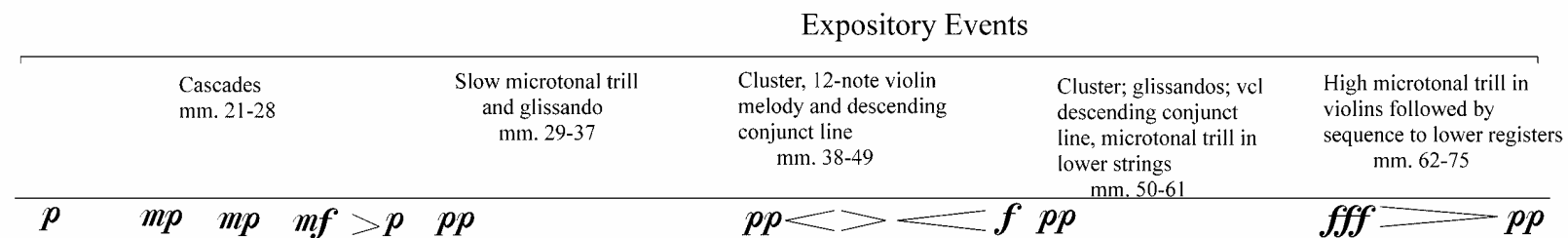
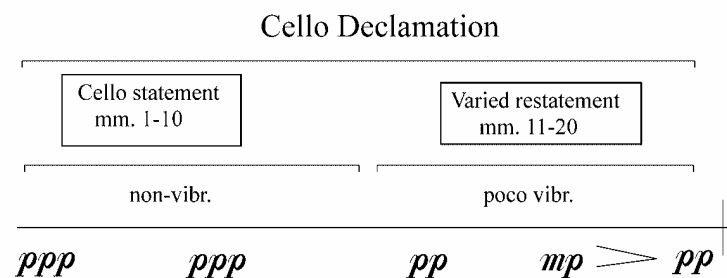
Chapter 4 addresses how Schnittke develops and expands the basic elements of chorale and the techniques of canon in individual movements of the Quartet. The chapter is divided into three large sections. The first of these (Section 4.1) addresses the layout of the first movement. As a reservoir for the basic materials of the work, many of its features have already been described in Chapters 2 and 3. Here, the overall shape of the movement on a large scale will be considered. The second section (Section 4.2) concerns the Quartet's fast movements—Movements II and IV—which are driven by dramatic intensification processes. The final section (Section 4.3) treats the remaining slow movements—Movements III and V.

#### 4.1 THE EXPOSITORY MOVEMENT: MOVEMENT I

Example 4-1 is a time line of the opening Lento indicating how the various components fit into its overall framework. The time line illustrates Schnittke's deployment of elements related to chorale that unify the movement (first and third systems); a succession of additional expository events occupies its middle portion.

##### 4.1.1 Cello Declamation

The time line locates three statements of the cello declamation (boxed in the example). The first statement (mm. 1-10) and its varied restatement (mm. 11-20) articulate the first section of the movement. The final declamation fragment (mm. 83-85) rounds off the Lento and serves



Example 4-1. Movement I. Time line.



as a bridge to the following movement.

Triads punctuate the statement and varied restatement (m.10 and m. 20, respectively). The unexpected consonance of these structures causes them to stand out in bold relief from the surrounding dissonant material. Schnittke carefully differentiates them in terms of register and method of performance. The harmonics of the A-flat major triad in m. 10 contrast sharply with the lower register of the preceding measure; its ethereal sound preserves the chant-like tone of the phrase. The non-vibrato of the triad in m. 20 reinforces its connection with the cello declamation. With these simple gestures, Schnittke establishes a link between cello declamation and triad, an association culminating in the fifth movement where the declamation is revealed as a chorale melody harmonized by triads.

Statement and restatement are motivically linked. The restatement begins with a transposed fragment of the original melody (mm. 11-14). The triplet rhythm in m. 7, which reappears with transposed and inverted pitches in mm. 15 and 17, further unifies the section.

Schnittke is masterful in the gradual building of climaxes over a prolonged time period. One of his favorite tools in this process is varied repetition in which each iteration is slightly more intense than the previous statement. His arrangement of dynamics, vibrato, pacing, and instrumentation in juxtaposed statements create an area of growing intensification. The increased dynamic level (*mp*) and strengthened vibrato (*poco vibrato*) of the varied restatement, shown in the time line, heighten the energy. In addition, the replacement in the restatement of some square fermatas by pause markings produces more rapid pace (compare mm. 2-5 and 12-14). The use of cascade technique to thicken the texture (mm. 7-9) and the modification of the original melody with changes in octave register open up the tonal space.

This technique of consecutive statements of a theme with varied repetition, introduced in

mm. 1-20, appears frequently in the Fourth Quartet. Typically the succession of statements involves fragmentation and transposition of thematic material. Each subsequent restatement is generally assigned its own dynamic level, with these markings arranged so that they advance or retreat by increments. Repetition, then, is a technique of formal expansion that may also develop or intensify motives.

The declamation fragment at the end of the first movement functions both as a rounding off gesture for the introductory movement and as bridge to the following Allegro.<sup>1</sup> It is performed non-vibrato—just as in the opening statement—and at the same transposition and register. Again it is interrupted by long fermatas and the note values return it to the original ametrical rhythmic organization, although there is no cancellation of the written meter signature. The dynamic marking is that of mm. 11-20—*pianissimo* rather than the original *pianississimo*. The declamation is prepared by mm. 76-82 (marked in the time line), which functions as a coda to the movement.<sup>2</sup> At the end of the passage, the outer voices accumulate the pentatonic collection privileged in the initial cello declamation phrase—C-G in the first violin (mm. 81-82, transferred from the viola in mm. 76-78) along with E-A in the cello (mm. 79-82). The remaining pitch of the pentatonic set, the axis of the collection (D), is withheld until m. 83 where it launches the declamation fragment.

#### 4.1.2 Other Expository Events

The middle system of Example 4-1 shows the series of expository events that occupy the middle of the first movement. These events present protogenic ideas—cascades, microtonal trills, glissandos, clusters, twelve-pitch melodies, stepwise lines, and juxtaposition of extremes of

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<sup>1</sup> The work as a whole is rounded out by a similar passage in the fifth movement (Section 4.3.2.3.).

<sup>2</sup> The score of this passage appears in Section 2.2.1.2, Example 2-5.

register—that are subject to expansion and development in later movements of the Fourth Quartet.

In the first of the expository events (mm. 21-28), Schnittke develops the cascade idea that appeared in the preceding cello declamation section (mm. 18-19). This juxtaposes the two devices that are chiefly responsible for the character and form of the work—the cello declamation (associated with chorale) and cascades (described as proto-cans in Chapter 3).

Microtones and glissandos in mm. 29-36 intensify the semitone by decreasing the space between pitches. Both techniques reappear periodically throughout the remainder of this and later movements of the Quartet. At the end of this event (m. 37), the microtonal trill that began in measure 29 widens into a new idea—oscillating semitones. The semitone oscillation, double stops, and homorhythmic texture introduced in m. 37 grow to become a principal motive in the second movement of the Quartet. First heard in mm. 21-24 of the Allegro, the motive appears as oscillating B $\flat$  minor and A major triads (Sections 4.2.2.1.2 and 4.2.2.1.3). The overlapping (0167) collections and their (012678) superset in this same measure are discussed in Section 2.2.1.2, Example 2-9.

Completing the adumbration of the second-movement theme is the cluster in mm. 38-39. Formed by double stops in each voice, its eight pitches fill perfect fifth B $\flat$  to F (Chapter 2, Section 2.2.1.1). A bold *forte* melody follows in m. 41. This melody, which grows out of the cascade in m. 40, consists of all twelve pitches, completing the aggregate (with D $\sharp$  used twice) on G $^4$  in m. 42. This sets the pattern for subsequent melodies in the Quartet—long sinuous lines, rhapsodic in nature, that employ all twelve pitch classes, perhaps with selected pitch-class duplications.

The *forte* melody is protogenic in a second way. Its first four pitches (m. 41, under the

slur) project a contour, <-1-2+1>, that will reappear in the first phrase of the principal thematic material of the third movement and as a component of the bridge motive in the fifth movement (Sections 4.3.1.1.1. and 4.3.2.2).

Here, too, Schnittke employs his harmonies with great economy. The (0167) collection {C,C#,F#,G} that launched the melody in m. 40 reappears in the first violin melody in mm. 42-43 (as {F#,G,C#,B#}). After the completion of the aggregate on G4 in m. 42, the first violin melody begins a long descent that culminates on G3 in m. 49. The first four notes of this descent, {C#,B#,A#,B} (last triplet quarter-note in m. 42 and all of m. 43), have the same contour and intervallic structure, <-1-2+1>, as the opening motto of the melody.

The cadence that concludes the descent in both violin 1 and cello, A $\flat$ -G, is a common formula for structurally important articulations that conclude on G. This same dyad, a sigh motive, appears at cadences in mm. 57-58 (upper note of the double stop) and m. 72 (violin 2); it also echoes the cello's D $\flat$ -C in m. 2.

The melody that begins in m. 62, *fortisissimo*, with violin 1 on one of the highest notes of the Quartet forges the climax of the first movement. The melody's oscillating microtones emerge from the slow trills in mm. 29-34, 52-53, and 58-61. Perhaps the most dramatic gesture of the movement, its register contrasts sharply with the preceding trill in the lowest octave of the cello. The melody's F7 initiates a long descending line that passes through an imitative section before arriving on G3 in m. 75.

#### 4.1.3 Pitch Organization

The first movement introduces a skeleton of the Quartet's pitch organization. The cello declamation privileges the pentatonic collection, C, D, E, G, A. These pitch classes, the collection itself, and its subsets will continue to be of importance throughout the work.

Pitch class D, the axis of symmetry of the pentatonic collection is suggested as the tonal center of the Quartet. Of the remaining pentatonic pitches, those that lie a perfect fifth above and below D—A and G—are also singled out as significant—the cadences in the exposition of the cello declamation (mm. 5 and 9) fall on A and three other major cadences (mm. 49, 58, and 73) conclude on G. In addition, the cadences on G are approached from above by A $\flat$ .

#### 4.2 THE FAST MOVEMENTS: MOVEMENTS IV AND II

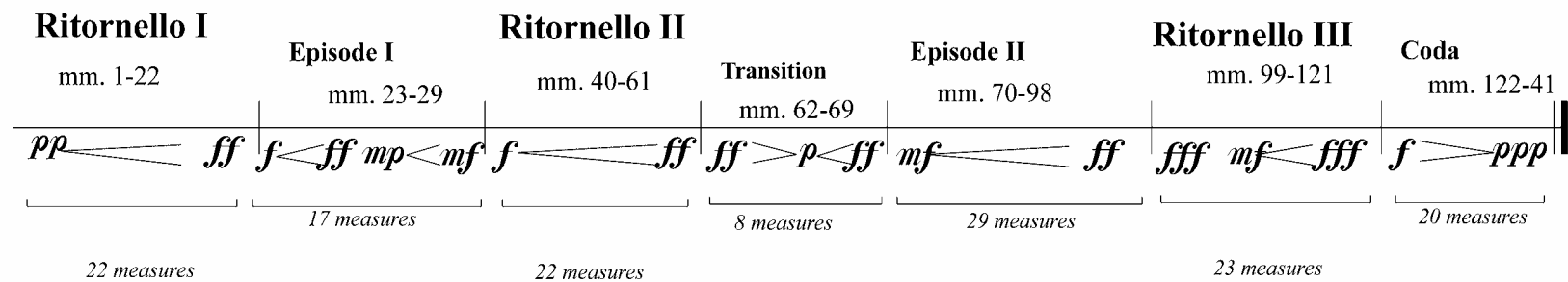
The forward motion of the two fast movements derives from the application of developmental techniques that generate a series of climaxes. Since these processes are most clearly applied in the fourth movement, it will be considered first. Discussion of the more complex second movement follows.

##### 4.2.1 The Fourth Movement

The fourth movement of the Quartet, marked *Vivace*, is the fastest of the five movements. Its quick tempo and triple meter are reminiscent of a scherzo. The time line of the movement (Example 4-2) illustrates the layout of the movement. Its form—a main body in which two contrasting thematic areas alternate and rounded off by a coda—is the most transparent of the Quartet. The opening thematic area functions like a ritornello with contrasting episodes. The number of measures in each section, indicated below the time line, reveals the similarity in length among the three ritornello passages (22, 22, and 23 measures, respectively). In fact, with the exception of the concluding three measures of the third ritornello (mm. 119-21), all three ritornellos exhibit identical internal structures.<sup>3</sup> Also apparent in the example is the

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<sup>3</sup> The last two measures that appeared in both Ritornello I and Ritornello II, are replaced in Ritornello III by three measures of a pounding thirteen-note chord in which D is doubled.



Example 4-2. Movement IV. Time line.

expanded length of the second episode in relationship to the first (29 and 17 measures, respectively). The length of the coda approximates that of the ritornellos.

The clear, sectional form functions as scaffolding for the intensification process that energizes the movement. Schnittke builds intensity through increasingly complex textures that create a series of nuanced climaxes. This movement offers a lucid illustration of the composer's exploitation of texture—the homorhythms of chorale and the polyphony of canon—as a compositional resource to shape and direct his music.

Each of the three section types—ritornello, episode, and coda—has its own thematic material and its own internal structure. Symmetry plays an important role in each section in the generation of the surface detail.

#### 4.2.1.1 Symmetry in the Thematic Material of the Fourth Movement

The privileged pentatonic collection in the cello declamation in the first movement suggests symmetry as a compositional device. In the fourth movement, symmetry appears in different guises in each thematic area. Symmetrical wedges and voice exchanges serve as the scaffolding for the thematic material of the ritornellos and as the principal organizing element in the coda melody; mirrors resulting from cyclical segments of minor ninths and major sevenths govern the first episode.

##### 4.2.1.1.1 Symmetry in the Thematic Material of the Ritornello Sections

Each ritornello is comprised of a statement of the thematic material followed by four altered restatements. The basic thematic unit in the first ritornello (mm. 1-9) is reproduced in Example 4-3. The example shows the partitioning of the unit into four segments—Head, Tail 1, Tail 2, and Codetta—that are bracketed and labeled in the example. The placement of the basic unit and expansion by varied restatements is laid out in a time line in Example 4-4. The time line

Head Tail 1 Tail 2 Codetta

*pp* *pp* *pp* *pp* *mp* *mp* *mp* *mp*

{1,2} {0,3} {4,e} {5,t} {6,9} {7,8} *mp*

Example 4-3. Movement IV, mm. 1-9. Layout of principal material in Ritornello I. Copyright 1989 by Universal Edition A. G., Wien/PH532. Used by permission.



Principal Thematic Material	Head and Tail 1	Truncated Head; Truncated Tails	Truncated Head Further Alteration of Tails	Truncated Head Truncated Tail 1
9 mm.	4 mm.	3 mm.	4 mm.	2 mm.
R1 mm. 1-9 R2: mm. 40-48 R3: mm. 99-107	R1: mm. 10-13 R2: mm. 49-52 R3: mm. 108-111	R1: mm. 14-16 R2: mm. 53-55 R3: mm. 112-14	R1: mm 17-20 R2: mm. 56-59 R3: mm. 115-18	R1: mm. 21-22 R2: mm. 60-61 R3: replaced by driving 13-note chord; mm. 119-121

Example 4-4. Movement IV. Time line of ritornello sections.

indicates the length of each restatement and its relationship to the basic thematic unit. The uniform layout of all three ritornellos is indicated by measure numbers for segments in each.

Example 4-3 illustrates the importance of mirroring, voice exchange, and wedge as significant features of the principal material of the first ritornello. In mm. 1-7 (Head, Tail 1, and Tail 2), the two outer voices and the two inner voices form strict mirrored pairs—the violin 1/cello pair advances along a slightly different interval series in m. 4 than does the violin 2/viola pair.<sup>4</sup> In this opening passage, the cello line is a transposed inversion of violin 1, and the viola is a transposed inversion of violin 2. Mirroring produces a number of voice exchanges. Those involved in the articulation or integration of the structural segments are marked in the example. A voice exchange of C and D $\sharp$  between the inner and outer pairs marks the boundaries of the head; a second exchange of E and B in the outer voices links the two tails to one another and to the codetta.

The mirrored outer voices located at articulation points set up a symmetrical pitch-class wedge, shown in integer notation below the staff. Projecting from the central axis C $\sharp$ /D, boundary pitch classes in the outer voices of the Head and Tails unfold a series of six dyads that complete the aggregate.

#### 2.1.1.2 Symmetry in the Thematic Material of the Coda (mm. 122-41)

The thematic material of the coda, in which mirroring and voice exchange continue to be important, is shown in Example 4-5. Mirrored pairs of voices—violin 1/viola (*dux*) and violin 2/cello (*comes*) unfold a canon first-species counterpoint. The example shows the exchange of G and D between the outer-voice starting pitches in the passage and its highest and lowest pitches.

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<sup>4</sup> The pairing of voices in this principal material of the fourth movement sets up similar pairings in the complex mirror canon that opens the fifth movement (Section 4.3.2.1).

Example 4-5. Movement IV, mm. 122-24. Thematic material of coda. Copyright 1989 by Universal Edition A. G., Wien/PH532. Used by permission.

The remainder of the coda consists of three varied restatements of the theme (beginning in mm. 125, 129, and 135, respectively). The restatements are transposed and lengthened by appending one or more measures to the original statement. Transpositions are nearly exact, although complementary intervals or octave displacements may substitute for the original intervals.<sup>5</sup>

Further differences among the various statements are the sets formed by their initiating notes and the spatial deployment of the member pitches of the sets. The initiating notes of each

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<sup>5</sup> The most glaring discrepancy is the first violin pitch in m. 132 (F $\sharp$ ). The pitch in corresponding places in all other statements is approached by major second or major ninth and left by minor second. Since the resulting minor third, F $\sharp$ -A, is not replicated anywhere in the coda, the F $\sharp$  may be an error. If G $\sharp$  is substituted, the intervals on either side become consistent with other voices in all statements.

statement and the set classes formed by each collection are shown in Example 4-6a and b. As a result of Schnittke's choice and deployment of the sets, voice exchanges serve to closely link the various coda statements. Example 4-6a shows that voice exchange occurs between members of each mirrored pair. (The violin 1/viola pair are indicated by white note heads; violin 2/cello by black.) Pitches in the first and fourth statements (beginning in mm. 122 and 135), which are deployed as set class (0167), exchange in the same register. The middle statements (beginning in mm. 125 and 129), deployed as set class (0145) exchange in different registers (D<sup>#</sup>4 to E<sup>b</sup>3; D4 to D3, G3 to G4; and F<sup>#</sup>3 to F<sup>#</sup>4), expanding the tonal space. Example 4-6b illustrates the importance of G and D as tonal nodes in the coda. Further, the final simultaneity of the movement (m. 141) fills the pitch class space between G and D: {G,G<sup>#</sup>,A,B<sup>b</sup>,B,C,C<sup>#</sup>,D}.

The coda melody unfolds as a wedge in much the same manner as the opening cello declamation. The first statement of the first violin's melodic phrase (mm. 122-24) is shown in Examples 4-7a and b. Example 4-7a preserves the original registers of the melody notes and its segmentation by quarter rests. The segments unfold a chromatic pitch-class wedge in which the first note of the melody, D, functions as the axis. Note heads with stems up mark the ascending leg of the wedge; those with stems down mark its descending leg. Example 4-7b presents the same symmetry as a stepwise pitch-class line, keeping each leg of the wedge within an octave.

The wedge is not spatially balanced. Instead, its shape has been manipulated to highlight selected pitches. The twelfth note of the melody, G5 in m. 124, is double-stemmed since it is a member of both the ascending and descending legs of the wedge. In addition, it falls at the apex of the melodic line, marks the completion of the aggregate, and is located an octave-plus-a fourth above the initiating D4. The cello carries the *inversus* line (refer to Example 4-5 above), beginning on G3. Its twelfth note, D2 (m. 124), occupies the corresponding position in its

(a)

122 125 129 135

(0167) (0145) (0145) (0167)

(b)

122 125 129 135

Examples 4-6a and b. Movement IV. Starting notes of statements of thematic material in the coda. a) Voice exchanges and set classes; b) G and D as tonal nodes.

melody as G5 in the first violin, accomplishing the voice exchange marked in the score. The references to ic5 affirm the association of the coda melody with the pentatonic collection and with the opening cello declamation.

(a)

122 123 124

(b)

Examples 4-7a and b. Movement IV, mm. 122-24. Thematic material of the coda a) Violin 1 part; b) Reduction as wedge. Copyright 1989 by Universal Edition A. G., Wien/PH532. Used by permission.

#### 4.2.1.1.3 Symmetry in the Thematic Material of Episode 1 (mm. 23-39)

The theme of the Episode (mm. 24-30) is announced as a two-voice canon supported by an ostinato. The theme is composed of two-measure segments, characterized by an arch-shaped melody constructed from ascending repeated-note triplets and descending long durations. Since the descent duplicates those pitches in retrograde, the pitch class collection of each two-measure segment is a member of set class (0123).

The triplet ascents in individual voices advance by alternating minor seconds/ninths or major sevenths. Cyclic projections of minor seconds or ninths produce an ascending pitch-class segment of the chromatic scale; projections of major sevenths produce a descending pitch-class segment. Example 4-8 summarizes the pitch-class collection of each of the six canonic entrances

in mm. 24-29, reduced to the octave register of the initial pitch. Since the first two thematic statements in violin 1 (mm. 24 and 26) alternate between ascending and descending chromatic segments, their pitch collections create a mirror with D as its axis. Similarly, a mirror with G as its axis is created by the first two statements in violin 2 (mm. 25 and 27). The first violin extends the violin 2 mirror with its entrance in m. 28. The axes of these mirrors once again highlight ic5-related D and G as important structural nodes in the Quartet. The ic5 relationship is extended as the viola enters with the thematic material on C. The underlying structure of the first episode, then, is a projection of ic5-related pitches, {D,G,C}, shown on the lowest staff of the example.

The musical score illustrates the symmetry in Episode 1 of Movement IV, mm. 24-29. The staves are labeled Vln 1, Vln 2, and Vla. The measures are numbered 24 through 29. The score shows the following thematic material:

- Vln 1:**
  - Measure 24: m1/m9, ascending chromatic segment
  - Measure 26: M7, descending chromatic segment
  - Measure 28: m9, ascending chromatic segment
- Vln 2:**
  - Measure 25: m1/m9, ascending chromatic segment
  - Measure 27: M7, descending chromatic segment
- Vla:**
  - Measure 29: Thematic material on C

The score also includes two mirror annotations:

- Mirror, axis D:** A bracket connects the ascending chromatic segment in Vln 1 (m. 24) and the descending chromatic segment in Vln 2 (m. 27).
- Mirror, axis G:** A bracket connects the descending chromatic segment in Vln 2 (m. 27) and the ascending chromatic segment in Vln 1 (m. 28).

The bottom staff shows the pitch projection {D, G, C} on an octave register, with D on the first line, G on the second line, and C on the first line of the next staff.

Example 4-8. Movement, IV, mm. 24-29. Symmetry in Episode 1.

#### 4.2.1.2 Intensification Procedures

The main body of the fourth movement—the ritornellos and episodes—may be understood as two contrasting thematic areas. Each thematic area is independently coherent and

each moves steadily toward its own climactic goals. The thematic areas have been partitioned into segments—the ritornello thematic material into three sections and the episode thematic area into two. Schnittke then cobbles together the disassembled sections by interpolating the episode segments among the ritornellos in the sequence R E R E R. The resulting arrangement is akin to a film in which a narrative (ritornello) is interrupted by action from a second story line (episode).

The energy of the fourth movement derives from a process of intensification of the two threads—ritornello and episode—as they drive toward their respective denouements. In the ritornello sections, the intensification involves increased dynamic levels and textural complexity. The intensification process in the episodes involves increasingly intricate rhythms together with expanded range and dissonance.

#### 4.2.1.2.1 Textural Intensification in the Ritornello Sections

The underlying design of Schnittke’s intensification procedures in the ritornellos is evident in his carefully placed dynamic markings, shown in Table 4-1, which reveal a gradual crescendo.

Table 4-1. Movement IV. Layout of dynamic markings of ritornello statements.

	Primary Thematic Material	Variant 1	Variant 2	Variant 3	Variant 4
Ritornello I	pp < mp	p	mp	mf < f	f < ff
Episode 1					
Ritornello II	f <sup>6</sup> < ff	mp	mf	f < ff	ff
Episode 2					
Ritornello III	fff ff < fff	mf	f < ff	ff	fff

The Table reveals calibrated crescendos along three separate tracks. First, each variant is

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<sup>6</sup> *Forte* dynamic marking indicated in the cello only.



marked with a slightly higher dynamic level than the previous one, creating a crescendo as the ritornello progresses. Second, each consecutive ritornello begins and ends at a higher dynamic level than the previous statement. As a result, each individual variant increases in amplitude as it advances from ritornello to ritornello. The large-scale dynamic crescendo supports a synchronous textural crescendo: the movement begins homophonically and becomes increasingly tense as it moves toward more and more complex counterpoint.

Schnittke introduces polyphony in carefully calibrated stages, beginning in the first statement of the principal material (Example 4-3, above). The movement begins homorhythmically (mm. 1-5), although the chorale-like texture is disturbed by the delayed entrances of viola and cello in Tail 2 (m. 5). In the codetta (m. 7), the voices enter in cascade fashion a quarter note apart. In both cases Schnittke immediately restores the homorhythmic texture. Beats alternate between simple and compound divisions, but Schnittke has designed his material in such a way that the rhythms progress either in even quarter-note values or in quarter-note triplets, preserving homorhythms even in canonically conceived passages.

Polyphony becomes more and more prominent as the first ritornello continues, illustrated in the second, third, and fourth variants of the first ritornello, shown in Example 4-9.<sup>7</sup> In Variant 2, the Head remains homorhythmic, but canonic activity prevails in both Tails due to rhythmic alterations in the viola and cello (marked in the example). The staggered ending of Variant 2 prepares the paired canonic entrances for Variants 3 and 4 (mm. 17 and 21), signaled by Schnittke's dynamic markings and by the added vertical brackets. Canonic texture has now shifted forward to include the Head.

The process of textural intensification in Ritornello I highlights Schnittke's handling of

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<sup>7</sup> The first variant is a truncated and transposed restatement of the Head and Tail 1 of mm. 1-4.

Variant 2
Variant 3
Variant 4

The musical score is presented in four staves, each with a key signature of one sharp (F#) and a 3/4 time signature. The measures are numbered 14 through 22. The score is divided into three sections corresponding to the variants:

- Variant 2 (Measures 14-16):** Labeled with "simple divisions" and "compound divisions". It features a "Head" in measure 14 and "Tail 1" in measure 15. The dynamics are marked *mp* (mezzo-piano).
- Variant 3 (Measures 17-18):** Labeled with "rhythmic alteration" and "two-entrance imitation". It features a "Head" in measure 17. The dynamics are marked *mf* (mezzo-forte).
- Variant 4 (Measures 19-22):** Labeled with "Tail 1", "Tail 2", "Head", and "Tail". It features a "Head" in measure 21. The dynamics are marked *f* (forte).

The score includes various musical notations such as eighth notes, quarter notes, and rests, with some measures containing triplets. The overall structure is a comparison of three different musical variants for the same movement.

Example 4-9. Movement IV, mm. 14-22. Comparison of Variants 2-4 in Ritornello I. Copyright 1989 by Universal Edition A. G., Wien/PH532. Used by permission.

the vertical alignment of voices in relationship to one another, and his deployment of metric/rhythmic units. In the first ritornello, introduction of polyphonic texture occurs in carefully calibrated stages—suggestions of canon in the principal material, sustained canonic activity confined to the Tails in Variant 2, and finally canonic texture throughout in Variants 3 and 4.

Throughout Ritornello I, passages laid out in first-species canonic imitation result in homorhythms. Schnittke has designed his material in such a way that the rhythms progress without conflict between simple and compound divisions.

The two remaining ritornellos display a process of textural intensification—each successive ritornello is more complex than the previous one. To increase complexity from statement to statement, Schnittke follows processes similar to those observed in the first ritornello; he controls the vertical relationship of voices as well as deployment and design of rhythmic figures.

Example 4-10 aligns Variants 2 and 3 from all three Ritornello sections to illustrate Schnittke's intensification processes. In both variants, the voices move generally in mirrored pairs—violin 1/violin 2 and viola/cello.

Initiating points of canons and beat divisions in Ritornello I are again marked by vertical brackets. The texture of Ritornello II is more complex than that of Ritornello I due to the introduction of canonic procedures. In Ritornello II, separate entrances for each instrument replace the earlier paired complexes of mirrored voices. Rhythm also becomes more intricate—simple and compound divisions may sound simultaneously in some beats, and eighth-note triplets are introduced in patterns that are not strictly imitative. Two additional rhythmic complications are introduced in Variant 2. The first is the result of the new canonic structure.

**Ritornello I, mm. 14-20**

Variant 2      simple division      compound division      Variant 3

**Ritornello II, mm. 53-59**      simple/compound divisions

Variant 2      Variant 3

**Ritornello III, mm. 112-18**

Variant 2      Variant 3

Example 4-10. Movement IV. Variants 2 and 3. Copyright 1989 by Universal Edition A. G., Wien/PH532. Used by permission.

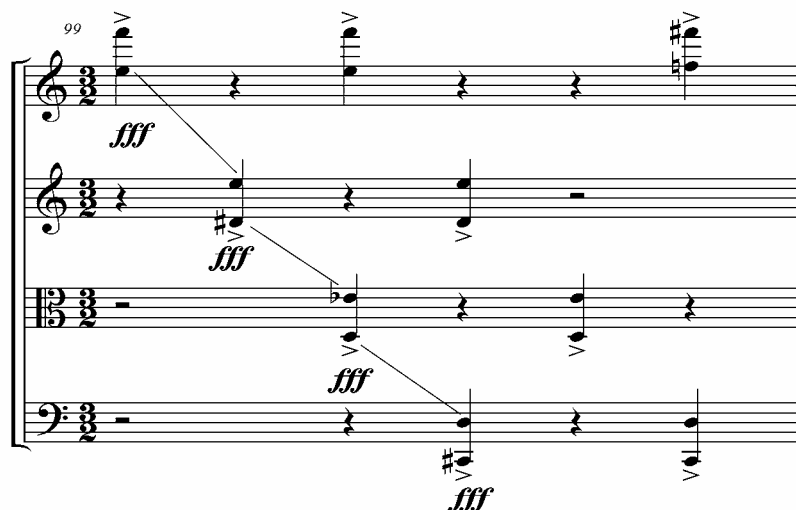
The violins both commence on the beat as before, but the viola and cello enter on the second half of their beats. The delayed beginning of viola and cello also locates their triplets on the second quarter note, a placement obvious in the score by the re-notation as tied eighth-note triplets. This relocation of triplets extends to Variant 3. In an additional rhythmic twist in Variant 2, the rhythms of violin 2 and cello at the end of Tail 2 abandon strict canonic imitation and admit eighth-note triplets. These are labeled “free rhythms” in the example.

In Ritornello III, Variants 2 and 3 both exhibit the double stops that are characteristic of this iteration. The hints of free rhythms that circumvented strict canonic imitation in the second variant of the previous ritornello return in the Tails of Variants 2 and 3. Each instrument has its own rhythm, abandoning canonic imitation altogether. Schnittke maintains a constant hemiola so that two instruments seldom perform precisely the same rhythm simultaneously. The intricate rhythms that result, particularly in violin 2 and viola, blur the lines between the two Tails and these segments lose their character.

Double stops, anticipated in the principal material of Ritornello II, are carefully deployed to increase in intensity as Ritornello III progresses. Each double-stopped instrument enters as two voices moving in similar motion, for a total of eight voices. The opening measure of Ritornello III (m. 99) is shown in Example 4-11. The minor ninths of the double stops are arranged so that the lower note of each dyad is replicated in the upper note of the following dyad, connected by lines in the example. A chromatic descent of five pitches from the highest note in violin 1 to the lowest note in the cello cascades in the order {F,E,D $\sharp$ ,D,C $\sharp$ }. A similar descent in double stops occurs in Variant 3, but the collection is expanded to eight pitches, due to the absence of pitch duplication.<sup>8</sup>

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<sup>8</sup> Variant 3 involves an eight-note pitch class cluster spanning perfect fifth from A to E.



Example 4-11. Movement IV, m. 99. Common tones among entrances in Ritornello III. Copyright 1989 by Universal Edition A. G., Wien/PH532. Used by permission.

#### 4.2.1.2.2 Intensification in the Episodes

The first episode consists of seven measures of thematic material (mm. 24-30) followed by a series of imitative passages that move primarily in first species counterpoint (mm. 31-39). There are six statements of the episode's two-measure thematic unit (violin 1, mm. 24, 26, and 28; violin 2, mm. 25 and 27; and viola, m. 29). Interval succession pairs the statements into three overlapping points of imitation—violin 1 followed by violin 2 <+13 +1 +13> (mm. 24-26); violin 1 followed by violin 2 <+11 +11 +11> (mm. 26-28); and violin 1 followed by viola <+13 +13 +13> (mm. 28-30). The registral space occupied by the thematic material expands as the passage proceeds, (from G3-F6 in mm. 24-26, to C3-B♭6 in mm. 28-30).

Schnittke subjects the variables of the episode canons—number of points of imitation, registral space, rhythm, and general consonance—to developmental processes in the second episode (mm. 70-98), raising its intensity in the process. As noted in Section 4.2.1, Episode 2 is longer than the first statement (mm. 23-29). Registral space is expanded in comparison to the first episode—C2 at its lowest point (m. 97) and C#7 at its highest (mm. 93-4)—encompassing

nearly the full range of the quartet instruments.

Increasingly short durations build a rhythmic crescendo. In m. 87, the episode theme begins with an ascending line in quarter-note triplets. In the ascending arches of other statements, mm. 93-94 (first violin) and mm. 94-95 (viola), quarter-notes triplets are divided into their constituent eighth notes; feathered beams reduce durational values in the remaining statements (mm. 95-97).

All but two thematic statements retain the  $\langle +13 +1 +13 \rangle$  arrangement that were employed in ascending arch in Episode 1—the first violin in m. 93 ascends by minor ninth only ( $\langle +13 +13 +13 \rangle$ ); the concluding cello statement (m. 97) inverts two of the intervals from m. 93 and expands the third by an octave ( $\langle -13 -13 +25 \rangle$ ).

In Episode 1, the descending arm of the arch replicated the same pitches as the ascent. In Episode 2, rising minor seconds/ninths are answered by descending major sevenths, resulting in a two different pitch class collections. Example 4-12 summarizes the pitches of the thematic units in Episode 2. Each statement in the example is represented by three pitches—two that mark its boundaries and the third its apex. The layout design of these imitative statements is more complex than those in the first episode and the dissonance level is higher—tritones are formed between first and last pitches of each statement and between each apex pitch and the apex pitch of the following statement in the same instrument.

Intensification procedures, then, are clearly laid out in the fourth movement, overlaid on its sectional form. The texture evolves from the opening four-part homorhythms to intricate polyphony involving as many as eight voices energized by intertwining rhythms. In the ritornellos, Schnittke begins with a simple chorale-like texture and even rhythms that give way in the course of the movement to thick polyphonic textures with intricate rhythms. In the episodes,

The musical score is presented in four staves, grouped in pairs. The top pair of staves uses a treble clef, and the bottom pair uses a bass clef. The measures are numbered 87 through 97 above the top staff. The notation includes various note values (half notes, quarter notes, eighth notes), rests, and glissandos. A 'gliss' marking is present in measure 97 on the second staff from the top. The score is a reduction of thematic statements, showing the essential melodic and harmonic elements of the original passage.

Example 4-12. Movement IV, mm. 87-97. Reduction of thematic statements in Episode 2.



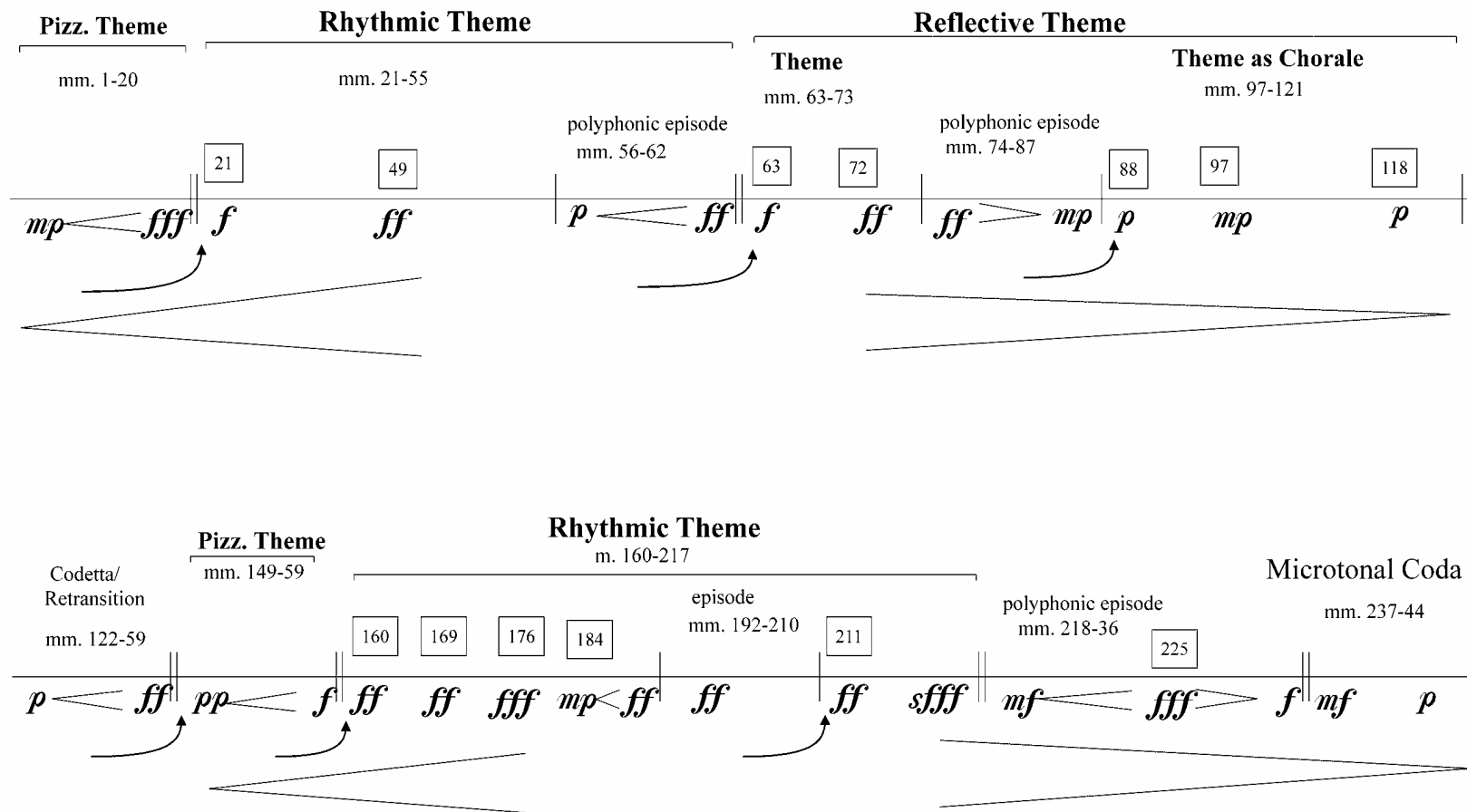
thematic units are intensified through rhythmic crescendos and heightened dissonance.

#### 4.2.2 The Second Movement

The second movement, marked Allegro, is the longest movement of the Fourth Quartet (244 measures). A time line of the movement, shown in Example 4-13 summarizes the placement of the three principal themes. The measures governed by each theme are bracketed and labeled. Two of the themes—the Rhythmic Theme and the Reflective Theme—are stated multiple times within their respective areas, interwoven with polyphonic episodes. Measure numbers enclosed in boxes indicate the beginnings of these individual statements.

The Allegro is a dramatic and impassioned utterance. Its thematic areas provide striking moments of precarious stability within music that seems constantly in flux. Arrows in the time line indicate arrivals at such points of stability. Hairpin crescendo and decrescendo markings reflect Schnittke's careful shaping of the movement—each system of the time line projects its own arch-shaped design. All three themes participate in the structure of the movement—the Pizzicato Theme serves as a structural upbeat that leads to the Rhythmic Theme Area, the movement's center of gravity. The Reflective Theme Area provides a relaxation of the tension generated by the Rhythmic Theme and its episodes.

The time line also illustrates the large-scale formal design of the Allegro. The movement is bipartite; its equal halves—mm. 1-121 and mm. 122-244—unfold as two arch-shaped sections. The second of the arch-shaped units is more intense than the first, represented in the time line by its heightened amplitude (*fortississimo* at its apex compared to the *fortissimo* at the apex of the first unit). The dynamic levels support Schnittke's application of developmental techniques to the thematic material in an intensification procedure akin to that applied to the ritornello theme in the fourth movement.



Example 4-13. Movement II. Time line.

#### 4.2.2.1 Thematic Material

The initial announcements of all three primary themes tend toward uniformity of phrasing. The Pizzicato Theme spans ten measures (asymmetrically segmented as seven + three measures), a standard expository length in the Fourth Quartet.<sup>9</sup> The four measures of the Rhythmic Theme are segmented into two-measure subphrases and the basic unit of the Reflective Theme is again two measures. The length of the interpolated polyphonic episodes varies.

##### 4.2.2.1.1 Pizzicato Theme

The opening theme of the movement, mm. 1-10, is a melody shared by the violins and accompanied by a pedal in the lower voices. Performed in hocket-like fashion, the pizzicato melody contrasts with the bowed Rhythmic and Reflective themes. The violins unfold the melody incrementally in a cumulative procedure in which successive segments expand by appending new notes until the melody is fully stated (m. 7). The two instruments are indistinguishable at first, imitating one another at the unison. Eventually they move apart, evolving into a free interval class canon, summarized in the reduction in Example 4-14. A varied restatement (mm. 8-10) follows, compressed into three measures by diminution and stretto. Both the highest and lowest notes of the passage are pitch class E—E5 in the melody and E2 in the cello pedal.

The theme returns as a varied restatement (mm. 149-59), where it recapitulates its role as structural upbeat to the Rhythmic Theme. (Refer to the second system of the time line.)

Although extensively altered from the opening of the movement, it is nevertheless recognizable—pizzicato violins are active over a pedal in the lower voices and mirroring is a

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<sup>9</sup> The statement and varied restatement of the cello declamation in the first movement were each ten measures in length, mm. 1-10 and 11-20.

The image shows a musical score for two violins, Violin 1 and Violin 2, across measures 1 to 7. The notation is in treble clef. Violin 1's line contains notes with intervals of +1, +5, and -11. Violin 2's line contains notes with intervals of -13, -7, and +11. The intervals are indicated by numbers above or below the notes.

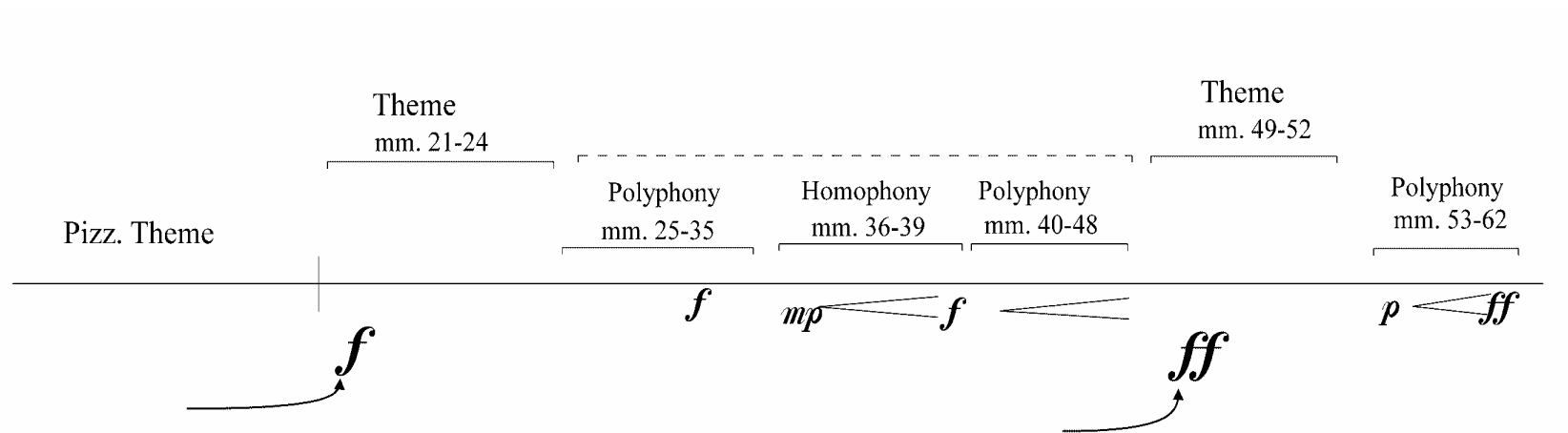
Example 4-14. Movement II, mm. 1-7. Reduction of Pizzicato Theme.

melodic element. The statement is again ten measures in length (mm. 150-59), preceded by an additional measure of pedal, now a triad (m. 149).

#### 4.2.2.1.2 Rhythmic Theme

The opening Pizzicato theme (mm. 1-10) and subsequent polyphonic episode (mm. 11-20) lead to the Rhythmic Theme, the movement's principal thematic material. The Rhythmic Theme consists of four measures of oscillating semitones driven by pounding rhythms. Statements of this theme occur in two groups, one in each large section of the movement (time line first system, mm. 21-62; and second system, mm. 160-217). The two announcements of the Rhythmic Theme that comprise the first group are shown in Example 4-15. Although both statements in this first group function as structural goals, the second is marked by more intense dynamics (*fortissimo*) than the first (*forte*).

Each statement of oscillating triads in the first half of the movement (mm. 21-24 and 49-52) is followed by a contrasting polyphonic passage, much like the head and tail motives encountered in the ritornello sections of the fourth movement (Section 4.2.1.2.1). The close resemblance between first three measures of the two appended polyphonic passages (mm. 25-27



Example 4-15. Movement II. Layout of the first Rhythmic Theme Area.

and 53-55) forges a link between the homorhythmic head and polyphonic tail.<sup>10</sup> In the various statements of the theme throughout the second movement, the head remains recognizable, while the tail becomes increasingly indistinct. The contrast within the thematic material (driving homorhythmic head, polyphonic tail) as well as different approaches in terms of the preservation of the motivic character in restatements, anticipate Schnittke's treatment of the thematic material in the fourth movement.

The oscillating semitone of the head motive was introduced in the first movement in inchoate form—a slow microtonal trill (Section 4.1.2). In the second movement, the semitone is embedded in a thick, chorale-like homorhythmic texture. Individual simultaneities are comprehensible as meaningful morphological units—B $\flat$  minor and A major triads, one of which will have an enharmonic spelling of its third.<sup>11</sup> The head idea in both passages is laid out in clear, two-measure modules, albeit with the order of the oscillating notes transposed in the second of these (B $\flat$  minor/A major in mm. 21-24; and A major/B $\flat$  minor in mm. 49-52). In both cases, the outer voices carry the perfect fifth of the two triads, B $\flat$ -F and A-E; the inner voices project the remaining components of the triad, expressed as ic3 or ic4.

The common third, D $\flat$ /C $\sharp$ , functions as a pedal. The fifths may be understood as oscillating around this steadily-sounding common tone, announcing pc1 as an important structural node in the Quartet. Either oscillation, regardless of which triad begins, prolongs C $\sharp$ /D $\flat$ . Moreover, the combination of the two fifths yields {A,B $\flat$ ,E,F}, a member of pitch class

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<sup>10</sup> Both feature canonic imitation which is nearly strict; the cello in each case is the most free. Canonic imitation in the first canon comes to an end on E $\flat$ 4 in m. 27 (cello); in the second canon, it concludes on A $\sharp$ 4 in m. 55 (viola). The *dux* features a cascade of ic5 followed by an ascending stepwise line; the configuration of whole and half steps is different in each *comes*.

<sup>11</sup> Schnittke commented, "At the end of the 1950s, after [Russian musicologist and professor at the Moscow Conservatory] Lev Mazel described the harmonic phenomenon of 'common mediants' (for example between B major and C minor), many composers, myself included, made use of it." Schnittke, "Conversations with Ivashkin," 16.

set (0156), a symmetrical collection with C $\sharp$  as its axis. Further, pc 1 reappears as one member of the augmented sixth {C $\sharp$ ,E $\flat$ } that opens the final movement and helps to establish D as a tonal center.

Despite the presence of triadic structures in the Rhythmic Theme, only those in mm. 22 and 50 are unqualified; fleeting added tones—D and C, remnants of the referential pentatonic collection—enrich the triads on sustained durations (mm. 21 and 23). The cello's added C in mm. 21 and 23 forms ic1 with D $\flat$ /C $\sharp$ , the common tone of the two triads. This C/C $\sharp$  dyad is also important in the Quartet, forming prolonged pedals, for example, in the final moments of the fifth movement (mm. 80-88 and mm. 103-105).

Unembellished triads disappear in the final module of each statement of the Rhythmic Theme (mm. 23-24 and mm. 51-52), and are replaced by polychords formed from the combination of the B $\flat$  minor and A major triads. The members of these triads are not integrated, but separated by register—A major is sustained by the violins in m. 23 and by the viola/cello pair in m. 51; B $\flat$  minor is sustained by the violins in m. 51 and viola/cello in m. 23.

The statements of the Rhythmic Theme are an important mechanism in the shaping of the movement. As clearly recognizable objects, they serve as points of arrival within the movement. These thematic areas are deployed in the Quartet in a process of intensification like that in the fourth movement, although the design is less transparent in this Allegro than in the clear, sectional form of the Scherzo. Nevertheless, Schnittke controls the forward motion of the movement by gradually intensifying each consecutive group, discussed below in Section 4.2.2.2.

#### 4.2.2.1.3. Reflective Theme

The Reflective Theme (time line first system, Example 4-13), which continues the oscillating semitone motive, relaxes the tension generated by the Rhythmic Theme. A time line

of the Reflective Theme Area, Example 4-16, indicates the two contrasting characters of this third theme of the movement. The elevated dynamics of first two statements (mm. 63-65 and 72-73) suggests a rather aggressive quality. With the concluding three statements (mm. 88-95, 96-105, and 118-21), the dynamic and vibrato levels abate, rhythms are augmented, and the texture thickens with a triadic harmonization of the melodic line. Such alterations may be understood as emblems that transform the Reflective Theme into a chorale.

The oscillating semitones of the first two statements of the Reflective Theme create a descending chromatic line from D $\flat$  to A—{D $\flat$ ,C,B}(m. 63-64) and {C $\flat$ ,B $\flat$ ,A} (mm. 72-3), which chromatically fills the major third of the Rhythmic Theme's A major triad. The active voice in these first two statements of the Reflective Theme is supported by {G,D,C} members of double stops in the cello (mm. 63-64 and 72-73) and viola (m. 65). These pitch classes are again associated with the pentatonic collection privileged in the opening cello declamation.

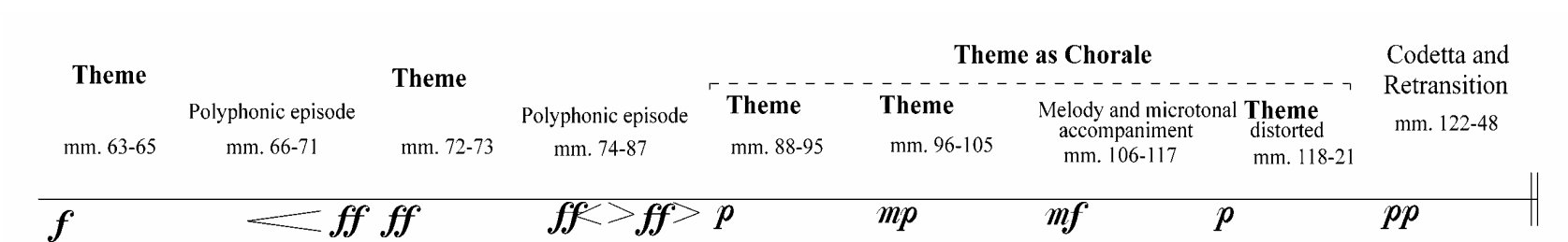
The chorale statements of the Reflective Theme continue the descending chromatic motive in violin 1—{C,B,B $\flat$ ,A} (mm. 88-91),<sup>12</sup> {D $\flat$ ,C,C $\flat$ ,B $\flat$ ,A} (mm. 97-101), and {F,E,E $\flat$ } (mm. 118-20). The first and second statements are linked by two enriched triads—F minor (sustained from mm. 92-95) and B $\flat$  minor (m. 97). The roots of these two triads, B $\flat$  and F, recollect the importance of the B $\flat$  minor triad in the second and fifth movements.

There is one more link that joins the Rhythmic and Reflective Themes with the finale's chorale. The first thematic statements of the Rhythmic Theme featured a pedal on C $\sharp$ /D $\flat$ . In this second chorale statement of the Reflective Theme (beginning in m. 97), C $\sharp$ /D $\flat$  returns in the first violin in m. 97-98 and at the dramatic articulation in m. 106. The chorale will also have a strong articulation on a C $\sharp$  minor triad (Movement V, m. 99).

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<sup>12</sup> The oscillating motive is preceded in m. 87 by D $\flat$  in the cello.





Example 4-16. Movement II. Layout of the first Reflective Theme Area.

The final statement of the Reflective Theme (mm. 118-21), represents a distortion of its previous statements as a chorale. The consonant triadic harmonization has been replaced by a significantly more dissonant harmony, a transposition of set class (0167). The oscillation in the first violin passes to the lower instruments as a slow microtonal trill, recalling microtonal intervals as an intensification of the minor second. These small intervals, as distorted semitones, heighten the grotesqueness of this final statement of the Reflective Theme chorale. This moment of musical and moral uncertainty will reappear again in the fifth movement in the final statement of the cello declamation.

#### 4.2.2.2 Intensification Procedures

The intensification procedure in the second movement operates much like that laid out in the fourth movement (Section 4.2.1.2). The momentum of this Scherzo, a clearly laid-out sectional form, features an intensification process in the ritornello sections in which Schnittke manipulates the principal material of the three ritornellos to create increasingly complex textural and rhythmic structures. The progression among the ritornellos, from simple to complex, is clear, despite the interpolation of thematically contrasting episodes.

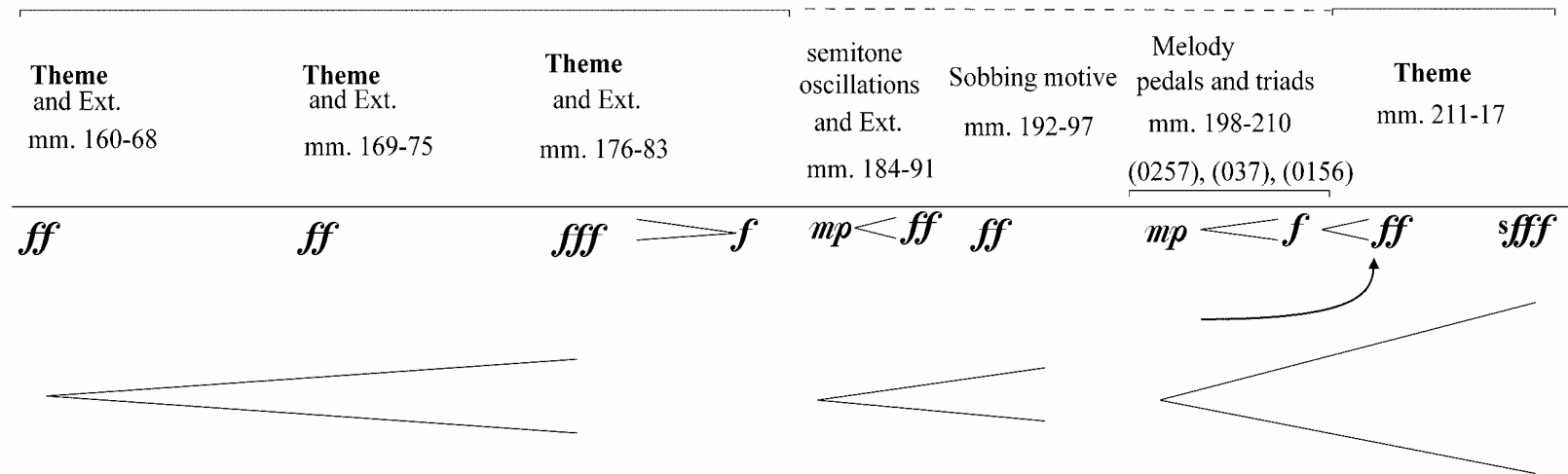
In the second movement, the intensification procedure is applied to the Rhythmic Theme. In both groups, the apexes of the climactic swells occur in statements of this theme (Example 4-13). Just as the intensity of each ritornello rose in successive statements, the Rhythmic Theme groups intensify along a more or less continuous line: statements in the second system begin *fortissimo* (m.160), resuming the thread left off in m. 62 in the first system statements. Moreover, consecutive statements in both groups also intensify as they progress, consistent with the manner in which each individual ritornello intensified with each successive variant. In the first system group, although both statements of the Rhythmic Theme are similar (oscillations of

B $\flat$  minor and A major triads), and although both serve as the structural goals of the preceding material (indicated by arrows in the detailed in Example 4-13), the second statement group is more intense by virtue of its heightened dynamic level. (Dynamic levels of the two statements are shown in larger markings in the time line.)

In the second group statements, beginning in m. 160, Schnittke subjects the oscillating motive to developmental processes. He fashions these statements into a series of areas defined by climaxes and articulated by carefully placed dynamics, shown in a detailed time line in Example 4-17.

The time line shows two primary climaxes. The first subsumes three statements of the Rhythmic Theme (beginning in mm. 160, 169, and 176, respectively); the second is launched by a contrapuntal texture created in the violins above sustained harmonies in the lower voices that leads to the final Rhythmic Theme statement in m. 211. The increase in intensity is evident in Schnittke's dynamics—*fortississimo* in the first climax, further intensified by the *sforzando* in the second. The middle climax (mm. 184-97) presents thematic material also derived from the oscillating semitones that culminates in a dramatic “sobbing” motive in m. 192.

The first statement of the thematic material in the second group resembles the statements from the first group—a head motive consisting of two-measure subphrases followed by a tail. The statement begins in mm. 160-61 where a B triad with a split third (D/D $\sharp$ ) alternates with a B $\flat$  major triad (spelled A $\sharp$ -D-E $\sharp$ ). In measure 162, the alternation of consonant triads has been replaced by more dissonant harmonies. The violins carry a triad, but one enriched by an added tone {D,E,F,A}, again producing a member of set class (0237). The tails of the statement have also been altered—the initial rising major seventh and descending perfect fourths remain (m. 164), but the ascending stepwise line has been replaced by descending minor ninths (m. 165).



Example 4-17. Movement II. Layout of the second Rhythmic Theme Area.

Canonic imitation continues in the lower voices as an accompaniment to the first violin's tail melody. Each voice proceeds in double stops that project dyads arranged in a wedge—fourths, fifths, sevenths, ninths, and again sevenths.

Schnittke introduces a three-voice canon in the following statement (beginning in m. 169). The cascading entrances that commence with sustained notes announce the presence of canonic structures, but since these entrances are spaced so that the oscillation pattern is congruent in all voices, the overall effect is homorhythmic. Schnittke retains the idea of double-stopped dyads arranged by size from the previous statement. Here, however, the design is one of generally decreasing interval size and the direction is from highest to lowest voice. In m. 170 the dyads begin with an alternating minor sixth/minor seventh in the first violin and move through minor sixth/diminished fifth (violin 2) and major third/diminished fifth (viola) to the cello's major second/major third. The intervals become smaller in m. 172: major third/diminished fifth (violin 1), major third/unison (violin 2), minor second/diminished third (viola), and unison (cello).

While the head retains its character in this statement, there is very little in the tail that is recognizable from earlier statements. Descending stepwise lines in the second violin and cello are remnants of the original tails.

The final thematic statement in the first climactic swell (mm. 176-83) creates a climax by heightened amplitude (*fortississimo*), wide tonal space (C<sup>#</sup>2-B<sup>b</sup>7), and expanded length and pitch content. The second sub-phrase is strikingly different from the first. While the first sub-phrase retains its characteristic two-measure length, the second is expanded to four measures by an added measure of ostinato (m. 178) and canonic imitation. Features of the tail remain in the outer voices, which unfold projections of ic5 and ic1 (mm. 181-83).

The first sub-phrase introduces mirroring (m. 177)—the motive progresses in its *rectus* form in the upper member of the first violin double stop and in its *inversus* form in the lower voice of the viola. Mirroring is also present in the remaining voices but with expanded intervals and with frequent octave displacements. The pitches of the three upper voices expand the pitch content to subsume the aggregate.

The outer voices of the second module are involved in a two-voice canon at the tritone that ends on E2 in the cello in m. 183. In the head motive (mm. 179-80), each member of the dyads formed by the double stops in the canonic voices (violin 1 and cello) performs a different function. One voice of the dyad sustains a pedal tone (A in violin 1; D in the cello); the remaining dyad members unfold the pitch-class canon shown in Example 4-18. The moving voice of the first violin is shown in the treble clef staves of the example; the moving voice of the cello is shown on the bass clef staves.

The harmonic vocabulary remains dissonant, with an abundance of ic1 and ic6. The ostinato in the middle voices alternates set classes (0167) and (0123) in mm. 178-80. In mm. 182-83, the second violin states all six transpositions of (0167), creating two statements of the aggregate in the process. The viola states three transpositions of the same set class in augmented values that also complete the aggregate (mm. 182-83).

The canonic voices generate more complex rhythmic combinations than earlier thematic passages. Contrasting divisions of the beat—simple in the ostinato and compound in the canon—project rhythmically independent pairs of voices that sound polyphonic.

The second climactic swell culminates in the thematic statements in m. 211 and m. 217. These final announcements reach the highest dynamic level of the Rhythmic Theme (*sforzando* punctuation in m. 217). The tonal space is at its most expansive here—a full five octaves (C2 in

Example 4-18. Movement II, mm. 179-81. Two-voice pitch class canon. a) Original registers; b) Pitch class reduction.

m. 213 to C7 in m. 211), and with the participation of the cello, the imitative texture is thicker than in previous statements. The instruments enter in cascade fashion with major sevenths, the largest double-stopped interval among the statements of the Rhythmic Theme.

Even as the thematic statements become increasingly intense, their familiarity creates a relative stability among the swirling unsettledness of the surrounding polyphony. The frenetic energy of this expansive movement contrasts sharply with the deliberate pace of the first movement and ethereal third movement, discussed in Section 4.3.

#### 4.3 THE SLOW MOVEMENTS: MOVEMENTS III AND V

The remaining slow movements—the central third movement and the finale—exhibit a number of features in common with the first movement. The chant-like opening gesture of the work has counterparts in these movements—the principal material of the third movement

features many characteristics of chant, and the chorale in the fifth movement harmonizes the cello declamation. An important motive, first stated in m. 41 of the first movement, with the contour <-1-2+1> also appears in both slow movements.

#### 4.3.1 Movement III

After the intensity of the second movement, Schnittke returns once again to a slow tempo in the luminescent third movement. Example 4-19 is a time line of the movement. On a large scale, the Lento unfolds three areas, each shown on a separate system in the example, in a statement-departure-return design.

##### 4.3.1.1.Outer Areas (mm. 1-34 and 71-92)

The outer areas examine a “motto,” the first four notes of the movement’s principal melody from different perspectives. Schnittke expands the scope of the movement via the technique of varied restatement.

##### 4.3.1.1.1. Structure and Layout of the Motto Melody

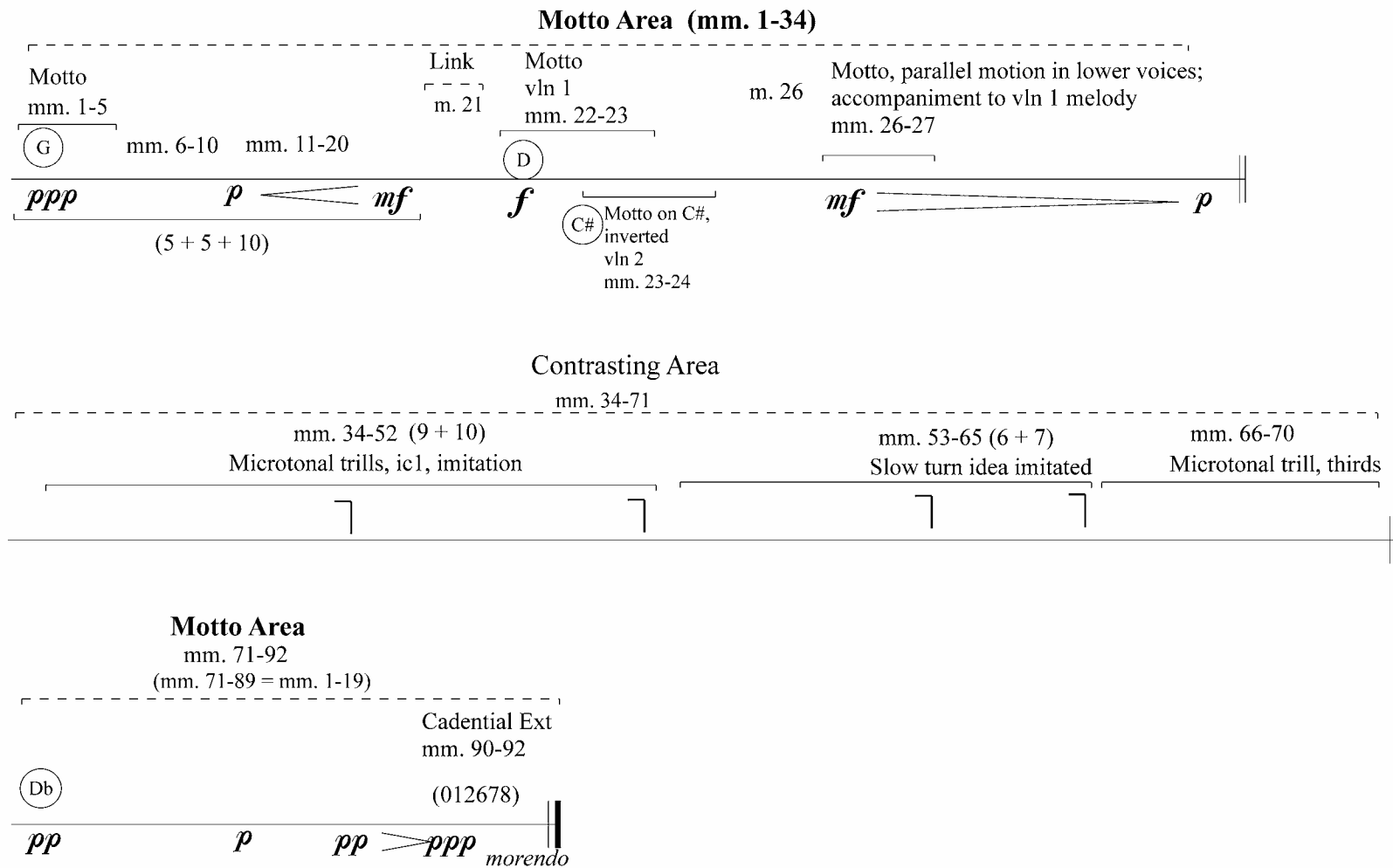
The principal melody is a long, sinuous line that unfolds slowly over the first twenty measures. Like most melodies in the Fourth Quartet, it subsumes all twelve pitch classes, completing the aggregate in m. 15.

Schnittke has recounted borrowing Russian sacred songs in his Second Quartet. To these ancient hymns, which he says are characterized by dissonant heterophony, he applied “deliberately complicated performance techniques” in order to suggest choral singing.<sup>13</sup> His exact meaning is rather vague, but he may have handled the principal melody of the third movement of the Fourth Quartet in a similar manner. In the first phrase (mm. 1-5), each voice replicates the first violin at pitch, but with rhythmic patterns that intertwine with one another,

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<sup>13</sup> Schnittke, “Streichquartett Nr. 2,” in *Festschrift*, 122-23. The passage in question was translated in full in Chapter 1, p. 28.





Example 4-19. Movement III. Time line.

creating the appearance of group improvisation. He also assigns a distinctive mode of sound production to each instrument—harmonics in the outer voices and special bowing techniques in the inner voices, as if to indicate a performance by four individuals, each with a characteristic voice.

The incipit of the melody constitutes a “motto.” Its contour, <-1-2+1>, recalls the opening of the first violin melody in m. 41 of the first movement (Section 4.1.2) and foreshadows the bridge theme in the fifth (Section 4.3.2.2). As indicated in the time line (Example 4-19), the motto reappears in two subsequent passages in the first area of the third movement. A two-voice free ic canon with new rhythms begins in the violins in m. 22. The first violin is in its highest range (D7); the second violin follows on C#4 with the motto in inversion (mm. 23-4). The motto appears for a third time in parallel motion in the three lower instruments as accompaniment for a new first violin (m. 26).

The principal melody returns in a varied restatement to round off the movement in m. 71. The melodic line is carried by the first violin and cello, both commencing on D $\flat$ . As indicated in the time line, these measures restate only the first three phrases of the opening section. The final notes of the third phrase in the first area of the movement ending in m. 19, are tied over through m. 20. In the restatement at the end of the movement, a new sonority is substituted for m. 20. It carries instead a five-pitch sonority in the upper voices and a microtonal trill in the cello, all sustained until the end of the movement (mm. 90-92, see Section 4.3.1.3).

In the initial statement of the motto, the four voices remain in the same register, although with distinctive rhythmic patterns. In this final return of the motto, only the two outer voices carry the transposed melody. They move homorhythmically in parallel motion. Schnittke creates an ethereal atmosphere with voices spaced three octaves apart, reinforced by the

tintabular, bell-like pizzicato of the viola. Throughout most of the passage, the second violin makes reference to the centric pitch of the quartet with a long pedal on D4. The return to “*non vibrato*” at m. 71, and subsequent indications of “*poco vibrato*” and “*vibrato*” make further reference to the cello declamation in the first movement.

#### 4.3.1.1.2 Phrase Layout

The time line shows that the phrase structure of the first twenty measures of the third movement is clearly laid out in five-measure increments. Long rests signal the cadences of the first two phrases (5 + 5). The following phrase is ten measures in length, divided into two five-measure sub-phrases.

The appearance of five-measure phrases or units links the opening material in the third movement with that of the first. In Movement I, the cello declamation and its varied restatement were both ten measures long, each laid out as 5 + 4 + 1. (The single measure functions as punctuation for the preceding phrase.)

The remaining two phrases in the Motto Area are less clearly defined—each phrase ending (m. 26 and 34) is elided with the following phrase. Nevertheless, similarities with the layout of the first movement also extend to these phrases. In the first movement, the restatement was slightly more intense than the original due, among other variables, to the slight increase in dynamic level (*pianississimo-pianissimo*). In the first Motto Area, Schnittke creates an arch-like structure with dynamics that grow from *pianississimo* (m. 1) to *forte* (m. 22) before returning to *piano* (m. 33).

#### 4.3.1.2 Contrasting Area (mm. 34-71)

Motivic ideas and harmonic elements in the Contrasting Area are drawn from the first movement, including microtones and semitone trills (mm. 34-35 and 62-63, respectively), triad

(m. 46), stepwise lines and mirroring (m. 61), and clusters (mm. 62-65). The semitone trill motive expands in mm. 59-60 into a slow turn.

Interval class cycles and pitch class sets are exploited in the contrasting section. Cycles of ic1, ic2, and ic5 generate the wedge motion in m. 61. Interval class 1 constitutes the most important element of the turns and trills in mm. 59-60 and 62-63, and is the double-stop interval in all voices in m. 61. The microtonal trills scattered throughout the section intensify the minor second. Interval class 5, an important element of the opening cello declamation's privileged pentatonic subset, separates the turns in the violins (C and F in violin 1 and violin 2, respectively, mm. 59-60). Two perfect fifths, {C<sup>♯</sup>,G} and {D,A<sup>♭</sup>}, combine in mm. 59-60 to create the symmetrical pitch class set class (0167).

A chromatic cluster, {E<sup>♭</sup>,E,F,G<sup>♭</sup>} launches the trill in m. 62, which progresses homorhythmically in parallel motion. That this set class, (0123), may be understood as a minor third filled by a minor second is apparent in the deployment of the two clusters in mm. 64-65 (one in the violins, the other in viola and cello). The boundaries of the minor thirds are performed as double stops in the first violin {C, E<sup>♭</sup>} and viola {E,G}; violin 2 and cello fill the interval with {C<sup>♯</sup>,D} and {F,G<sup>♭</sup>}, respectively. The minor third idea from the clusters continues in mm. 66, a gesture that reinforces the ties between this movement and the triadic harmonization of the chorales.

#### 4.3.1.3 Pitch Organization

The sense of tonal centricity of the third movement is unstable—the return of the opening material at the end of the movement transposed by a tritone (initial pitches G and D<sup>♭</sup>, respectively), and the concluding sonority, {D,E<sup>♭</sup>,E,G<sup>♯</sup>,A,B<sup>♭</sup>}, further obscures any tonal center. Nevertheless, there are some local areas that are governed by particular collections.

Example 4-20 shows important structural nodes of the first Motto Area. Phrases and motto statements are marked in the example. The nodal pitches, {C,D,G,A}, which form set class (0257), belong to the pentatonic collection privileged in the cello declamation.

Example 4-20. Movement III. Structural nodes in the first Motto Area.

In the Contrasting Area, other collections are prominent. Example 4-21, a reduction of this area, illustrates the deployment of these sets. The four cadences (mm. 41, 52, 58, and 65), indicated in the example by L-shaped brackets, correspond to the four cadences on the second system of the time line (Example 4-19). As shown in Example 4-21, the Contrasting Area is dominated by the collection {C $\sharp$ ,D $\sharp$ ,G $\sharp$ }, a member of set class (027), until m. 52. There, the phrase concludes on a sonority that includes sustained notes {D,G,A $\flat$ }, a member of set class (016). The C three-quarter-sharp (m. 52, violin 1) corrects to C $\sharp$  (cello) in measure 55-60, expanding the sonority to set class (0167). In the concluding phrase of the Contrasting Area (mm. 66-71), the outer voices move stepwise from G (cello) and G $\sharp$ /A $\flat$  (violin 1) to their D $\flat$ /C $\sharp$  goal. Despite the point of arrival on D $\flat$ , Schnittke continues to remind the listener of the central role of D-natural in the Quartet. As the Motto Area reappears in m. 71, D is sustained in the second violin as a pedal over nineteen measures and appears eerily—pizzicato and at irregular

34 37 41 42 43 44 46 50-2 53 55 58 59-60 65 66 71

*pp* *pp* *mp* *f* *ppp* *p* *mf* *mp* *p* *pp*

(016) (0167) (0167)

Example 4-21. Movement III. Reduction of Contrasting Area.

time intervals—in the viola. The final sonority, however, thwarts any expectations of tonal stability. During the last three measures of the movement, a microtonal trill persists in the cello, its  $E_b$  joining with the sustaining upper voices to form a member of pitch class set (012678), the familiar superset created by interlocking sets of (0167). This final sonority is an example of Schnittke's abstract symmetry—although the set itself is symmetrical, it is not deployed as such in pitch space.

#### 4.3.1.4 Summary

The third movement is closely related to the first, not only because of its slow tempo, but also because of its associations with the cello declamation and important motivic ideas introduced in the opening Lento. Like the first movement, the third begins with a chant-like, monophonic melody with an improvisatory feel. The melodies of both movements subsume all twelve pitch classes and are deployed in phrases composed of five-bar units; each is marked with nuanced dynamics and vibrato indications. The occurrence of thirds, either as harmonic intervals or as boundaries of clusters, looks forward to the triad harmonization of the chorale melody in the fifth movement.

The correspondence between the incipit of the first violin melody of Movement I (m. 41) and the motto of the third movement melody are among the important motivic ties between the two movements. Also of significance are the entrances that begin each phrase of the motto melody that resemble the proto-canonic cascades in the first. In both movements, elements of the melodies are recast as varied restatements, and microtonal trills and homorhythmic passages are prominent in the third movement, as in the first. The third movement continues to emphasize  $ic1$  and  $ic5$  and shares common harmonic structures with the first movement. Set classes (0123) and (0167) frequently serve as initiating or goal harmonies.

Pitch organization in the first movement is associated with the pentatonic collection {C,D,E,G,A} or its subset (0257). The presentation of the motto on pitches a tritone apart in the framing areas of the movement suggests a different design. Indeed, despite the orientation of the initial Motto Area towards the collection {D,C,G,A}, the remainder of the movement moves toward other collections without establishing stable tonal nodes.

#### 4.3.2 Movement V

The final movement, like the first and third, is marked Lento. Unlike the other slow movements, however, the final Lento begins boldly, with an ominous, driving motive marked to be performed *forte*. At the end of the movement, without warning, the dark mood is interrupted by the tranquility of the harmonized chorale. The chorale's serenity, however, is only fleeting; its super-instrument restatement, in which each instrument sustains its last note, creates dissonances that distort the numinous melody. Rather than actually conclude the work, the final measures seem to fade out of hearing. The Quartet ends tenuously on G with microtonal trills that fade away without ever providing a secure conclusion to the work.

Example 4-22 is a time line of the movement. The opening statement of the principal material and its varied restatements (mm 1-49) are shown on the first system. On the second system are a connecting bridge (mm. 50-92), the chorale (mm. 93-102), its restatement (mm. 106-10), and the coda (mm. 111-20).

##### 4.3.2.1 Exposition and Development of Thematic Material (mm. 1-49)

Schnittke announces the theme of the final movement via the vigorous, complex canon stated in mm. 1-8. The first violin and cello, each playing double stops, begin simultaneously on the downbeat of the measure. Each member of the double stops in both instruments is rhythmically independent, creating a total of four voices. The second violin and viola enter



**Principal Theme Area**  
mm. 1-49

Theme, Double Canon  
Voices Mirrored  
mm. 1-8

Varied Restatement  
mm. 9-16

Link  
mm. 17-19

Varied Restatement  
mm. 20-27

Interlude  
mm. 28-45

Varied Restatement  
mm. 46-49

Theme  
Voices Mirrored  
mm. 9-10

Theme  
Interval change  
Imitation  
mm. 20-22

Melody

*f* *p* *mp* *ff* *p* *ff* *p* *fff* *ff* *sffz*

**Bridge to Chorale**  
mm. 50-92

**Chorale**  
mm. 93-110

**Coda**  
mm. 111-20

Link

Harmonization

Restatement

*f* *p* *ff* *mp* *fff* *mf* *ff* *ppp* *fff* *ppp* *mp* *pp* *pppp*

together an eighth note later; they, too, play double stops through most of the passage, but both inner and outer voices of this pair move homorhythmically.

The pairs of instruments that enter together—violin 1/cello and violin 2/viola—mirror one another, as shown in Examples 4-23a and b, respectively. Example 4-23a shows the two sets of rhythmically identical voices formed by the double stops in the first violin and cello. The more active voices (upper note of the first violin and lower note of the cello) are located on the upper grand staff; the less active voices (lower note of the first violin and upper note of the cello) are shown on the lower grand staff.

The upper grand staff shows that the outer voices of the first violin and cello strictly mirror one another and engage in producing a number of voices exchanges.<sup>14</sup> The slower-moving inner voices, shown on the lower grand staff, generally mirror one another, although in mm. 4-5 Schnittke substitutes complementary or compound intervals (shown on the example with Arabic numerals with plus and minus signs to designate directed melodic motion by semitones).

The outer voices of violin 1 and cello (upper grand staff) begin on the compound augmented sixth, {E $\flat$ , C $\sharp$ }, a symmetrical dyad with a D axis. Since the mirror remains strict, the counterpoint continues to progress symmetrically around D. The axial pc D is also

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<sup>14</sup> This is true if the C $\sharp$  in the cello in m. 5 is understood to belong to the outer-voice line, only momentarily crossing over the inner voice B. This possibility is supported by voice-crossing between C $\sharp$  and E $\flat$  in m. 2 and those same pitches downbeat of m. 5, marked in the example. The outer voices continue to prolong C $\sharp$  and E $\flat$ , re-crossed, on the last eighth note of m. 5. It may be that the score is in error—the lower note of the double stop on the downbeat of m. 5 is D rather than B. Not only would D maintain the mirror with the first violin, but C $\sharp$  would also serve as a lower neighbor in the same manner as the outer voices in m. 5. In the example, then, the cello pitch in m. 5 is shown as an eighth note on D to indicate the variance with the score.

a)

Strict

Upper Voice of Vln 1

Lower Voice of Vcl

Dux

Complementary or Compound Intervals

Lower Voice of Vln 1

Upper Voice of Vcl

\* original B may be in error

1 2 3 4 5 6 7 8

1 2 3 4 5 6 7 8

-9 +13 -6

-3 -1 -6

Examples 4-23a and b. Movement V, mm. 1-8. Reduction of pairs of mirrored pairs of voices. a) Violin 1 and cello; b) Violin 2 and viola.

(examp. con'd.)

b)

Violin 2

Comes

1 2 3 4 5 6 7 8

Violin 2

Viola

Strict

Outer Voices  
Strict

Strict

Irregular

Strict

sustained in the inner voices of the double stops (lower grand staff). Example 4-23a illustrates the importance of the augmented sixth  $E\flat/C\sharp$  and its association with D. The dyad appears six times in the example—m. 1, m. 2 (twice), and m. 5 (twice on the upper grand staff, once on the lower). In m. 5, all three occurrences are contiguous with D, functioning as embellishing neighbor tones (shown in the example with slurs). The voice exchange in m. 5 allows the augmented sixth to decorate D in three different octaves. D5 and D3 are sustained as pedals in violin 1 and cello, respectively. Particularly interesting is the ic5 cycle in both outer voices of m. 6. The pitch collections in each voice,  $\{C\sharp, D\sharp, E\sharp, G\sharp, A\sharp\}$  (violin 1) and  $\{C\flat, D\flat, E\flat, G\flat, A\flat\}$  (cello) form set class (02479), the anhemitonic pentatonic collection. Significantly, the axes of symmetry of these sets are  $D\sharp/E\flat$  and  $C\sharp/D\flat$ , respectively. The dyad  $C\sharp/E\flat$  appears frequently throughout this section of the movement.<sup>15</sup>

Example 4-23b illustrates mirroring between violin 2 and viola. The example indicates areas of strict and free mirroring in mm. 1-8. The interval succession of the opening six pairs of mirrored pitches on the first grand staff are duplicated, transposed, in violin 2 and viola. These are bracketed and labeled “Dux” and “Comes” in Examples 4-23a and 4-23b, respectively. After the first six notes, the violin 2/viola pair breaks off the canonic imitation to carry a different melody than the first violin and cello. Segments of the violin 2/viola pair continue to mirror one another as labeled in the example.

Restatements of this principal melody occur twice more during the course of the movement. All three statements are uniformly laid out in eight-measure phrases—mm. 1-8, mm. 9-16, and mm. 46-53.

Immediately following the opening announcement (mm. 9-10), a new statement of the

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<sup>15</sup>See, for example, mm. 23, 28, and 41.

same theme appears truncated and transposed—a procedure that parallels the treatment of the opening cello declamation. The pitches of the second violin and viola imitate the first violin strictly, with the viola carrying the *inversus* of the principal line; the cello mirrors violin 1 freely. Pitch class D continues as the axis of symmetry of the new transposition to B and F in the outer voices. Previously, {B,F} functioned as important pitches in the inner voices of the violin 1/cello pair, shown by the voice exchange marked in the lower grand staff of Example 4-23a, mm. 4-8.

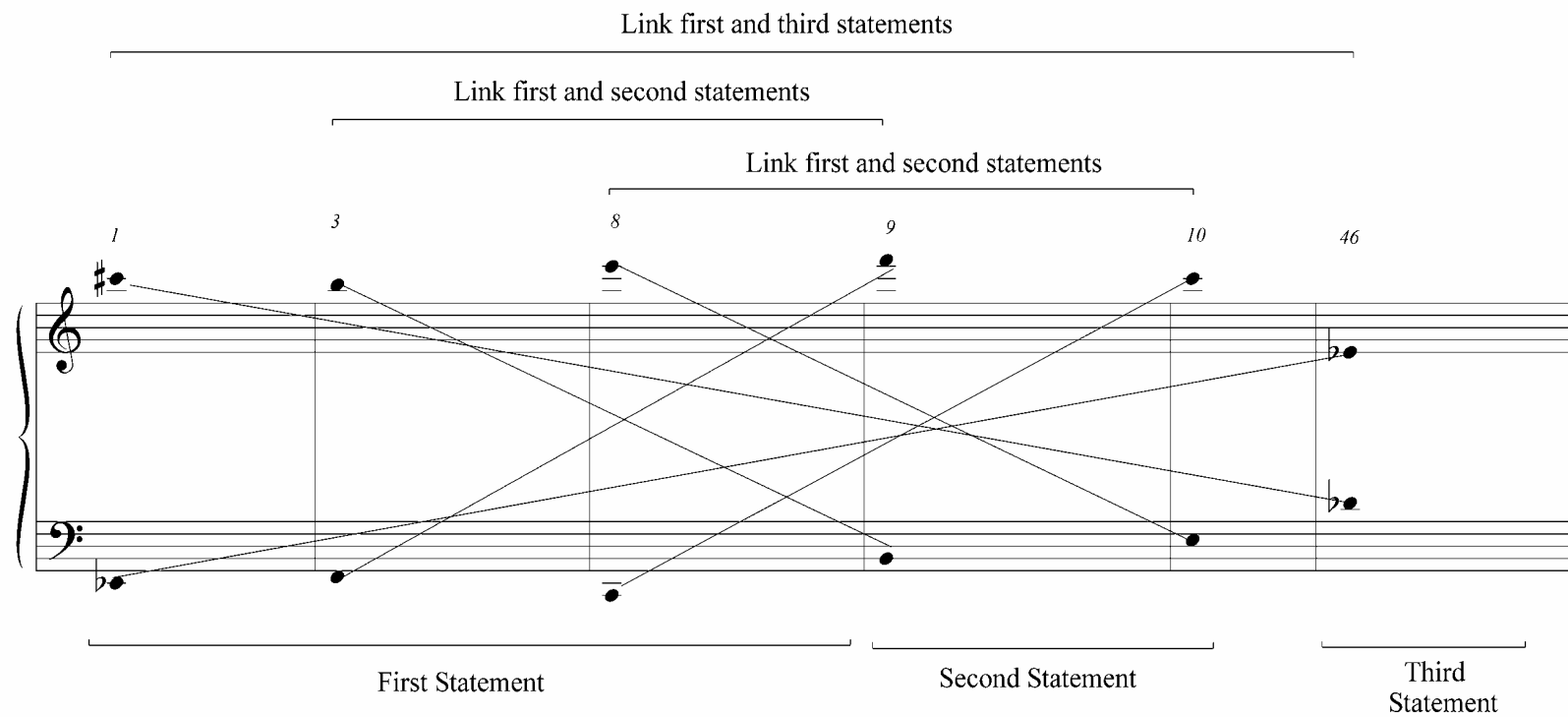
The final occurrence of the principal melody appears in mm. 46-49. The restatement appears only in the first violin while selected pitches are reinforced in the lower three voices. The outer voices begin on C<sup>#</sup>/D<sup>b</sup> and E<sup>b</sup>, rounding off the section on the same pitch classes as it began. Anticipating the opening of the harmonized chorale at the end of the movement, all four voices conclude the statement on B<sup>b</sup> (m. 49).

The three statements of the principal material are closely linked by voice exchange, as shown in Example 4-24. The three sets of dyads participating in the voice exchange, {C<sup>#</sup>,E<sup>b</sup>}, {C,E}, and {B,F}, expand outwards symmetrically from the axial D: {D,E<sup>b</sup>,E} and {D,C<sup>#</sup>,C}.

#### 4.3.2.2 Bridge to the Chorale (mm. 50-93)

The time line (Example 4-22) shows the location of the long bridge that serves as the connecting link between the thematic area and the harmonized chorale. A reduction of this area is shown in Example 4-25. It consists of two long phrases, each shown on one grand staff in the example. At the conclusion of the bridge, a descending line from E7 (m. 82) leads directly to the bass note, B<sup>b</sup>2, of the harmonized chorale (m. 93), slurred in the reduction.

The first phrase of the bridge (first system of Example 4-25) consists of a series of short melodic figures that are transposed and passed from instrument to instrument until the climax,



Example 4-24. Movement V. Voice exchange in the Principal Theme Area.

49 50 53 54 56 57 59 61 63 64 66 68

*f mp pp p p mp mf f ff*

69 72 76 78 82 87 93

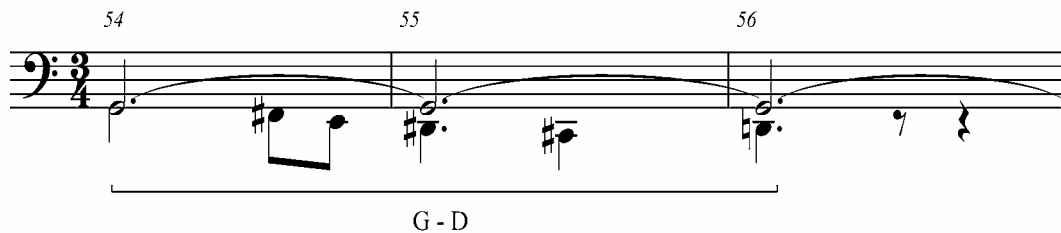
*mp f ffff ff ppp*

*Rallentando* Chorale

Example 4-25. Movement V, mm. 49-93. Reduction of bridge.



marked *fortissimo*, in m. 68. These figures tend to be three measures in length (some are tied over to an additional fourth measure), and their initiating and terminating pitches, marked with slurs, are related by ic5. While the melodic segments exhibit some differences with respect to rhythm and interval succession, Example 4-26 shows the most frequently used of these segments, which appears some five times during the course of the bridge. In m. 80, the first violin has a truncated version, {A,G#,F#}, modified to lead to the climax on E7 in m. 82. Most importantly, the last four pitch classes ({E,D#,C#,D} stems down in the example) replicate those of the first violin melody in the first movement (Movement I, m. 41). This collection has the same contour, <-1-2+1>, as the opening motto of the third movement {G,F#,E,F} (Movement III, mm. 1-5). The viola anacrusis to m. 50 (Movement V) duplicates motto collection.



Example 4-26. Movement V, mm. 54-56. Bridge melodic segment. Copyright 1989 by Universal Edition A. G., Wien/PH532. Used by permission.

As indicated in Example 4-25, the boundary pitches of the segments in mm. 50-72 are all members of the collection {C,D,F,G}, their chromatic upper neighbors {C#,D#,F#,G#}, or a combination of these pitches {C,C#,F,F#}. New pitches appear beginning in m. 75: A and E complete an ic5 cycle in the first violin (not shown in the reduction) and Bb joins F in m. 76. These new pitches anticipate the chorale which, like the oscillating motive of the second movement, begins with Bb minor and A major triads.

The phrase climaxes *ffff* in m. 82 before making a long decrescendo to the Bb in m. 93

that launches the chorale. The last segment of the descent, performed by viola and cello, forms a complete aggregate.

#### 4.3.2.3 Harmonized Chorale (mm. 93-102)

In the harmonized chorale, mm. 93-102, the cello declamation from the opening of the first movement is carried by the first violin, transposed to begin on B $\flat$ . Harmonization of the melody is accomplished exclusively by root position triads.

Example 4-27 is a reduction of the cello declamation and harmonized chorale, showing the note-for-note correspondence between the two. Phrase lengths are laid out in the same manner in both passages and transposition is exact, with the exception of the absence of octave expansion in the statement in the finale.

The harmonization of the chorale melody is ambiguous with regard to mode and tonal center. Certainly a tonally lucid harmonization of such a highly chromatic melody is challenging, especially when employing only major or minor triads in root position in support of the melody. Nevertheless, Schnittke's harmonization in the concluding movement confirms aspects of pitch organization suggested in the opening gesture of the first movement.

The first phrase of the cello declamation implied D as a tonal center by its initiating function, its position as the axis of symmetry of the pentatonic collection, and by the strong presence of A, related to D by ic5, as a cadential pitch. In the second phrase, the members of the D minor triad, D, F, and A, were privileged by long durations. In the transposed harmonization, B $\flat$  becomes a structural node. The reduction shows the strong relationship in both phrases between ic5-related B $\flat$  and F. Of significance in the second phrase is a strong articulation on C $\sharp$  in m. 99, created by the movement from A $\flat$  to D $\flat$  in the cello and by the descending melodic line E-D $\sharp$ -C $\sharp$  in the first violin.

Cello Declamation

1 5 6 7 8 9 10

Chorale Melody (Vln1)

93 97 98 99 100 101 102

Cello

Reduction

Example 4-27. Movements I and V. Comparison of cello declamation (Movement I, mm. 1-10) and chorale melody (Movement V, mm. 93-102).

Though subordinate to D, C $\sharp$ /D $\flat$  has been an important pitch class in the Quartet. Schnittke employed B $\flat$  minor and A major triads in the Rhythmic Theme in the second movement (beginning in m. 21, Section 4.2.2.1.2). There, too, the common mediant of the two triads, C $\sharp$ , functioned as an important tonal node. In the third movement, the motto, which began on G, was transposed to begin on D $\flat$  at the conclusion of the movement (m. 71). Since the finale's chorale harmonization begins and ends with B $\flat$  minor and A major triads (mm. 93-4 and 101-2), a strong articulation on their common mediant, C $\sharp$  seems fitting.

#### 4.3.2.4 Varied Restatement and Extension (mm. 103-120)

Following the soft dynamics of the chorale, Schnittke offers another jolt—a pitch-class cluster, {C,C $\sharp$ ,D,E $\flat$ }, in mm. 103-10 performed *fortissisissimo*. Each instrument is double-stopped so that the centric D is tripled, and C $\sharp$  and E $\flat$ , the mirroring upper and lower neighbors of D emphasized in the opening section of the movement, are both doubled. The lowest pitch of the cluster, C, sounds only in the cello. Significantly, the cello is the only voice that lacks a pause mark in m. 105, implying that its C delays the arrival of D until m. 106 where it is exposed with the same register, dynamic level, and instrumentation as its appearance in the opening measure of the piece.

The varied restatement combines the transposition of the cello declamation (Movement I, mm. 1-5) with the super-instrument presentation of its iteration (Movement I, beginning in m. 11). The character of the melody, however, is transformed again in this final statement. As each voice completes its segment, it sustains its last pitch, thickening the sonority with the addition of a double stop. The jolting cluster in mm. 103-105 and the dissonance created by the double stops in the restatement in mm. 106-10 undermine the serenity of the harmonized chorale, attenuating its cathartic role amidst the agitating dissonance of the work.

The final moments of the Quartet grow from the sonority in m. 110. In m. 111, a microtonal trill on A oscillates above a sustained triad in the three lower voices. A rhythmic decrescendo from eighth notes to quarter notes occurs in the first violin trill in mm. 116-20. Schnittke marks the final sonority *morendo*, so that the work fades away rather than coming to an unambiguous conclusion.


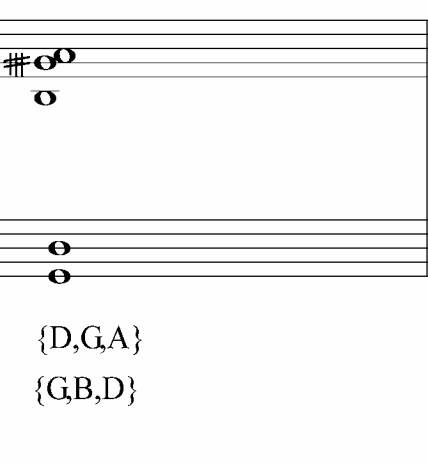
#### 4.3.2.5 Pitch Organization

The first 49 measures of the movement are oriented around D. The statements of the movement's principal thematic material that begin in mm. 1, 9, and 46 are launched by dyads in the outer voices for which D serves as an axis of symmetry—{E♭,C♯}, {B,F}, and {C♯,E♭}, respectively. The pitch class dyad {E♭,C♯} is arranged as a widely-spaced augmented sixth (E♭2 and C♯6) in the first statement and as a diminished third (C♯4 and E♭4) in the concluding iteration, creating a large scale voice exchange. Both statements are anchored by a D pedal (inner voices of the double stops in the first statement, D3 and D5; and cello, D2, in the last).

Beginning in m. 49, the Quartet wanders off to recollect pitch classes B♭ and C♯. All four voices reach B♭3 in m. 49, and the last of the series of melodic units in the bridge (mm. 76-8) features ic5 {B♭,F}. Framing the harmonized chorale are B♭ minor and A major triads (mm. 93-94 and 191-2), reminders of the second-movement oscillation. Present, too is C♯ at the chorale's articulation in m. 99, the shared mediant of these important triads.

Schnittke entices the centrality of D to materialize once again following the chorale. In the jolting sonority in mm. 103-5, D is tripled (but only in the inner voices of violin 1, violin 2, viola), and its neighbor tones from the opening canon, C♯ and E♭, are doubled. As the cello's lowest pitch C moves to D in m. 106 (a resolution discussed above in Section 3.2.4), and the cello declamation returns to its original transposition, D prevails.

The remaining points of arrival of the Quartet at mm. 110 and 120 are shown in Examples 4-28a and b. These sonorities accumulate the pitch collections, shown below the bass cleft staff, important in the Quartet. The complete pentatonic set that was privileged in the opening cello declamation is present in m. 110 (Example 4-28a), along with C $\sharp$  and E $\flat$ . The second violin plays F, perhaps a reference to the D minor triad highlighted in the second phrase of the cello declamation.

a) m. 110	b) m. 120
	

Examples 4-28a and b. Movement V. Comparison of sonorities. a) m. 110; b) m. 120.

The sonority in m. 120 (Example 4-28b) is more concise and less dense. It includes the centric D symmetrically balanced by its ic5 partners, G and A. The presence of B may recall the starting pitch of the first varied restatement in the first movement (mm. 11-20); or, considering its arrangement like that of so many triads in the Quartet (G and D as the lowest interval and B above), it may suggest a G major triad. Such a design places the mediant of triads in both examples—F from D minor (m. 110) and B from G major (m. 120) in the second violin.

#### 4.3.2.6 Summary

The final movement of the Fourth Quartet brings together threads—both in terms of

basic elements and familiar compositional devices—woven through the texture of the work. On the largest formal level, the fifth movement rounds off the piece by bringing back varied restatements of the opening cello declamation. The chorale represents an accumulation of elements explored in the body of the quartet as independent items—melody, texture, triadic harmonization—now assembled as the climactic moment of the work.

The conclusion of the fifth movement is ambiguous, even disturbing. The shocking sonority in m. 103 seems to jolt the Quartet away from the reassuring chorale to a disquieting reality. The dissonance created by the sustained notes in mm. 107-10, distorts the preceding luminescence of the harmonized chorale. The spiritual solace and security offered by the chorale no longer seem absolute. Indeed, G2, located in the lowest voice in the work's closing eight measures, averts a stable conclusion, leaving only the scents and shadows of D.

## CHAPTER 5

### CONCLUSION

Alfred Schnittke's String Quartet No. 4 is a passionate essay, full of fervor and anguish expressed through an eloquent and highly refined style. Essential to this style are the compositional devices of chorale and canon. Not only does the coherence of the Quartet's expansive formal design rest largely on the effective deployment of chorale and canon, but these mechanisms are the engines that drive Schnittke's musical argument.

Schnittke's preoccupation with chorale and canon is not unique to the Fourth Quartet. Chorale-like harmonizations have been a part of Schnittke's vocabulary for some time.<sup>1</sup> Canons with closely-spaced voices entering in 1 apart are so common among the pieces studied by Peterson that she labels them "Schnittkean stretto"; Taruskin calls them "canon at the almost-unison and the almost-octave."<sup>2</sup>

In the Fourth Quartet, chorale and canon are unifying threads that wander in and out of view as they share in the presentation and development of the work's thematic ideas. They are integral to Schnittke's processes of construction and deconstruction—the finale's chorale is the end product of the gradual accumulation of its elements; canon is the vehicle by which thematic material becomes increasingly complex through the application of intensification processes.

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<sup>1</sup> Other works with chorale-like textures include Symphony No. 1 (1972), Requiem (1975), Concerto Grosso No. 1 (1977), String Quartet No. 3 (1983), Cello Concerto No. 1, (1986) and Piano Sonata No. 2 (1990).

<sup>2</sup> Peterson, "Structural Threads," 94; Richard Taruskin, *Defining Russia Musically: Historical and Hermeneutical Essays* (Princeton, NJ: Princeton University Press, 1997), 103.



The constructive process begins with discrete objects—melody, triads, and homorhythms—that are treated individually and then scattered throughout the five movements of the Quartet. Silhouettes of these objects are unveiled in the first movement: a hushed utterance—not quite a melody—in the cello; ethereal triads performed with harmonics or without vibrato; and the barest hint of homophonic and polyphonic textures at the end of the opening gesture.

The cello's opening gesture burgeons into melodies that appear fleetingly throughout the Quartet. Their rhapsodic tone and embrace of all twelve pitch classes tie them to the chant-like cello meditation. Eventually, in the final moments of this work, the declamation is transfigured as the melody of the climactic chorale rounds off the work.

The appearance of triads within a dissonant texture is always striking, and Schnittke uses these structures to great effect. Typically deployed with the third placed above the perfect fifth, they generally harmonize melodies or move in parallel motion towards a goal; they are at their most arresting as harmonic support for the closing chorale melody.

Homorhythmic passages appear intermittently. Some homorhythms, like those in the second movement's Rhythmic Theme, are gripping; others are more quiet and meditative, like the chorale restatements of the Reflective Theme (also from the second movement), or the widely-spaced violin and cello at the end of the third.

Only during the last measures of the work, when Schnittke gathers these objects and assembles them, are they illuminated as fragments of a chorale. Schnittke's technique brings to mind processes that J. Peter Burkholder has identified in the music of Charles Ives. In this process, Burkholder says, "Ives begins with fragments and variants of his theme and gradually

assembles the tune and its accompaniment.”<sup>3</sup> This “cumulative form,” reinterprets the familiar developmental procedures of Western music:

The compositional process is not unlike that of other composers or of Ives’s own earlier music, as it relies on common procedures of elaboration and development. What has changed is the order of events within the piece; we do not hear the parts in the order in which they were conceived, but rather begin with the peak of fragmentation and variation and work toward the relative clarity and directness of the theme itself.<sup>4</sup>

The constructive principle of chorale is counterpoised by canonic imitation, which is applied to thematic material to intensify its character and suggest a sense of motion and unease. Schnittke’s favorite mechanism to accomplish this task is varied repetition, paced in such a way that each successive restatement becomes incrementally more complex. The thematic material is often stated in its simplest and most pristine form in homophonic chorale style. When Schnittke introduces canon, he often does so via first species counterpoint, retaining the homorhythms of chorale within the polyphonic context; eventually, however, increasingly intricate textures are generated by added voices, multiple stops, enlarged ambitus, heightened dynamics, the interaction of simple and compound beat subdivisions, and the collapse of strict or near-strict imitation. When canonic imitation fades into free counterpoint, the theme loses its character and deconstruction is complete.

The competing forces of chorale and canon, construction and deconstruction, clash in a precarious balance that drives Schnittke’s music via series of climaxes. These processes are perhaps steadied by the balance provided by symmetrical structures and processes that are deeply

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<sup>3</sup> J. Peter Burkholder, “Ives and the European Tradition,” in *Charles Ives and the Classical Tradition*, ed. Geoffrey Block and J. Peter Burkholder (New Haven: Yale University Press, 1996), 28. In an interview in 1988, reported by Allan Kozinn, Schnittke acknowledged the influence of Ives (along with that of Mahler). Allan Kozinn, “An Eclectic Mix through a Contemporary Prism,” *New York Times*, May 22, 1988, II, 43.

<sup>4</sup> J. Peter Burkholder, *All Made of Tunes: Charles Ives and the Uses of Musical Borrowing* (New Haven CN: Yale University Press, 1995), 147.

embedded in the material and design of the Quartet. On a large-scale formal level, the movements are laid out as a palindrome—slow—fast—slow—fast—slow. The framing outer movements enunciate the cello declamation and chorale, and processes of intensification drive the fast movements via canon. The central third movement retains the tempo and chant-like character of the other slow movements, though without specific reference to the chorale. Local events involve symmetries of various kinds. Mirroring and inversion canons animate Schnittke's thematic material, melodic gestures flesh out the skeletal framework of wedges, and a variety of symmetrical pitch class sets provide a unified harmonic base.

\* \* \*

We are still early in the process of exploring the breadth of Schnittke's contribution to twentieth-century music. He was a prolific composer; his oeuvre includes both chamber pieces—works for solo piano, unaccompanied violin, viola, and cello, and for a range of small instrumental and vocal ensembles—and large-scale works—symphonies, concertos, operas, and a ballet. Since about 1968, with the *Serenade* and Violin Sonata No. 2, stylistic pluralism—what Taruskin calls Schnittke's “fabled eclecticism” or “famous ‘polystylistic’ manner”—had become a hallmark of his music.<sup>5</sup> Schnittke's penchant for quotation, near-quotation, and parody of diverse styles in a single composition has caught the attention of audiences, critics, and analysts. His polystylistic method has been the main focus of recent papers (Brown and Crafton) and doctoral dissertations that consider Schnittke's music (Hall, Peterson, Tamar, Wettstein, and Yoon). With so much scholarly attention focused on polystylism, it is natural that the ways in which Schnittke integrates contrasting elements to produce a unified and coherent whole have been of primary interest in the selection of repertory and theoretical approach in these studies.

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<sup>5</sup> Taruskin, *Defining Russian Musically*, 99.

Some additional issues, therefore, have not received systematic attention.

In the last decade or so of his life, Schnittke relied less frequently on quotation; stylistic pluralism is still present, but manifest by way of allusion rather than literal borrowing. How works lacking obvious quotation, including the Fourth Quartet, fit into Schnittke's oeuvre as a whole is a subject for future Schnittke scholarship, but a few questions regarding the late works might be posed: Which techniques from Schnittke's quotation period survive in those works in which the importance of quotation recedes? In what forms are allusions to alien styles expressed? What, if any, semiotic meanings might be attached to the composer's allusions?

Further study of Schnittke's late works is likely to reveal consistencies in his selection and construction of stylistic allusions. In the Fourth Quartet, Schnittke adapts to his own use emblems of historical periods: Medieval (chant), Baroque (canon, chorale, ritornello, sigh motive), Classical (scherzo), and twentieth-century (aggregate statements, microtones, clusters, interval filling). Such allusions are meaningful because of their associations with their original contexts. This naturally brings up the question of what semiotic connotations, if any, the composer intended by these emblems.

That Schnittke believed firmly in the capability of music to communicate such meanings is clear from his conversations with Ivashkin:

Music is, of course, a physical reality, because volume and pitch are measurable. But it is also unquestionably a language. Not that it can be translated into its equivalent in words—that latter is the most elementary and primitive idea imaginable. Music is a language that carries a message, but not one that can be retold in words.<sup>6</sup>

What thoughts and ideas, then, might be manifest in the Fourth Quartet? Among the pillars of Schnittke's philosophical world-view is his belief in an underlying unity in the cosmos,

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<sup>6</sup> Schnittke, "Conversations with Alexander Ivashkin," 9.

even in those matters that appear to be diametrically opposed. One manifestation of this notion underlying commonalities is the universality of music of all periods of history—a basic tenet in the teachings of Philip Herschkowitz. Mention has already been made of Schnittke’s image of the connection of everything in our musical memory as a “simultaneous chord.”<sup>7</sup> For Schnittke, combining different musical traditions is likely to reveal the universal below a heterogeneous surface.

In the Fourth Quartet, Schnittke may have used a variety of references to allude to such universality. Microtones and glissandos remind that there is a gray area between members of the smallest interval of the tempered scale. The opening cello declamation suggests that pentatonic scales, including those pentachords that do not parallel the structure of set class (02479), are present in the music of an astonishing number of the world’s societies.<sup>8</sup>

Schnittke also believed that stylistic pluralism “creates new possibilities for the musical dramatization of ‘eternal questions’—of war and peace, life and death.”<sup>9</sup> It is likely, then, that Schnittke has designed both positive and negative signs.

Perhaps Schnittke’s basic compositional procedures—symmetry, construction, and deconstruction—represent aspects of the positive and negative. Referring to the effect of Schnittke’s residence in Vienna, Ivashkin notes that “all the ‘positive’ musical symbols (those referring to the symmetry and serenity of the Classical era) are indubitably Viennese.”<sup>10</sup> Here, of course, Ivashkin is not referring to the symmetry of mirrors or wedges, but of balance. Nevertheless symmetries such as symmetrical sets, voices exchanges, mirrors, inversion canons,

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<sup>7</sup> Schnittke, “Fourth Symphony,” 47.

<sup>8</sup> Van Khe Tran, “Is the Pentatonic Universal? A Few Reflections on Pentatonicism,” *The World of Music* 19 (1977): 76-84.

<sup>9</sup> Schnittke, “Polystylistic Tendencies,” 90.

<sup>10</sup> Ivashkin, *Schnittke*, 31.

and wedges are musical extensions of the Classical ideal of balance.

Schnittke's deconstructive devices—intensification procedures that transform homorhythms to complex polyphony and intricate rhythms, or in which strict canonic writing becomes free imitation—may reflect negative processes:

Depicting negative emotions—using broken textures, broken melodic lines to express a state of disintegration, tension, leaping thoughts—all this is of course a representation of a certain kind of evil, but not of absolute evil. This is the evil of broken good.<sup>11</sup>

Deconstructive processes are balanced by constructive ones, as Schnittke slowly builds his final chorale from detached objects.

Schnittke's religious references, chant paraphrases—the cello declamation and theme of the third movement, for example—as well as the chorale itself, must refer to Good. In the harmonized chorale, the contrasting consonance of the triadic harmonies with their dissonant surroundings creates a sense of profound tranquility; the succession—rather than progression—of triads creates static harmony, one of the characteristics Schnittke has identified with the timelessness of the eternal.<sup>12</sup>

Good, however, can never be permanent or absolute. Schnittke interjects doubt and uncertainty into these numinous moments. The movements of the Fourth Quartet tend to end on tonal centers removed from the centric pitch of the work D—E (Movement I), A $\flat$ /G (Movement II), E/E $\flat$  (Movement III), C/C $\sharp$  (Movement IV), and A/G (Movement V). Each movement concludes with an articulation involving microtones either at the articulation itself or in close proximity to it.

Even Schnittke's most transcendent utterances are compromised by uncertainty. In the second movement, the final chorale statement of the Reflective Theme is harmonized by

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<sup>11</sup> Schnittke, "Conversations with Alexander Ivashkin," 22.

<sup>12</sup> Schnittke, "Conversations with Alexander Ivashkin," 23.

dissonant harmonies, distorting the preceding chorales. The same is true of the final statement of the cello declamation in the fifth movement in which dissonances develop as each voice sustains its pitch. As Schnittke put it, “the negative side of reality still continues to exist.”<sup>13</sup>

The uncertainty introduced into consonances by dissonances supports Schnittke’s penchant for casting the diatonic and chromatic as surrogates for the positive and negative. The cello declamation sets these opposites in relief. The anhemitonic pentatonic collection is the most consonant of the pentachords.<sup>14</sup> Indeed, the absence of the semitone in (02479) contrasts sharply with the aggregate collection, for which ic1 is the most generative interval; the underlying consonance of the pentatonic set contravenes the chromatic surface. By allowing the pentatonic pitches to emerge only hesitantly from the deepest range of the cello, Schnittke is perhaps imaging the creation of a musical universal from primordial chromatic chaos.

Paradox is the substance of the Fourth Quartet. It reflects simultaneously creation and destruction, positive and negative, certainty and uncertainty, diatonic and chromatic, stability and instability in a dynamic and uneasy balance. Perhaps Schnittke was able to reconcile clashing elements because he could hear, as Rostropovich put it, “the sound of the cosmos.”<sup>15</sup>

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<sup>13</sup> Schnittke, “Conversations with Alexander Ivashkin,” 23.

<sup>14</sup> David Huron has noted the most commonly used scales and chords in Western music exhibit a high degree of consonance as measured on the basis of the content of set class interval vectors. He identifies the pentatonic collection as the most consonant of all sets of this cardinality with regard to what he calls “aggregate dyadic consonance value.” David Huron, “Interval-Class Content in Equally Tempered Pitch Class Sets: Common Scales Exhibit Optimum Tonal Consonance,” *Music Perception* 11 (Spring 1994): 301. It may be that its high degree of consonance accounts for the attractiveness of the anhemitonic set to musicians working in diverse cultures. Tran, “Is the Pentatonic Universal?,” 13 finds support in ethnomusicological literature for the notion that such consonance may be related to the wide-spread adoption of pentatonic scales.

<sup>15</sup> Mstislav Rostropovich quoted in “Music After Death” *Moscow News*, August 6, 1998, Personalities sec., no. 30, <http://80-web.lexis-nexis.com.ezproxy.libuh.edu/universe/document?m=9533028f51b1> (accessed October 24, 2003).

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## APPENDIX

### LETTER OF PERMISSION FROM UNIVERSAL EDITION

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**Von:** AADurrani@aol.com [<mailto:AADurrani@aol.com>]

**Gesendet:** Montag, 15. November 2004 00:01

**An:** lausch@universaledition.com

**Betreff:** Request for Permission

Dear Mrs. Lausch:

I am a Ph.D student in Music Theory at Louisiana State University, Baton Rouge, Louisiana (USA). I plan to submit the final copy of my doctoral dissertation, "Chorale and Canon in Alfred Schnittke's Fourth String Quartet," in the January, 2005. My project is a theoretical analysis of the complete quartet,

investigating the roles of chorale and canon and the devices generated by them in shaping this work. This is the first in-depth analysis of Schnittke's Fourth Quartet. I am respectfully requesting permission to include the musical examples listed below from your edition of Schnittke's Fourth Quartet (Ph 532) in my dissertation. Most examples will be marked with brackets, arrows, boxes, or other theoretical indications.

Movement I

1-10  
11-20  
21-28  
27-8  
37  
67  
75-82  
83-5

Movement II

1-3  
25-27  
40-5  
53-5  
88-96  
164-7  
190-1  
203-6  
218-23  
225-9

Movement IV

1-9  
14-22  
24-30  
31-5  
53-9  
99-101  
103-4  
112-8  
122-4

Movement V

54-6  
93-103 (violin 1 only)  
106-10  
120

My dissertation will be available through University Microfilms International. For Louisiana State University there is a mandatory electronic submission of all dissertations and theses.

Thank you for your help in this matter.

Sincerely,  
(Ms) Aaminah Durrani  
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## **VITA**

Aaminah Durrani was born in Longmont, Colorado, in 1948 and grew up in Denver. She graduated with a Bachelor of Arts (1969) from the University of Miami (Coral Gables, Florida) with a double major in economics and government. She earned Master of Arts Degrees from Harvard University (Regional Studies—Middle East, 1970) and the American University in Cairo (Arabic Studies, 1978). Returning to academic studies in 1986, she earned a Bachelor of Music and a Master of Music (1990 and 1996, respectively) from the University of Houston. After moving to New Orleans, Louisiana, in 1997, she was accepted at Louisiana State University. She is currently an adjunct instructor at the University of Houston and Houston Community College.