

THE PIANO SONATAS BY HAROLD SHAPERO: A STYLISTIC SYNTHESIS

BY

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DISSERTATION

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ABSTRACT

This research project offers an investigation into the stylistic language of the piano sonatas of Harold Shapero (1920-2013)—a twentieth-century American composer who is recognized as a member of the “Stravinsky School,” particularly for his emulation of Stravinsky’s Neoclassical style. Within its consideration of Neoclassical elements in Shapero’s work, this project looks at Shapero’s synthesis of elements and features from the eighteenth, nineteenth, and twentieth centuries, including compositional features connected with Stravinsky, Beethoven, J. S. Bach and others. All of Shapero’s piano sonatas are considered in this study, including the *Sonata for Piano Four Hands* (1941), the *Three Amateur Sonatas* (1944), and the *Piano Sonata in F Minor* (1948). These piano sonatas allow for an investigation of Shapero’s stylistic features and illustrate the composer’s overall stylistic evolution. Some attention is given to connections between the piano sonatas. Shapero’s final *Piano Sonata in F Minor* represents a compositional culmination of his earlier sonatas, and anticipates features found in his later works.

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INTRODUCTION

STATEMENT OF PURPOSE AND GENERAL BACKGROUND INFORMATION

This research project examines works by Harold Shapero (1920-2013), focusing on his piano sonatas: the *Sonata for Piano Four Hands* (1941), the *Three Amateur Sonatas* (1944), and the *Piano Sonata in F Minor* (1948). This study seeks to provide broad insight into Shapero's compositional style, especially his close ties to Neoclassicism. It also traces Shapero's stylistic evolution by illuminating connections between the five sonatas, demonstrating how Shapero's final sonata represents an extension of techniques from his earlier two sonatas, while highlighting links between his *Piano Sonata in F Minor* and his final two piano works: *Partita in C* (1960) and *24 Bagatelles* (unfinished). Shapero's compositions show the influence of features and techniques that date from earlier in Western music history, as well as the influence of contemporaries Igor Stravinsky (and his "Stravinsky School"), and to a lesser extent, Aaron Copland. The project seeks to answer the following questions: What are the key stylistic features in Shapero's piano sonatas? What features reflect Shapero's membership in the Stravinsky School, and what features differentiate him from Stravinsky? Which common features link the five piano sonatas? Which features in the *Piano Sonata in F Minor* reflect a continuation from Shapero's first two sonatas? And, which features in Shapero's final piano sonata anticipate aspects of piano works that he would later write?

Several scholars have considered Shapero's *Piano Sonata for Four Hands*, his *Three Amateur Sonatas*, and the use of quotation in his piano works; however, this project represents the first doctoral study of Shapero's five piano sonatas, including connections between the five sonatas. Shapero's music has been performed throughout the United States and Europe (especially during 1940s and 1950s, and then again after a 1980s revival); however, his piano works

continue to receive less attention than his best known work, the *Symphony for Classical Orchestra* (1941).

This project builds on three dissertations that directly connect with its topic. Karen Joy Follingstad's "The Three Sonatas of Harold Shapero: Historical, Stylistic and Performance Analysis" mainly discusses Shapero's *Three Amateur Sonatas*. Follingstad's dissertation contains ample firsthand information available about Shapero's life and his scholarly background, some of which Follingstad gained through an interview with the composer. She provides an analysis of each sonata and makes performance suggestions, including suggestions offered by the composer himself. She also indicates similarities between the sonatas and their commonalities with the works of Stravinsky and Copland with respect to rhythm, harmony, theme, and form. By contrast, Elizabeth Wertz Maisonpierre and Jonathan Andre Maisonpierre's "Twenty-Three Sonatas or Sonata-Related Works Written in The 20th Century for Piano, Four Hands: A Performance Tape" provides useful information on Shapero's *Piano Sonata for Four Hands*.¹ They discuss the general features of the piece according to their performance experience and knowledge. They explain the form of the piece, and suggest that the music obeys traditional harmonic tonal relationships between its themes, such as between tonic and dominant. They also draw connections between Stravinsky and the presence of driving rhythms, repeated chords, and sharp accents in Shapero's work. In addition, Ye-Ree Kim's dissertation provides related information about the Stravinsky School.²

¹ Karen Joy Follingstad, "The Three Sonatas of Harold Shapero: Historical, Stylistic and Performance Analysis," (DMA dissertation. The University of Texas at Austin, 1989). Elizabeth Wertz Maisonpierre, and Jonathan Andre Maisonpierre, "The Twenty- Three Sonatas or Sonata –Related Works Written in The 20th Century for Piano, Four Hands, A Performance Tape," (DMA dissertation. University of Maryland, 1983).

² Ye-Ree Kim, "The Impact of Stravinsky's Serial Conversion on Composers of The "American Stravinsky School": An Examination of Selected Works for piano,"(DMA dissertation. The City University of New York, 2006).

Other sources provide insight into various parts of this project. One notably useful reference is the essay “The Musical Mind,” which was written by Shapero himself. This essay contains his thoughts about a creative composer.³ Irving Fine’s review of the first sonata from the *Three Amateur Sonatas* mentions that the music is created by using classical elements in the style of Haydn, but even so, he notes that Shapero’s personality as a composer remains prominent.⁴ His discussion of the work’s structure, texture, and other aspects reveals its sophistication. Fine himself is regarded as a member of the Stravinsky School, and his comments and association with Shapero inspired me to explore Classical elements in works that Shapero wrote after his *Three Amateur Sonatas*. Other literature that provides background for this project includes: Aaron Copland’s *Copland on Music in the Twentieth Century*; Richard Taruskin’s *Oxford History of Western Music* and *The Danger of Music*; Benjamin Boretz’s *Perspective on American Composers* and *Perspectives on Schoenberg and Stravinsky*; Scott Messing’s *Neoclassicism in Music: From the Genesis of the Concept through the Schoenberg / Stravinsky Polemic*; R. James Tobin’s *Neoclassical Music in America*; Howard Pollack’s *Harvard Composers: Walter Piston and His Students from Elliott Carter to Frederic Rzewski*; and Wilfrid Mellers’ *Music in a New Found Land: Themes and Developments in the History of American Music*.⁵ These resources help to clarify the meaning of Neoclassicism, Stravinsky’s

³ Minna Lederman, ed. *Modern Music*, Vol. XXIII-number 1 (winter 1946), 31-35.

⁴ Irving Fine, “American Music- Shapero: Sonata No. 1,” in *The Musical Quarterly*, Vol.38, No. 3 (July, 1952): 480.

⁵ Aaron Copland, *Copland on Music*, (New York: Doubleday & Company, 1960); Richard Taruskin, *The Oxford History of Western Music*, Volume 4, (New York: Oxford University Press, 2005); Richard Taruskin. *The Danger of Music*, (California: University of California Press, 2009); Benjamin Boretz and Cone, Edward T., eds. *Perspectives on American Composers*, (New York: W. W. Norton, 1971); Benjamin Boretz and Cone, Edward T., ed. *Perspectives on Schoenberg and Stravinsky*, (New York: W. W. Norton, 1972); Scott Messing, *Neoclassicism in Music: From the Genesis of the Concept through the Schoenberg / Stravinsky Polemic*, (Ann Arbor: UMI Research Press, 1988); R. James Tobin, *Neoclassical Music in America*, (Maryland: Rowman & Littlefield. 2014); Howard Pollack, *Harvard Composers: Walter Piston and His Students from Elliott Carter to Frederic Rzewski*, (Metuchen, N.J: Scarecrow Press, 1992); Wilfrid Mellers, *Music in a New Found Land: Themes and Developments in the History of American Music*, (New York: Oxford University Press, 1987).

compositional language (as well as Copland's, to a lesser extent), and help illuminate connections between Stravinsky and Shapero.

STRUCTURE AND METHODOLOGY

This study relies on primary sources (including scores) and secondary sources and uses existing literature and score analysis in its investigation. In addition, interviews with the composer's daughter, Hannah Shapero, provided invaluable information for the study, given that she worked closely with her father during the compositional process.

Chapter One provides background information about Neoclassicism, brief biographical information, details of Shapero's primary influences, and an overview of Shapero's major piano works. Chapter Two focuses on Shapero's piano sonatas, especially his *Sonata for Piano Four Hands* and *Three Amateur Sonatas*, with an emphasis on investigating Stravinsky's impact; and it considers similarities and differences between Stravinsky and Shapero in terms of tonality, harmonic arrangement, thematic organization, and assimilation of features from Western music history (including aspects of formal structure and borrowed elements). In addition, Chapter Two discusses components of Shapero's personal compositional language that set him apart from his contemporaries. Chapter Three focuses on his *Piano Sonata in F Minor* and considers how it both synthesizes compositional features inherited from Shapero's previous sonatas and anticipates Shapero's later compositional features. To conclude, Chapter Four summarizes stylistic characteristic in Shapero's piano sonatas and offers potential directions for future research.

SIGNIFICANCE

This study provides the first doctoral study of Shapero's compositional style within the context of his piano sonatas, specifically. The project seeks to offer a better understanding of the compositional features Shapero drew on from various periods in Western music history, the influence of his contemporaries, and important features and connections within and between his sonatas. In addition, this study offers the first discussion of relationships between the *Piano Sonata in F Minor* and Shapero's late piano works, including the *Partita in C* and the *24 Bagatelles*. Since Shapero left his *24 Bagatelles* unfinished and unpublished, firsthand information on the manuscripts of *24 Bagatelles* offered by Hannah Shapero in our interviews will expand our knowledge of this music. Finally, it is my hope that this study will stimulate interest in, and awareness of, Shapero's piano works.

CHAPTER 1: SHAPERO'S MAJOR COMPOSITIONAL WORLD: NEOCLASSICISM

BACKGROUND ON NEOCLASSICISM AND HAROLD SHAPERO

Neoclassicism

At its most basic level, the term “Neoclassicism” refers to a formal trend in composition that was most popular between the years 1920 and 1950. Neoclassical works combine a return to the aesthetics, forms, and styles of the late eighteenth and nineteenth centuries with a twentieth-century-influenced approach to harmony and other compositional techniques. Neoclassicism emerged within the broader cultural context of the post-World War I years, and can be understood as a reaction against the excesses of late Romanticism (or, what some composers understood as excesses), such as programmatic elements, integrated forms, and unrestrained emotion. Examples of what these composers may have considered “excessive” include Richard Wagner’s ambiguous tonalities, such as in his opera *Tristan und Isolde*; Mahler’s symphonies, which contain complicated chromatic progressions and multiple climax points that are established by delayed or interrupted harmonic resolutions; Richard Strauss’s tone poems, which consist of large-scale, single programmatic movements; and Anton Bruckner’s symphonies, which unfold on a large time-scale.⁶ Included within the Neoclassical movement was a rejection of Impressionism. In general, Neoclassical composers endeavored to write music that was clear, direct, clean, and orderly.⁷

We can define Neoclassicism and Neoclassical works through a broad series of musical features. Neoclassical works—including those by composers such as Paul Hindemith, Alfredo

⁶ William Kinderman and Harald Krebs, eds., *The Second Practice of Nineteenth-Century Tonality* (Lincoln: University of Nebraska Press, 1996).

⁷ Arnold Whittall, “Neo-classicism,” *Grove Music Online* (accessed August 17, 2013), <http://www.oxfordmusiconline.com/subscriber/article/grove/music/19723>; Jacques Rivière attempted to suggest that Stravinsky was a classicist in 1913, and described Stravinsky’s music as “absolutely pure.... Nothing is blurred, nothing is mitigated by shadow; no poetic sweeteners; not a trace of atmosphere.” Richard Taruskin, “Back to Whom-Neoclassicism as Ideology,” in *The Danger of Music* (California: University of California Press, 2009), 388.

Casella, and Irving Fine—tend to emphasize clear melodic outlines, balanced structures, transparent textures, and restrained emotions, and utilize such forms as the symphony, sonata, and concerto. At the same time, the presence of originality or innovation is also central to Neoclassical compositions, even as composers looked to the past for models and material. Although Neoclassical music is often primarily diatonic, some composers, including Aaron Copland and Igor Stravinsky, modified the diatonic scale by using pandiatonicism or the octatonic scale (with alternating whole- and half-steps), or implied more than one tonal center through bitonality or polytonality. In addition, Arnold Whittall notes that the prefix “Neo” in “Neoclassical” can signal the element of “parody or distortion.”⁸ Using the example of Stravinsky, we can recognize this in his use of a parodied quotation from Schubert’s *Marche Militaire No. 1*, D.733 in his *Circus Polka* (1942). Here, Stravinsky excerpts Schubert’s main theme, saving it for the concluding theme of the *Circus Polka*, where he presents it with distorted and dissonant harmonies. Another example is Stravinsky’s *Jeu de Cartes*, which quotes and parodies Rossini and Beethoven.

In order to define Neoclassicism further, it is necessary to discuss the problematic nature of the term “Neoclassicism” itself, as well as how it has been used. One complication is that the compositional approach of integrating musical elements from past models—which is central to Neoclassicism—did not begin in the 1920s; in fact, we can recognize elements of Neoclassicism in works that date from at least as early as the late eighteenth century.⁹ Brahms represents one of numerous nineteenth-century composers who wrote music founded on Baroque-inspired fugues and counterpoint.¹⁰ For one example among many, Brahms looked back to George Frideric

⁸ Arnold Whittall, “Neo-classicism.”

⁹ Robert P. Morgan, “Neoclassical,” in *The Harvard Dictionary of Music*, Don Michael Randel, ed. (Cambridge, MA: Belknap Press of Harvard University Press, 2003), 557.

¹⁰ *Ibid.*.

Handel by including the Aria theme from the third movement of Handel's harpsichord suite No. 1 HWV 434 in his Variations and Fugue on a Theme by Handel, op. 24. In the variations, Brahms maintains four-bar phrases and a binary structure (in line with Handel), and employs various Baroque forms, such as the siciliana, musette, canon, and fugue. The fugue recalls J. S. Bach and concludes the entire variation set in a climatic ending with a stepwise ascending fugue subject derived from the work's opening thematic idea, and ascending motion that unfolds in parallel with the linear progression found in Handel's theme. Brahms develops the fugue subject with increasingly wide intervals and employs techniques of inversion, diminution, and augmentation in the contrapuntal parts. Similar to Brahms's use of Baroque-era characteristics, both Maurice Ravel and Claude Debussy employed Baroque dance idioms and the Baroque suite form, including in Ravel's *Le Tombeau de Couperin* and Debussy's sonatas. Each of these examples connects with the broad concept of Neoclassicism by the way it uses an earlier idiom, contains contrapuntal textures, and adopts structural forms established in the past.

Other complications relate to the origin of the term Neoclassicism. As mentioned, today's scholars most commonly apply the term to music composed beginning around 1920, when Stravinsky started looking to the past more intently in his compositions. As Scott Messing observes, however, variations on the term predate its generalized usage. In France, the term Neoclassicism (*néoclassicisme*) came into use increasingly after the year 1900, when it was used to refer to nineteenth-century music composed to imitate instrumental forms of the eighteenth century. Here, the term carried a derogatory meaning and signified music that was excessively imitative and that lacked musical originality.¹¹ In Germany, the term Neoclassicism (*Neoklassizismus*) appeared after World War I and was used to designate French art and

¹¹ Scott Messing, "Neoclassicism in France 1870-1914," in *Neoclassicism in Music: From the Genesis of the Concept through the Schoenberg/ Stravinsky Polemic* (Ann Arbor, MI: UMI Research Press, 1988), 13-14.

architecture of the late eighteenth century.¹² Additionally, two terms associated with “classicism” emerged within German literary history: “Klassizismus” and “Klassik” or “Klassizitat.” These terms referred to works of literature inspired from the past; however, while the former negatively describes derivative works that closely imitate past models, the latter term refers to works that are not purely derivative, and bears a more positive meaning. Messing writes that this second term, “Klassik,” was used to describe works that were deemed to be of a higher caliber, and that tied back to Goethe and Schiller. Messing also explains that in discussions of music around the turn of the twentieth century “Klassik” was increasingly dominant over “Klassizismus.” Here, “Klassik” was used positively and often linked to compositions with ties to Haydn, Mozart, and Beethoven.¹³

Messing describes that Boris de Schloezer in 1923 first connected the term “Neoclassicism” with Stravinsky’s compositions, beginning with works as early as Stravinsky’s *Pulcinella* (1919-1920) and the *Octet for Wind Instruments* (1923) and extending through *The Rake’s Progress* (1947-1951).¹⁴ As Schloezer indicates, the term applies to works that connect to past centuries through their use of forms and musical features, that oppose late Romantic compositional trends through their emphasis on simplicity, objectivity, and clarity, and that go beyond imitation to include elements of originality and novelty.¹⁵ Stravinsky’s *Pulcinella*, for example, looks to the past by thematically recalling Giovanni Pergolesi and others; at the same time, it includes novel and original instrumental effects, including juxtapositions between instruments with different timbres but similar dynamic ranges.¹⁶ As another compositional

¹² Messing, *Neoclassicism in Music*, 62.

¹³ *Ibid.*, 62.

¹⁴ Whittall, “Neo-classicism.”

¹⁵ Messing, *Neoclassicism in Music*, 129-133.

¹⁶ *Ibid.*, 113.

feature, Stravinsky's Neoclassical works written between the 1920s and 1950s routinely contain features from his Russian heritage. This can be seen in his use of percussive and rhythmic effects, such as displaced accents, irregular syncopated rhythms, and irregular meters. In line with the opposition to late Romantic aesthetics within Neoclassicism, Stravinsky's Neoclassical works tend to exclude strings because of the emotional quality they suggest.¹⁷ In addition, his music written during this period generally contains octatonic and diatonic pitch elements, and employs extended traditional chords without traditional functional harmonic progressions.

Certain Neoclassical qualities and elements can be found in the works of Arnold Schoenberg and the Second Viennese School, which arose around the start of Stravinsky's Neoclassical period. Works by Schoenberg and his disciples, Anton Webern and Alban Berg, employ traditional forms and go beyond traditional tonality, in alignment with Neoclassicists; however, the way these groups sought to create order and control in their works differed. Whereas Schoenberg and his disciples created control by assigning pitch order in twelve-tone music, treating each semitone as equally important, and emphasizing timbre and expressive qualities, Stravinsky and other Neoclassical composers aimed to create order through balanced structures and restrained emotions.

Schoenberg's earliest twelve-tone work, *Suite for Piano*, op. 25 (1921-1923), echoes the form and style of a Baroque suite (including in its use of Prelude, Gavotte, Musette, Menuett and Gigue movements) and employs compositional techniques that are similar to those used in the Baroque era, such as inversion and retrograde. Schoenberg even uses Bach's name as a compositional element in the *Suite's* Gavotte movement, where he presents it spelled out in retrograde. Similarly, Berg uses the passacaglia form in Act 1, scene 4 of *Wozzeck*, and Webern

¹⁷ Tobin, *Neoclassical Music in America*, 17.

uses a classical theme and variations form in his Variations for Piano, op. 27. It is worth pointing out that the manner in which Second Viennese School composers combined the conservative (using forms from earlier eras) with the modern (innovation of atonal and twelve tone technique) has similarities with Brahms's approach.¹⁸ For example, Brahms's aforementioned Variations and Fugue on a Theme by Handel connects Baroque elements with a forward-looking exploration of harmony and rhythm. Schoenberg's music, in particular, reflects the influence of Brahms's use of motivic saturation and developing variations—the second of which is a term that was later coined by Schoenberg.¹⁹ An additional connection between Second Viennese School works and those by Brahms is the importance both place on the use of counterpoint. Deriving influence from Brahms, Schoenberg's music is often full of expressive spirit, as conveyed in contrapuntally saturated motives; however, there are also differences between Schoenberg's and Brahms's respective explorations. Although both of them looked to features from the past, Schoenberg stands apart for the way his music breaks tonal relationships and liberates the weight of dissonance, which had remained important in Western harmony for the previous 400 to 500 years, and imbues his music with consistent and logically ordered motives. As a result, his innovations and explorations into atonality (including twelve-tone techniques) and his method of developing variation are quite different from those of Brahms.

Complications with the term Neoclassicism also arise from the difficulty of uniformly labeling and characterizing composers who use diverse methods to incorporate a wide variety of elements from multiple past musical periods and composers. Despite what seems to be implied from the term "Neoclassical," its reference to the "Classical" refers generally to "classicism"—

¹⁸ Taruskin. *The Oxford History of Western Music*, Volume 4, 341.

¹⁹ Ibid.; O.W. Neighbour. "Schoenberg, Arnold." *Grove Music Online. Oxford Music Online*. Oxford University Press (accessed June 3, 2017), <http://www.oxfordmusiconline.com/subscriber/article/grove/music/25024>.

rather than specifically to the Classical period—and can be understood as connecting with order, clarity, refinement and universal ideals. Composers falling under the umbrella of Neoclassicism wrote works that draw from various historical compositional periods, including (but not limited to) the Classical period. Within this, some composers (including Stravinsky) combined and integrated styles and forms from multiple periods in their works. Certain scholars have adopted additional terminology to deal with this plurality within Neoclassical compositions. As R. James Tobin explains, musicologist Marina Lobanova uses the term “polystylistic” to refer to composers’ integration of different styles and forms, whereas critic and musicologist Stephen Walsh uses the word “synthetic” to describe composers between 1920 and 1950 who were inclined to integrate and combine different styles and forms from different composers and different compositional eras.²⁰

Neoclassicism is a term not without its problems, as we have seen; however, this term is particularly useful for this paper’s study of the works of Harold Shapero, including its consideration of Stravinsky’s influence on Shapero. For the purposes of this study, pre-1920s compositions are not typically included under the umbrella of Neoclassicism. Even for those pre-1920s works that do look back to past models, the term Neoclassicism is a less appropriate label for various reasons (not all of which apply to each work). These reasons include earlier works’ stronger alignment with other stylistic periods; their tendency toward imitation (rather than original innovation); and their deviation from core features of Neoclassicism. To illustrate the last of these reasons, Brahms’s *Variations and Fugue on a Theme by Handel* does show expanded harmony and innovative contrapuntal techniques; however it leans toward Romanticism with an emphasis on emotional expression. A similar expressive quality is also

²⁰ Tobin, *Neoclassical Music in America*, 6-7.

found in Schoenberg's music, but takes a different path than Brahms. Examples by both composers do reveal Neoclassical inspiration tendencies, but the term Neoclassicism is used specifically in this paper to refer to a twentieth-century aesthetic movement that emphasizes a sense of refinement and emotional control and that connects with composers' rejection of the late Romantic spirit and its association with intense emotions expressed through wide-ranging dynamics, integrated structures, and various climax points.

Besides adopting structures and motivic material from previous eras, Neoclassical works strongly feature rhythm and contrapuntal textures. In addition, although some consider the prefix "neo" to refer to parody or distortion for the purpose of this study, let us agree that "neo" refers to an emphasis on composers' incorporation of their own language and their use of contemporary ideas of expanded harmony, and extended and innovative compositional techniques.

Neoclassicism, Stravinsky, and Their Relevance to Harold Shapero

Stravinsky's compositional features, especially from his Neoclassical works composed during 1920-1950s, have special relevance to this project because of his extensive influence on the project's main focus: the music of American composer Harold Shapero. Although Shapero was not a formal student of Stravinsky, we can note Stravinsky's influence in Shapero's conceptions of rhythm, tonality, and thematic organization. For example, Shapero's *Partita in C* contains a range of features similar to those found in Stravinsky's Concerto for Piano (1923-1924), including employment of the Baroque French Overture form, use of contrapuntal texture, and certain rhythmic features, such as double-dotted rhythms and irregular syncopations.

Given his importance in the twentieth century, it is understood that Stravinsky influenced many American composers who were active during the 1940s and 1950s. This was especially

true after Stravinsky immigrated to the United States, prompted by World War II, along with such composers as Paul Hindemith and Nadia Boulanger. Walter Piston, one of Boulanger's early students, said that "few present day composers can safely disclaim the influence of Stravinsky upon their development and certainly few would wish to."²¹ Copland referred to the group of composers in the United States who admired and followed Stravinsky's Neoclassical style—including Shapero—as the "Stravinsky School," and even mentioned Stravinsky's significant influence on his own work.²² In addition to Shapero, other disciples of Stravinsky's methods included Lukas Foss, Irving Fine, Louis Talma, and Leo Smit.

Shapero's compositional aesthetics reflect Stravinsky in many ways, including Shapero's conception of rhythm, form, tonality and stylistic integration. Most importantly, Stravinsky influenced Shapero's use of percussive effects, displaced accents, irregular meters, and extended traditional chords. Like Stravinsky, Shapero's music also reflects Neoclassical trends in the way it embraces musical ideas from earlier periods and emphasizes refinement and emotional control. Chapters Two and Three of this thesis discuss the influence Stravinsky exerted on Shapero. Chapter Two additionally considers Copland's important, albeit less extensive, influence on Shapero's work.

At the same time, works by Stravinsky, Copland, and others enable us to discern Shapero's growth and stylistic innovations as a composer. As Chapters Two and Three argue, Shapero's earlier compositions tend to follow Stravinsky's influence more closely and adopt aesthetic features of the Classical era, while his later compositions more often contain idioms from the Baroque era in terms of structure, rhythm, and motivic elements. While Stravinsky

²¹ Minna Lederman, ed., *Stravinsky in the Theatre* (New York: Pellegrini & Cudahy, 1949), 130.

²² Howard Pollack, *Aaron Copland: The Life and Work of an Uncommon Man*. (Urbana: University of Illinois Press, 2000), 199.

tended to avoid traditional functional harmonic progressions, many of Shapero's compositions harken back to the Classical era in the way they adopt such idioms as periodic phrases and implied harmonic function. Some of Shapero's works even use Beethoven as a model, which will be explored in Chapter Three.

As opposed to Stravinsky and other composers, Shapero's music is generally diatonic—often combined with modal Lydian inflections. Some of his works use orchestral effects and include a jazz flavor, and he tends to employ widely-spaced intervallic arrangements. Shapero produced a musical language that combined conventional tonality with twelve-tone techniques and symmetrical structural arrangements in his later works. Following the rest of this chapter's general overview of Shapero's life and works, subsequent chapters will include more analyses of Shapero's compositional features and stylistic development, with particular focus on his piano sonatas.

Harold Shapero and His Life

Shapero was born on April 29, 1920 in Lynn, Massachusetts and died on May 17, 2013. Shapero was one of the most active Neoclassicist composers during Neoclassicism's heyday, and was also one of the few who continued to employ Neoclassical elements in his works even as musical fashion shifted toward serialism. His life and works can be generally divided into three main periods: Shapero's Childhood and Educational Development (1920-1950); Post-World War II and Shapero's Academic Teaching Period (1950-1988); and Late Period (1988-2013).

Shapero's Childhood and Educational Development (1920-1950)

Shapero started learning piano when he was very young—around age six—and began composing music around age nine. His studies mostly focused on Western Classical music and popular swing music, and he would eventually found the Hal Kenney Orchestra and serve as an arranger for Benny Goodman's band. Shapero began studying theory seriously, including counterpoint and harmony, with Nicolas Slonimsky in 1936, and he later studied with Ernst Krenek in 1937. Shapero studied advanced harmony, composition, and counterpoint with Walter Piston at Harvard in 1938 and, after graduating in 1942, went on to study with Nadia Boulanger at the Longy School of Music. He also developed important relationships during these years with composers including Aaron Copland, Paul Hindemith, and Igor Stravinsky.

Various influences in Shapero's musical life directed his style toward traditional elements, and he consequently leaned toward the so-called "Stravinsky School." This similar range of influences also affected his peers, including Irving Fine and Arthur Berger. In addition to being included among the Stravinsky School, Shapero, Fine, Berger, and others would also become known collectively as the "Harvard" or "Boston" composers. While both Piston and Boulanger influenced Shapero's compositional language, he also derived inspiration from his association with other contemporary composers.²³ Shapero first encountered Stravinsky in 1940 while Stravinsky was visiting Harvard as a Norton professor, and the two composers would go on to form a lifelong connection that had a profound influence on Shapero's work. In addition to his studies with Boulanger at Longy, Shapero studied with Hindemith and Copland in the summers of 1940 and 1941 at Tanglewood. One of Shapero's goals while studying with Hindemith was to develop the ability to compose as quickly as did Hindemith. For one of his

²³ Tobin, *Neoclassical Music in America*, 79; Karen Joy Follingstad, *The Three Sonatas of Harold Shapero*, (DMA dissertation. The University of Texas at Austin, 1989), 16.

initial assignments on writing original melodies, Shapero tried endlessly for several days before spontaneously creating a simple, catchy tune with symmetrical phrasing. Hindemith told him, “That’s it. Go back to that place and build on it.”²⁴ The melody would later become the second theme in his *Three Pieces for Three Pieces*. Shapero also performed piano duet concerts with Leonard Bernstein as a young virtuoso pianist. He composed his *Sonata for Piano Four Hands* for himself and Bernstein in 1941, and the two performed this alongside Hindemith’s *Four-Hand Sonata* and Stravinsky’s *Concerto for Two Solo Pianos* at the Boston Museum of Modern Art. Shapero won several prizes while he was still a student, including the Prix de Rome for his *Nine Minute Overture* and the Naumburg Award for his String Quartet in 1941.

Shapero’s studies with Boulanger between 1942 and 1943 deepened his study of Western composition, and especially of Stravinsky’s work. Boulanger always insisted that her students hear the music in their minds and make each note have a meaningful function.²⁵ Shapero, along with all of her other students, learned traditional harmony and counterpoint by analyzing the scores of composers that ranged from the Renaissance to modern day. In addition to learning a great deal about Stravinsky, Shapero analyzed eighteenth-century works by Haydn, Mozart, and Beethoven. In 1967, Shapero mentioned that Boulanger was the teacher who influenced him the most.²⁶

Besides his significant analysis and investigation of Stravinsky through Boulanger, Shapero’s direct associations with Stravinsky also impacted his compositional language. Shapero had several chances to spend time with the composer following their initial 1940 meeting. The two exchanged scores and Stravinsky always made valuable suggestions to Shapero, which helps

²⁴ Tobin, *Neoclassical Music in America*, 82.

²⁵ Alan Kendall. *The Tender Tyrant: Nadia Boulanger, A life Devoted to Music: A Biography*. (Wilton, CT: Lyceum Books, 1977), xvi.

²⁶ Interview with Shapero by Margaret Faurbank. 1967.

explain why Shapero's music became increasingly Stravinsky-like.²⁷ Shapero once asked Stravinsky at a gathering: "What is the secret of inspiration?" Stravinsky replied that in harmony, one note suggests the next. He also remarked that "creating music requires observation, free speculation, and improvisation."²⁸ Interestingly, Shapero shared similar sentiments in his essay "The Musical Mind," where he writes, "the inspiration of thematic and structural materials could be considered the creative absolute and a most vital component of art. Inspiration occurs only when the artist is compelled to give something of himself, and when his creative imagination is unhampered by technical procedures unsuited to it."²⁹

Shapero's published compositions in this period include: *String Trio* (1937); *Trumpet Sonata* (1940); *Nine Minute Overture* (1940); *String Quartet* (1941); and *Sonata for Piano Four Hands* (1941). After he graduated from Harvard, he composed *Sonata for Violin and Piano* (1942); *Three Amateur Sonatas* (1944); *Serenade in D for Strings Orchestra* (1945); *Symphony for Classical Orchestra* (1947); *Variations in C Minor for Piano* (1947); and *Piano Sonata in F Minor* (1948). Shapero's best-known composition from this period is his *Symphony for Classical Orchestra*, which was premiered by the Boston Symphony Orchestra in 1947.

Post-World War II And Shapero's Academic Teaching Period (1951-1988)

Shapero, Berger, Fine, and Bernstein together founded the first music department at Brandeis University in 1951, where Shapero taught for thirty-seven years (1951-1988). Changes in the public's taste after World War II, as well as academic pressures, led Shapero to write less during this period, and his post-war decline in popularity is well known in the American

²⁷ Tobin, *Neoclassical Music in America*, 85.

²⁸ *Ibid.*, 86.

²⁹ Harold Shapero, "The Musical Mind," *Modern Music* 23 (Winter 1946), 34-35.

Classical music realm. Specifically, Shapero's compositional style conflicted with the Brandeis music department because he refused to give up diatonic tonality. During these years, the department was a war zone between traditionalists and twelve-tone advocates, with the latter group dominating until the 1970s.³⁰ Shapero's teaching duties further contributed to his dwindling compositional output. He once explained that, "comfortable university life is a disaster, especially if you have a university that doesn't pressure you to produce or perish."³¹ During his teaching years, Shapero mainly wrote pieces to fulfill commissions.³²

Although Shapero did not fully embrace the mainstream tendency toward twelve-tone music to the extent that his composer colleagues Fine and Berger did, he did experiment with blending twelve-tone techniques with tonal elements in his music. His *Partita in C for Piano and Small Orchestra* (completed 1960) is the single published example of this new exploration combining tonal and twelve-tone approaches.³³ The work was commissioned by pianist Seymour Lipkin, who asked Shapero to write a piece for him to perform in Detroit. Shapero's Partita was not the virtuosic piece that Lipkin expected, and to an audience, the work sounds tonal. Alongside the work's twelve-tone influences, *Partita in C for Piano and Small Orchestra* harkens back to Shapero's earlier compositions in the way it incorporates elements reminiscent of earlier music masters, including J. S. Bach and Beethoven.

³⁰ Email conversation with Hannah Shapero, September 12, 2015.

³¹ Anthony Tommasini, "Harold Shapero, American Neo-Classical Composer, Dies at 93," in *New York Times*. May 21, 2013 (accessed Sep 1, 2015), <http://www.nytimes.com/2013/05/22/arts/music/harold-shapero-93-american-neo-classical-composer-dies.html>.

³² Email communication with Hannah Shapero, September 12, 2015.

³³ According to Tobin's *Neoclassical Music in America*, Shapero's first surviving serial work is his String Trio for Ernst Krenek (1937). This work fully employs twelve-tone methods, and Shapero composed it while learning twelve-tone composing techniques with Krenek. Shapero did not apply twelve-tone techniques again until *Partita in C for Piano and Small Orchestra*, which is his only work that combines twelve-tone techniques with a tonal approach. Overall, the work uses a Neo-Baroque style. After his *Partita in C*, Shapero never returned to twelve-tone compositional technique.

By the late 1960s, Shapero had become interested in electronic music and had started running an electronic music studio at Brandeis. He and his daughter Hannah Shapero, who is a painter and electronic musician, composed duet works for themselves from 1967 until roughly 1973. Their works leave some room for improvisation in both the synthesizer and piano parts. One such example is *Three Studies in C Sharp* for synthesizer and piano, which the father-daughter duo completed in 1969. Similar to Shapero's inclusion of Classical-era features in his earlier compositions, this work contains homorhythmic textures, unisons, and simple triads.³⁴

Though limited, Shapero's output during the 1950s and 1960s is diverse. He composed *Traveler's Overture* (1948), which was revised and renamed *Sinfonia* in 1950; *Credo for Orchestra* (1955), which involves elements adapted from the slow movement of his unfinished *Concerto for Orchestra*; *On Green Mountain for Jazz Ensemble* (1957); music for Walter Cronkite's television special on Woodrow Wilson (1959); *Partita in C for Piano and Orchestra* (1960); *Hebrew Cantata* (1965); *Three Studies in C-Sharp* for synthesizer and piano (1969); *Improvisation in B* for synthesizer and piano (1969); and *America Variations* (unfinished).³⁵

Late Period (1988-2013)

By the later 1970s, Shapero had returned to the Classical-era style that he had been associated with earlier in his career, and he continued to compose in this vein through the 2000s. Shapero assumed this direction without the full support of the wider artistic community. The composer recalled in a 1986 interview that Karlheinz Stockhausen once told him, "don't look back [to the elements and the styles in the past]," but even still, Shapero expressed his sense that

³⁴ Howard Pollack. "Shapero, Harold." *Grove Music Online. Oxford Music Online* (accessed Aug 30, 2015), <http://www.oxfordmusiconline.com/subscriber/article/grove/music/25586>.

³⁵ Email communication and the resources about *Improvisation in B* for synthesizer and piano and *America Variations* from Hannah Shapero, October 1, 2015.

“modern music has lost something that old music had” and that he wanted to keep some of those qualities.³⁶

Shapero’s faithfulness to so-called “old music” found belated support. His music recaptured the public’s interest thanks to a performance of his *Symphony for Classical Orchestra* conducted by André Previn in Los Angeles in 1988. Previn had not previously heard this piece; however, while he was searching for repertoire for the concert, he expressed the opinion that the *Adagietto* movement was the most beautiful music found in any American symphony.³⁷ Kendall describes that an “endless, linear development underlies the harmonic and instrumental intentions” in the movement. This evocation of *la grande ligne* reflects a compositional characteristic of Shapero’s teacher, Boulanger.³⁸

The revival of public interest in his music helped Shapero regain motivation to compose such new works as *In the Family*, which features a rare instrumental combination of trombone and flute. He composed several works after his retirement in 1988, including: *Three Hebrew Songs* for tenor, piano and strings (1988); *In the Family* for trombone and flute (1991); *Six for Five* for wind quintet (1995); *Trumpet Concerto* (1995); *Whittier Songs* for soprano, tenor, flute, cello and piano (finished around 2008); and his final work, *24 Bagatelles for piano*. Many of his later works were composed for family and friends, and many remain unfinished, unrecorded, and/or unpublished.³⁹

Shapero told Tobin in 1990 that he hoped his music would give pleasure to listeners. Some of his works elicit joy and excitement, such as his *Symphony for Classical Orchestra*,

³⁶ Tobin, “Harold Shapero,” in *Neoclassical Music in America*, 93.

³⁷ *Ibid.*, 97.

³⁸ Kendall. *The Tender Tyrant*, 52.

³⁹ Email communication with Hannah Shapero, Oct. 1, 2015.

while others express a sense of peace, such as his *Variations in C Minor*.⁴⁰ Even as Shapero experimented with new compositional directions, he insisted on maintaining the beauty he recognized in music from the past, particularly in the way he continued to employ traditional forms, key designations, and conventional tonality.

HAROLD SHAPERO AND HIS MAJOR PIANO COMPOSITIONS

Shapero counts only a few major piano works among his larger oeuvre. Those that were published include compositions for piano solo, piano four hands, or ensemble pieces for piano and orchestra. These works include his *Sonata for Piano Four Hands* (1941); the *Three Amateur Sonatas* (1944); the *Variations in C Minor* (1947); the *Piano Sonata in F Minor* (1948); and the *Partita in C for Piano and Small Orchestra* (1960). In addition, *24 Bagatelles for Piano* were composed in his later years. Most of Shapero's works, including his piano compositions, are published by Southern Music Publishing Company. Shapero was recognized as a virtuosic pianist and premiered most of his works himself.

***Sonata for Piano Four Hands* (1941)**

Shapero wrote his *Sonata for Piano Four Hands* in 1941, when he was in contact with two of his most significant influences: Copland and Stravinsky. This was also the same period in which he was awarded the Prix de Rome in recognition of his *Nine-Minute Overture* and String Quartet. Shapero's *Sonata for Piano Four Hands* is not only his first published work, but also his only piano duet. The work is dedicated to Leonard Bernstein, and was written for Shapero and

⁴⁰ Tobin. "Harold Shapero," 100.

Bernstein to perform in a Boston concert of four-hand piano works.⁴¹ Shapero later recorded it with Leo Smit on the Columbia record label. *Sonata for Piano Four Hands* became one of the most frequently performed among Shapero's major piano works, and was recorded by David Kopp and Rodney Lister (1999) as well as more recently by the ZOFO Duo (2013) and by Sally Pinkas and Evan Hirsch (2014).

Shapero's *Sonata for Piano Four Hands* contains a conventional structural frame, including a quasi-sonata form in its first movement, a slow second movement, which has an ambiguous formal scheme that can be understood in various ways, and a rondo form in the final movement. The first movement includes a slow introduction, which contains two thematic ideas that later develop in the movement's faster middle section. The second movement can be divided into three main sections (slow, fast, slow) and contains two central thematic ideas; however, rather than simply introducing the two thematic ideas in different sections of the movement, Shapero creates two different kinds of chordal thematic ideas and presents both in the initial A section. Because of this, one could alternately understand the movement as following a double ternary form arrangement: ABA, ABA. The clever third movement of *Sonata for Piano Four Hands* has a Latin character and follows the rondo-like form of ABACBA. A strong pandiatonic quality in the work produces tonal ambiguity that makes the tonal center (C major) hard to discern until the final movement. *Sonata for Piano Four Hands* bears the strong influence of both Stravinsky and Copland, which will be discussed at greater length in Chapter Two.

⁴¹ Harold Shapero, "Lenny at Harvard (Reminiscence)" in *Leonard Bernstein: The Harvard Years 1935-1939*, (New York: Eos Orchestra, 1999), 50.

Three Amateur Sonatas (1944)

The *Three Amateur Sonatas*, written in 1944, can be regarded as Shapero's first accomplished solo piano work following his studies with Boulanger. The large amount of analysis of eighteenth-century works that Shapero completed with Boulanger renewed his interest in studying counterpoint and harmony, and this study is perhaps one of the main sources of inspiration for the *Three Amateur Sonatas*. Howard Pollack describes this work as the first fruit of Shapero's educational experiences, and attributes its lasting success to its freshness, wit, and sophistication.⁴² Mellers and Levin also describe Shapero's music as a twentieth-century modification of ideas borrowed from Domenico Scarlatti, C.P.E. Bach, and Haydn.⁴³ Shapero himself admits to gaining inspiration from these sources, and describes his musical style as "international neo-classic" with the form and phrasing of Haydn and the influence of other Rococo composers.⁴⁴

Like his *Sonata for Piano Four Hands*, Shapero also included a dedication with the *Three Amateur Sonatas*—this time to Arthur Berger and Alexei Haieff. The first sonata within the *Three Amateur Sonatas* is the shortest, while the third sonata is the longest. The first and third sonatas are both in major keys and contain four-movement schemes, while the second sonata contains three movements and is set in a minor key. The scale of each movement within the *Three Amateur Sonatas* is presented with a sonatina-like arrangement. Each sonata contains common features that make the three independent works connect with one another, including rhythmic patterns, thematic ideas, and the use of an orchestral opening. The three sonatas all use sonata-allegro form in their first movements, ternary form in their second movements, and rondo

⁴² Howard Pollack, *Harvard Composers*, 169.

⁴³ Neil W. Levin, "Harold Shapero," <http://www.milkenarchive.org/people/view/all/677/Shapero,+Harold>, (accessed Sep 1, 2015); Wilfrid Mellers, *Music in a New Found Land*, (London: Barrie and Rockliff, 1964), 220.

⁴⁴ Follingstad, *The Three Sonatas of Harold Shapero*, 41.

form in their final movements. Compared to the *Sonata for Piano Four Hands*, the *Three Amateur Sonatas* are more energetic, stimulating, and witty, and have shorter rhythmic melodies. Each of these features reappears frequently in Shapero's subsequent piano compositions.

Variations in C Minor (1947)

The influence and lasting effects of Shapero's study of eighteenth-century Viennese music, especially in the 1940s, are strongly evident in the music he wrote in the decade that followed. According to the composer, the late Beethoven quartets that he heard Boulanger perform were especially influential.⁴⁵ Beethoven's impact is found not only in Shapero's *Symphony for Classical Orchestra*, but also in two of his piano compositions: the *Variations in C Minor* and the *Piano Sonata in F Minor*. Specifically, the impression of the sublime and the spiritual quality of Beethoven's late piano works are reflected in Shapero's *Variations in C Minor*, although the theme for the *Variations in C Minor* was originally intended for his *Piano Sonata in F Minor* (1948).⁴⁶ In a 1988 interview with Follingstad, Shapero states:

I had that [theme] fixed in my mind for about as profound as you can get in music.... [it] has a very special spiritual quality, it's some kind of revelation. When I first heard it as a kid I thought it was the dullest thing I ever heard in my life. When I'd come to my lessons with Nadia Boulanger, I'd say, "That dull theme,"... and she'd just smile... What could she do if someone doesn't appreciate it? And then it dawns on you a little more.⁴⁷

The *Variations in C Minor* is a clearly tonal composition with a uniformly slow tempo, save for some indications of *ritardandi* and one *molto adagio* indication at the end of Variation 4. The expression markings are clearly notated on the score, and Shapero's use of different rhythmic values accelerates the harmonic speed. The dynamic range is wide, but sudden extremes are rare.

⁴⁵ Interview with Shapero by Follingstad, July 1988.

⁴⁶ Follingstad, *The Three Sonatas of Shapero*, 28.

⁴⁷ Interview with Shapero by Follingstad, July 1988.

The work begins with an angular thematic idea (a pattern that recurs in Shapero's later works) presented in C minor that is followed by eight variations. The music mainly stays close to C minor, although there are a few modulations to E minor and A minor, as well as a shift to C major. The special feature of the work is the cadenza section attached at the end of the piece. Melodically and structurally, *Variations* is comparable with several of Beethoven's late works as well as his 32 Variations, WoO 80. Beveridge Webster premiered the work in a League of Composers Concert in 1949.⁴⁸ It was later performed by Shapero himself and recorded at a Fromm Music Foundation concert in Sanders Theater, Cambridge, Massachusetts in 1978.⁴⁹

Piano Sonata in F Minor (1948)

The *Piano Sonata in F Minor* is the last and longest piano sonata that Shapero composed. Like his second sonata—the *Three Amateur Sonatas*—it is written in a quasi-Viennese Classical style. Shapero did not win positive acclaim at the 1949 premiere of his *Piano Sonata in F Minor*, largely due to changes in his audience's aesthetic expectations; however, his efforts between 1947 and 1948 still brought him success, including winning Guggenheim and Fulbright fellowships. The *Piano Sonata in F Minor* is the final work Shapero composed before he began experimenting with twelve-tone procedures and electronic music.

The work is a three-movement composition that includes a sonata-allegro form in the first movement, a variation form in the second movement, and an extended rondo form in the third movement. The outer movements are in F minor, while the second movement is in D-flat major. Interestingly, Shapero does not place conventional double bar lines (one thin and one thick) at the ends of each movement, but instead chooses to use equal thickness double bar lines to

⁴⁸ Tobin, "Harold Shapero," 91.

⁴⁹ CD copy supplied by Harvard University, Spring 2013.

separate sections instead of a full ending indication. This gives the sense that the three movements are connected *attacca* as a single unit. Due to the vast scale of the work, the slow second movement can be excerpted and performed with the title *Arioso Variation*, which is annotated in the score. Like the *Variations in C Minor*, Shapero's *Piano Sonata in F Minor* has several features that run parallel with Beethoven's late works. It also has features familiar from Shapero's earlier works, such as the circular figure found in the *Sonata for Piano Four Hands*. (Further connections between the previous works and the *Piano Sonata in F Minor* will be discussed in Chapter Three.) In an interview with Follingstad, Shapero describes that his work between 1944 and 1950 represents an integration of many influences (such as Stravinsky and Beethoven).⁵⁰ Both the *Piano Sonata in F Minor* and the *Variations in C Minor* were played in the memorial concert that was held for Shapero at Brandeis in September 2013.⁵¹

Partita in C for Piano and Small Orchestra (1960)

The *Partita in C for Piano and Small Orchestra* represents one of the few pieces the composer completed following World War II. It was composed during his academic teaching period at the request of pianist Seymour Lipkin in 1960 for his Ford Foundation program.⁵²

Shapero offers the following description of the *Partita in C*:

My Partita is a neo-baroque piece in which I have combined tonal and serial elements. The same twelve-tone series appears in each movement metamorphosed in character and absorbed in the overall tonal texture. The final movement "Esercizio" is entirely composed with the aid of this series, though it clearly ends in C ... The Partita forms are clearly linked with the keyboard music of the Baroque period, in which several brief movements were customarily included along with others of considerable extension.⁵³

⁵⁰ Interview with Shapero by Follingstad, July 1988.

⁵¹ Tobin, "Harold Shapero," 110.

⁵² *Ibid.*, 95.

⁵³ Harold Shapero, program note for Harold Shapero, *for Piano Solo and Small Orchestra (1960)*, Benjamn Owen (Piano), Louisville Orchestra, Robert Whitney (Conductor). [n.p] [n.d]. First

The concerto contains eight movements: Sinfonia, Ciaccona, Pastorale, Scherzo, Aria, Burlesca, Cadenza, and Esercizio. Each movement unfolds in a palindrome-like structure. The entire composition is grounded by its cyclic arrangement, which recalls the work's original Sinfonia theme in its penultimate movement. The work's instrumentation includes flute (doubling on piccolo); oboe (doubling on English horn); clarinet in B-flat; bassoon; French horn in F; trumpet in B-flat; trombone; timpani (3); glockenspiel; snare drum; triangle; xylophone; vibraphone; tambourine; harp; and strings. The work's French overture-like opening is reminiscent of Stravinsky's Concerto for Piano and Wind Instruments, which also employs this opening feature.

24 Bagatelles for Piano (unfinished)

Shapero's *24 Bagatelles for Piano* comprise several small pieces that the composer wrote for his friends and family after he retired from Brandeis, including a dedication to Aaron Copland for his eightieth birthday (Bagatelle No. 20). The Bagatelles remain in unpublished manuscript form, although the collection dates from around 2010.⁵⁴ Each of the Bagatelles is short, nostalgic, lighthearted, and/or ironic. Based on personal communication with Hannah Shapero, and after reviewing the manuscripts of Shapero's *24 Bagatelles for Piano*, it appears that this collection was not completed. For example, Bagatelles No. 3 and No. 10 appear as unfinished manuscripts. The piano Bagatelles represent Shapero's final compositions, and it seems fitting that his musical career began with learning to play the piano and came to a close with the composition of pieces for piano.

Edition Records LOU-674.

⁵⁴ Email conversation with Hannah Shapero, June 7, 2015.

24 Bagatelles are framed and united by a prelude and postlude. Although the formal arrangements of many of the pieces show features of ternary or rondo form, they do not neatly adhere to these forms' conventions. Many of the pieces have a dance-like character, and bear such titles as Waltz, March, Ostinato, Nocturne, Soliloquy, and Bagatelle. The entire collection of Bagatelles includes a wide range of styles from Baroque to contemporary, but each includes features from Shapero's own compositional language as well—such as wide spacing, short rhythmic melodies, and the presence of an improvisatory-like character—alongside ragtime features, such as rhythm. Within the collection, the incomplete Bagatelles include: Nos. 3, 10, 15, 16, 17, 18, 21, and 23. Please see Appendix A for a table describing the *24 Bagatelles* in detail.

Shapero's piano works synthesize influences from different composers that span Western music history. Beethoven and Stravinsky, however, are the two most essential sources of influence for his compositions in terms of structure, motives, and rhythm. In addition, Baroque tendencies, especially the influence of J. S. Bach, can be noted in his later works such as *Partita in C for Piano and Small Orchestra*. The chapters that follow discuss Shapero's stylistic features (focusing on in his piano sonatas), the legacy of renowned composers in Shapero's works, and the individual features that separate him from other masters. Additionally, Chapter Three centers on one work, the *Piano Sonata in F Minor*, with a discussion of its relationship to Shapero's two other piano sonatas as well as features in the work that anticipate the compositional techniques Shapero would employ in his later piano works.

CHAPTER 2: STYLISTIC FEATURES IN SHAPERO'S SONATA FOR PIANO FOUR HANDS AND THREE AMATEUR SONATAS

Shapero's piano compositions generally reflect his overall orientation toward a Neoclassical style, and within this orientation, many specific compositional techniques unite the piano compositions he wrote across his lifetime. For example, his music is diatonic and always contains key signatures. Sometimes Shapero went as far as including key designations in his titles, such as with his *Variations in C Minor* and the *Piano Sonata in F Minor*. Shapero's works routinely contain syncopation, percussive effects, shifting accents, and a driving rhythm—all features that show the influence of Stravinsky's Russian and Neoclassical periods. Shapero's works often unfold with wide intervallic spacing and commonly include cross relations (mode contradictions). Both of these features can be noted in his piano sonatas as well as his two final works: the *Partita in C* and *24 Bagatelles*. Interestingly, the composer often includes written-in rests at the conclusions of his works—leaving the performer and listener with silence rather than sound. In addition, Shapero's compositions often present the raised fourth (Lydian mode reflection) to create a sense of tension.

Within the broad stylistic continuity that connects Shapero's lifetime of work, other types of stylistic differences reflect his growth and change as a composer. This study breaks Shapero's compositional evolution into five stylistic periods. To begin, stylistic features specifically found in his early work in the 1940s largely reflect the influence of Stravinsky and Copland. His second stylistic period lasted from the late 1940s until the 1950s, when he adhered more closely to the idiom of composers associated with Vienna, including Beethoven. Shapero's post-1950s work comprises his third period—especially with his turn toward dodecaphonic techniques around 1960. Shapero's works through the mid-1960s fit within a neoclassical frame; however,

he briefly departed from this in the late 1960s and 1970s when he began experimenting with electronic music for synthesizer and piano. Finally, Shapero's music underwent stylistic changes again in the late 1970s, when he abandoned electronic music in favor of a style more closely associated with his earlier Neoclassical compositional direction.

Each of Shapero's sonatas contains stylistic features that connect with the past while also anticipating the composer's future works. For example, although Shapero's *Three Amateur Sonatas* tends toward a Classical-era sound, they share common rhythmic features with the *Sonata for Piano Four Hands*, which is stylistically closer to Stravinsky's Russian period. In addition, the last movement of Sonata No. 3 from his *Three Amateur Sonatas* ends with an orchestral, angular gesture—the contour of which is reflected in the central motive Shapero would later include in his *Variations in C Minor*. Shapero's final sonata—the *Piano Sonata in F Minor*—was composed at a point when he was mostly writing in a style reminiscent of Beethoven, as earlier studies suggest;⁵⁵ however, it also contains features from his previous two sonatas. As discussed further in Chapter Three, the *Sonata in F Minor* also anticipates stylistic and structural features found in his later works. In particular, the inclusion of Baroque elements in the work's second movement foreshadows the direction Shapero would later take, especially in piano music.

THE IMPACT OF STRAVINSKY AND COPLAND

Both Stravinsky and Copland played a notably influential role in Shapero's work in the 1940s. Stravinsky's main compositional style from the 1920s to the 1950s is regarded as a reaction against overwhelming and unrestrained emotional expression. His followers, especially

⁵⁵ Follingstad, *The Three Sonatas of Harold Shapero*, 28-30; Tobin, "Harold Shapero," 91.

Shapero and other American contemporary composers who belonged to the “Stravinsky School” from the 1940s to the 1950s, composed their music following Stravinsky’s sense of clarity, and primarily used structures that developed during the eighteenth century as the skeletal bases of their works’ formal shapes. Like other Stravinsky followers, Shapero inherited rhythmic features from Stravinsky, including his use of percussive effects and displaced accents. Evidence of this is particularly notable in Shapero’s works from the early 1940s. Shapero embraced additional compositional techniques that Stravinsky featured in his Russian period, such as polychords (or bitonal sonorities), irregular meters, and block form. We can note these compositional features especially in Shapero’s *Sonata for Piano Four Hands*.

While Stravinsky’s influence on Shapero was substantial, we can also note Copland’s influence. In particular, Shapero adopted the pandiatonicism Copland employed and also followed Copland in assimilating features from American jazz. Arthur Berger comments on the way young composers like Shapero who followed in Stravinsky’s footsteps also adopted traits from Copland’s work:

It is interesting, however, that in our country the most gifted young men who have, for this reason, taken Stravinsky as their guide, have also preserved an allegiance to Copland, limiting themselves to certain important lessons his music offers rather than adopting his style as a whole. Irving Fine, Alexei Haieff, and Harold Shapero belong to this group, and they are not only indebted to Copland for his clarification of the musical medium, but occasionally even evoke his specific formulas and melodic curves in passing.⁵⁶

The subsections that follow explore how Stravinsky and Copland influenced Shapero’s work across four areas: tonality, rhythm, thematic organization, and juxtaposition. Stravinsky’s influence was more extensive across these subareas, only some of which also apply to Copland.

⁵⁶ Arthur Berger, *Aaron Copland* (New York: Oxford University Press, 1953), 94.

Tonality

Composers' increased use of ambiguous chords by the early twentieth century undercut the functionality of their harmonic progressions. Pandiatonicism, is a compositional technique that was widespread within Neoclassical music, including works written by Stravinsky and Copland.⁵⁷ Elements of pandiatonicism are especially evident in such works as Stravinsky's *Pulcinella* (1920) and Copland's "The World Feels Dusty" from *Twelve Poems of Emily Dickinson* for medium voice and piano (1950). In addition to pandiatonicism, Stravinsky also employed bitonality and polychords (or bitonal sonorities), including in *Petrushka* (1911). Example 2.1 includes a scene from *Petrushka*'s room that contains a C major chord in the upper voice juxtaposed against an F-sharp major chord in the lower voice. This polychordal arrangement is additionally connected to the octatonic scale, which derives from the octatonic mode (0,1).

The image shows a musical score for two staves. The top staff is in treble clef and the bottom staff is in bass clef. The tempo is marked 'Lento.' and the key signature is 'C Major'. The time signature is 2/4. The score consists of four measures. The first measure shows a C major chord in the upper voice (treble clef) and an F# major chord in the lower voice (bass clef). The second measure continues the polychordal arrangement. The third measure is marked 'rit. e dim.' and shows a C major chord in the upper voice and an F# major chord in the lower voice. The fourth measure shows a C major chord in the upper voice and an F# major chord in the lower voice. A red box highlights the first two measures, and a purple box highlights the last two measures.

Example 2.1: Stravinsky's *Petrushka*, *Petrushka*'s Room, mm. 108-111.

We can observe these composers' influence on Shapero's sense of tonality. For example, Shapero's *Sonata for Piano Four Hands* contains tonal ambiguity in the sense of pandiatonicism, and uses polychords (or bitonal) sonorities. Although this work is composed in C major, tonal ambiguity makes it difficult to discern a clear tonal center in C during its first two movements

⁵⁷ In a basic sense, pandiatonic music is composed with diatonic notes in dissonant combinations without the presence of traditional functional progressions.

because both movements do not begin with the conventional C major scale and do not contain hints of functional harmonic progressions (such as dominant-to-tonic motion). An obvious tonality is not clarified until the last movement, which begins with a triad in C major. As a result, a way to clarify the tonal center(s) for listeners in the first two movements is for the performer to emphasize assertion note(s) through Shapero's compositional elements that draw attention to particular pitch(es), including repetition, pedal points, accents, ostinatos, register, and circulating returning notes. The first movement's opening is tonal, but its non-functional harmonic progression makes it tonally ambiguous. The opening chord may be thought of as an extended tertian chord, E-flat major ninth, which is presented in the right hand in the first piano part, and at measures 2 and 4; however, C acts as the stronger tonal center not only because the E-flat major chord and its extension are part of C minor thirteenth, which is presented in the second piano, but is also treated as the termination pitch in the first piano (left hand) and the lowest bass note in the first theme in the second piano (see m. 7 in Example 2.2). When the second melodic idea is displayed at measure 8, the accidentals turn from flats to sharps, and G emerges—briefly—as another possible tonal center (Example 2.2); however, the assertion center returns to C when the work reaches its Moderately Fast section at measure 18 with clear and prominent C minor sevenths at measures 19 and 20, and the C major scale with a raised fourth (f sharp) appears at measure 58 with a pick-up. Nevertheless, this movement still maintains the sense of pandiatonic harmony because, throughout, the music is presented without the constraints of functional tonality, conventional resolutions, and harmonic progressions.

Example 2.2: Shapero's *Sonata for Piano Four Hands*, Movement I, mm. 1-9. Assertion center: C.

Tonal ambiguity is also present in the second movement of the *Sonata for Piano Four Hands*. Here, E acts as a possible assertion note as it is prominently found in the bass at both the beginning and end of the movement. It also can be detected as the root for the E major chord and its extension (E major ninth), although E is absent at the beginning in the first piano (see Example 2.3); however, here exists a tendency toward centering on C-sharp because of the musical termination that continues to return the piece to an extended tertian chord based on C-sharp. In addition, the E major chord and its extension are the part of C-sharp minor seventh that establishes C-sharp as the assertion center of the second movement (C-sharp minor seventh) (see Example 2.4).



Examples 2.3; and 2.4: Shapero's *Sonata for Piano Four Hands*, Movement II, mm. 1-2 (2.3) and mm. 67-68 (2.4). Possible assertion note: C-sharp (the sense of extended tertian chord based on C-sharp).

There also exists evidence of polychords or a sense of bitonal sonorities in the second movement of the *Sonata for Piano Four Hands*. In measure 16, the Aeolian mode is used to connect the two phrases, but Shapero composes this transitional bridge with two assertion notes (A and D) presented at the same time (see the purple and red boxes in Example 2.5). Shapero uses a similar approach in the first piano in measure 25 of *Sonata for Piano Four Hands*. As discussed earlier, this polychordal strategy is reminiscent of Stravinsky's use of his Petrushka chord in *Petrushka*.



Example 2.5: Shapero's *Sonata for Piano Four Hands*, Movement II, mm. 14-17.

In contrast to the first and second movements of his *Sonata for Piano Four Hands*, Shapero presents a clear tonal center in the work's third movement with a clear C-major triad from the beginning. Within this, Shapero does include modal mixture (parallel major-minor mode contradiction)—a technique he would apply often in subsequent works. The third movement also contains another feature found in many of his later works: the raised fourth, which gives his music a modal flavor.

Rhythm

Stravinsky's approach to rhythm is a spectacular aspect of his music that resurfaces in Shapero's work. Particularly notable is Stravinsky's use of percussive effects and weak-beat accents as early as his Russian period, including in *The Rite of Spring* (1912–1913). The considerable amount of effort Shapero put forth studying and analyzing Stravinsky's music is evident in his compositions, which involve percussive effects, displaced accents, and running sixteenth notes. The percussive effects in Shapero's *Sonata for Piano Four Hands* are reminiscent of Stravinsky's *The Rite of Spring*, particularly in the first movement (Examples 2.6; and 2.7). For example, ascending, driving sixteenth notes and weak-beat accents are found in the first movement of Shapero's *Sonata for Piano Four Hands* (mm. 40-45) as well as in the work's third movement (mm. 205-214). The third movement of Shapero's *Sonata for Piano Four Hands* is also reminiscent of the first movement of Stravinsky's *Piano Concerto for Two Pianos* in its method of juxtaposing motoric and ostinato accompaniment parts against running melodic material with displaced accents (Example 2.8).

The image shows a page of musical notation for a four-hand piano piece. It consists of four staves. The top two staves are for the right hand, and the bottom two are for the left hand. The notation includes various note values, rests, and dynamic markings. A purple rectangular box highlights a section of the music in the lower right quadrant, specifically focusing on the left hand's part.

Example 2.6: Shapero's *Sonata for Piano Four Hands*, Movement I, mm. 41-46.

The image shows a page of musical notation for a piano piece. It consists of four staves. The top two staves are for the right hand, and the bottom two are for the left hand. The notation includes various note values, rests, and dynamic markings. The markings 'ff' and 'simile' are prominent. The music features complex rhythmic patterns and dynamic markings.

Example 2.7: Stravinsky's *The Rite of Spring*, "Sacrificial Dance [The Chosen One]," mm. 232-233.

Example 2.8: Strainvsky’s *Piano Concerto for Two Pianos*, Movement I. mm. 168-173.

The rhythmic accents and wild percussive effects in Shapero’s *Sonata for Piano Four Hands* invites comparisons to Stravinsky’s Russian period. Yet, Shapero more frequently uses displaced accents, especially in running passages that build up to climaxes—an approach that is present in the second and third movements of the *Sonata for Piano Four Hands*; here, Shapero’s use of rhythm is more akin to Stravinsky’s Neoclassical works, such as his *Piano Concerto for Two Pianos*. In the second movement, the A idea is a series of chordal progressions punctuated by chords on intervallic fourths, while the B idea contains steady seventh chords (in the second piano) that separate into a single melody in a jazz-swing style (in the first piano). When the A idea returns at measure 29, Shapero extends the motive idea in a triplet figure (see purple annotations in Example 2.9), and the tension pulls and extends in the middle section through the use of a fragmented A thematic idea as the music builds up to the climax (Example 2.10). In the second movement, Shapero also creates intensity and excitement through the gradual increased presence of displaced accents with percussive effects. In the third movement, Shapero uses the

accompanying figure as a way to create a sense of triumph. The motoric driving rhythm becomes the main idea, while the accents Shapero adds increase the rhythmic diminution. Unlike the way Shapero increases accent frequency in the second movement, in the third movement he changes dynamics rapidly and breaks the outbursts to rebuild the tension from measure 205. He uses an *accelerando* to reach the widest compass of the keyboard and the intense waves dramatically sweep toward the climax until the end of the movement. The wandering tonal ambiguity from the first two movements is finally triumphantly concluded at the end of the third movement with a clear C major tonality. In addition to these rhythmic strategies, Shapero employs ostinato running passages in the third movement that suggest Latin music, hinted at by the presence of 3+3+2 (or disordered) groupings (see red and purple boxes in Example 2.11). Christopher Fulkerson points out that a similar 3+3+2 grouping is also found in Shapero's *Piano Sonata in F Minor*.⁵⁸ This Latin flavor is also reminiscent of the third movement of *Scaramouche* by Milhaud.

Example 2.9: Shapero's *Piano Sonata for Four Hands*, Movement II, mm. 29-31. The returning A idea begins at measure 29 (purple box), and the motivic idea is extended in triplet figures.

⁵⁸ Christopher Fulkerson, "Neo-Classicism, Quotation, and Paraphrase in The Piano Music of Harold Shapero". (accessed April 1, 2013), <http://christopherfulkerson.com/shaperonote.html>.

Example 2.10: Shapero's *Sonata for Piano Four Hands*, Movement II, mm. 36-38. Shapero uses a fragmented motive as a means of contributing to the climax, and the displaced accents combined with percussive effects propel the climax.

Example 2.11: Shapero's *Sonata for Piano Four Hands*, Movement III, mm. 1-8. Latin flavor ostinato passage is created in 3+3+2, or disordered, pattern.

Rhythmic aspects in Shapero's *Pianos Sonata for Four Hands* continue to appear in his subsequent works. In comparison to Stravinsky's *Sonata for Two Pianos* (1943-44), which was composed in roughly the same period as Shapero's *Piano Sonata for Four Hands*, Shapero's rhythms are more complicated, with a mix of different kinds of rhythms with wide registral leaps and shifts. This serves to give Shapero's music an improvisatory quality. Examples of this can be found in his *Piano Sonata No. 3* (1944) (third movement, m. 4, Example 2.12); *Variations in C Minor* (1947) (third variation, mm. 155-159, Example 2.13; and end, mm. 398-407); the *Piano Sonata in F Minor* (1948) (first movement, mm. 120-121), and the *Partita in C* (1960) (fifth movement, m. 20).



Example 2.12: Shapero's *Piano Sonata No. 3*, Movement III, mm. 1-4.



Example 2.13: Shapero's *Variations in C Minor*, Variation 3, mm. 158-159.

Compared to representative compositions from Stravinsky's Russian and Neoclassical periods—*The Rite of Spring*, *Piano Sonata* (1924) and *Concerto for Two Pianos* (1935)—Shapero's compositions change meter less frequently without losing an *espressivo* character.

Shapero often changes meter at the ends of phrases or sections for the purpose of musical expression. In the piano music he composed between the late 1940s and 1950s—when his style was more oriented toward Classical-era composers—Shapero did not often change meters within works. For example, his *Three Amateur Sonatas* contains only a few meter-change indications. Examples of Shapero's works that contain a steady and single meter are his *Variations in C Minor* and *Piano Sonata in F Minor*.

Thematic Organization

Shapero's approach to thematic material reflects both Stravinsky's and Copland's ideas. Thematic material in Shapero's *Sonata for Piano Four Hands* shows the influence of Stravinsky's Russian period as well as his Neoclassical period. In his compositions, Stravinsky sometimes referenced folksongs as compositional material and often framed the melodies around certain assertion centers. This cell-like approach, which anchors the music around a specific pitch or pitches, can be noted in many works, such as in the opening measures of the Hymne in Stravinsky's *Serenade*, where A is framed as the insistent returning pitch (Example 2.14), and in the introduction of *The Rite of Spring*, which starts from a single melody and builds up in a layered texture (Example 2.15). A similar approach can be found in the opening passages of the first movement of Shapero's *Sonata for Piano Four Hands*, as well as throughout the second movement. The first movement of *Sonata for Piano Four Hands* opens with a slow introduction that contains two contrasting thematic ideas. Here, a fragmented melody is outlined in a gentle repeated chordal progression, which is presented in ascending fourths in one voice and descending fifths in the other voice. When the music reaches the second idea, it changes from vertical chords into a horizontal melody, formed by open fifths in the middle register. Similar to

the first movement, the second movement contains two thematic ideas that are presented in the A section in a chordal progression (versus in a cantabile and espressivo melody). Chordal themes and single melodic ideas alike from the first and second movements of the *Sonata for Piano Four Hands* follow a cellular approach and gradually expand around motivic cells. More akin to Stravinsky's Neoclassical period than his Russian period, the thematic and melodic ideas that Shapero employs are not associated with folk tunes; however, both Shapero's and Stravinsky's thematic ideas are created with limited notes in a circular cell figure and gradually build up.



Example 2.14: Stravinsky's *Hymne of Serenade*, mm 1-7.



Example 2.15: Stravinsky's *The Rite of Spring*, Introduction, mm. 1-8.

Copland also influenced Shapero's thematic ideas. Follingstad points out that the introduction of Shapero's *Sonata for Piano Four Hands* contains a melodic contour and phrasing that are similar to those found in Copland's *Violin Sonata*.⁵⁹ In addition, we can note the ways Copland's profound inspiration by French sensibilities is reflected in the melodic and thematic ideas found in Shapero's *Sonata for Piano Four Hands*. The slow introduction of the first movement of Shapero's work includes a lyrical line that is punctuated by a series of intervals that range from a second to a fourth, and that is later placed in a high register and played at a pianissimo dynamic level. The soft volume in a high register gives the sense of a mosaic, wistful, and ambiguous atmosphere that is also present in Copland's music. Shapero uses a similar compositional technique in the work's second movement. The first two movements of Shapero's *Sonata for Piano Four Hands* are particularly reminiscent of the third movement of Copland's *Pianos Sonata* (Examples 2.16), in part because of the similar wedge-shaped chordal progression that can be found at the beginning of the third movement of Copland's *Piano Sonata* and the second movement of Shapero's *Sonata* (Example 2.17). As another connection between these two works, we can link Shapero's method of alternating between chordal ideas and melodic ideas in the first movement of *the Sonata for Piano Four Hands* and between two different ideas in extreme dynamics in the second movement, with the third movement of Copland's *Piano Sonata*.

⁵⁹ Follingstad, *The Three Sonatas of Harold Shapero*, 23.

Andante sostenuto (♩=76)

ff *f* *mf* *f* *p*

p *mp* *poco decelerando*

p *f* *mf*

Example 2.16: Copland's *Piano Sonata*, Movement III, mm. 1-10.

Slowly (♩=58)

p *f* *f* *f*

p *f* *f* *f*

(5) (5)

Example 2.17: Shapero's *Sonata for Piano Four Hands*, Movement II, mm. 1-8.

Juxtaposition

Stravinsky's use of juxtaposition in many of his works had a clear influence on Shapero's compositional style. Juxtapositions in Stravinsky's compositions are not limited to bitonality and polychords, but also appear within his use of structure (block form) and melody. *The Rite of Spring* provides strong examples of this (Example 2.18). The motivic idea from the work's

introduction is diatonic in A Aeolian, with an emphasis on C. The motivic idea can be divided into two sub-ideas: the a idea is presented in an arpeggio-like pattern (C-B-G-E-B-A), whereas the b idea appears in a turn-like figure (C-B-A-D-A). In the complete motive, the a idea returns after the initial b idea, but here the rhythmic value is slightly altered (see section labeled “a” in Example 2.18). In past centuries, many composers tended to provide transitions to connect contrary ideas; however, at measure 10 Stravinsky switches from the opening idea directly to a different idea that is based on pentatonic scale, without employing a traditional smooth transition. This sharp change without transitional material results in the two ideas not blending with each other, creating a block form structure within the work. A similar block form arrangement is also found in Stravinsky’s *Petrushka*.

Example 2.18: Stravinsky’s *The Rite of Spring*, Introduction, mm. 5-13. Juxtaposition (block form).

Stravinsky’s “Augurs of Spring-Dances of the Young Girls” from *The Rite of Spring* provides contrasting examples of juxtaposition. Here, Stravinsky provides two different kinds of

ostinato that are repeatedly juxtaposed. The music starts with a percussive-like chordal progression, which includes within it a juxtaposition of the E-flat dominant chord against the F-flat major, and then switches to an arpeggio-like ostinato based on the octatonic scale (0,1) (see color-coded annotations in Example 2.19).

Example 2.19: Stravinsky’s *The Rite of Spring*, “The Augurs of Spring-Dances of the Young Girls,” mm. 1-14. Juxtaposition.

Shapero’s work shows that Stravinsky inspired him. This is evident in the fast section of the first movement of Shapero’s *Sonata for Piano Four Hands*, where the chordal progression over the bass figure interrupts the percussive effect figure before the presentation of the melodic idea (Example 2.20). The percussive effect and the chordal progression ideas are treated as two different accompanying figures, even though they are both based on the C minor seventh chord in ostinato-like figures. (Both of these ideas are developed in later passages.) The percussive effect figure is created using wide spacing, and metric displacement occurs when it returns (see

the purple box in Example 2.20). In contrast, the chordal progression is arranged within a smaller register and with an additive progression in the bass when it returns.

Example 2.20: Shapero's *Sonata for Piano Four Hands*, Movement I, mm. 18-28. Block form: two different ideas are juxtaposed back and forth with percussive effect.

Shapero also applied juxtaposition techniques in works composed after the *Sonata for Piano Four Hands*. At the end of the last movement of his *Piano Sonata No. 3*, the triumphant progression is suddenly suspended when, surprisingly, the second thematic idea is reintroduced at measure 122. This breaks up the continuity on the way toward the glory-filled ending. In addition to structural aspects, Shapero's use of juxtaposition techniques extends to the way he presents contrasting thematic ideas simultaneously. We can note this during the development section of the first movement of the *Piano Sonata in F Minor*, beginning at measure 86. This portion contains a juxtaposition between the syncopated melody from the first thematic group

(theme A) and the staccato detour sixteenths from the second thematic group (theme B) (see the color-coded annotations in Example 2.21).

The image shows two systems of musical notation for piano. The first system consists of two staves. The upper staff has a purple box labeled "Motivic idea A" highlighting a sequence of notes. The lower staff has a red box labeled "Motivic idea B" highlighting a sequence of sixteenth notes. The second system continues the music, with a "poco" marking at the end. The notation includes various musical symbols such as clefs, notes, rests, and dynamic markings.

Example 2.21: Shapero's *Piano Sonata in F Minor*, Movement I, mm. 86-89. Thematic ideas are presented simultaneously in the development section.

Shapero's *Sonata for Piano Four Hands* contains many features inspired by Stravinsky's Russian period, including percussive effects, displaced accents, motivic expansion, and juxtaposition. Tonal ambiguity and polychords (or bitonal sonorities) are found in Shapero's music as well. To a lesser extent, Copland also influenced Shapero's sense of tonality, especially through his incorporation of French sensibilities.

The Assimilation of Features from the 18th Century

Shapero's close association with Stravinsky and his Neoclassical style influenced the composer to assimilate eighteenth-century elements into his music; however, Shapero's studies of eighteenth-century music with Boulanger also inspired and impacted his music in ways that eclipsed Stravinsky's and Copland's influence—especially in terms of phrasing, structure, and

harmony. Each of these features is especially evident in his works composed in the late 1940s and 1950s. Though Shapero retained Stravinsky's sense of rhythmic character and shifting accents, features including shorter rhythmic melodies, clear phrase contours, and periodic structures—as found in the *Three Amateur Sonatas*—are closer to the rococo style and to the music of Haydn.⁶⁰ Shapero's music during the 1940s and 1950s is especially reminiscent of Viennese composers. The inspiration Shapero drew from Viennese composers is well illustrated in an essay he wrote about creativity in 1946. He states:

If a composer finds himself sympathetic to the classical quality of expression, he can derive immense benefit from a detailed examination of the three great Viennese masters (Haydn, Mozart, Beethoven) As the composer continues to work exercises in imitation of his models he will be surprised to find that along with the thousand subtleties of techniques he will absorb from his masters, he will discover the personal materials of his own art.⁶¹

Distinct from the approach he employed in his earlier works, Shapero's music in the 1940s and 50s bears similarities to music of Viennese composers, and shows how he diverged from Stravinsky and Copland. The inspiration Shapero drew from historical masters, such as Scarlatti, Haydn, Beethoven, and the elements he assimilated are reflected in his use of melodic ideas, structure/form, style, orchestration, and tonal arrangement in many of his works from these years. Shapero's study of Western composers from the past, particularly Beethoven, led him to create such large-scale works as his *Symphony for Classical Orchestra* (1947). Shapero clearly acknowledged Beethoven's influence on his music in a conversation with Bruce Duffie: “[Beethoven's Fifth Symphony is an] unbelievable piece, the first movement especially. It's just

⁶⁰ Mellers. *Music in a New Found Land*, 220-221; Irving Fine, the contemporary composer who had ties to Stravinsky and Shapero, mentions the formal continuity of the classical style in the *Three Amateur Sonatas*, with especially strong ties to Haydn. Irving Fine, “American Music- Shapero: Sonata No. 1,” 480- 481.

⁶¹ Shapero, *The Musical Mind*, 33.

a ghastly masterpiece, that first movement, so strikingly original and so devastating in its impact! I couldn't believe that whack that it had as I heard it again."⁶²

Shapero also shows Beethoven's influence in other piano works. Moreover, from certain angles, one can observe that the influential elements are not restricted to the eighteenth century in Shapero's music. His polystylistic music also contains elements that run parallel to those found in works by composers ranging in era from J. S. Bach to Brahms. Such inspiring elements from different eras will be discussed in this chapter's section on "Borrowed Elements" and in Chapter Three.

This section will discuss Shapero's assimilation of eighteenth-century features, focusing on the *Three Amateur Sonatas* with select comparisons against his *Sonata for Piano Four Hands*. This discussion is subdivided into four sections, including: 1) form and texture; 2) harmonic development; 3) borrowed elements; and 4) motivic variation and development.

Form and Texture

Shapero's inheritance from earlier masters is evident in his use of certain musical structures. Although his *Sonata for Piano Four Hands* contains features such as juxtaposition and rhythmic effects reminiscent of Stravinsky's Russian period, conventional formal arrangement can also be noted in this work (while the first movement is not in a clear sonata form in the *Sonata for Piano Four Hands*, a general structural arrangement akin to sonata form unfolds). Like many earlier masters, both the *Sonata for Piano Four Hands* and the *Three Amateur Sonatas* maintain previous practices and are arranged in sonata form for their first movements, rondo form for their final movements, and in ternary form for their inner

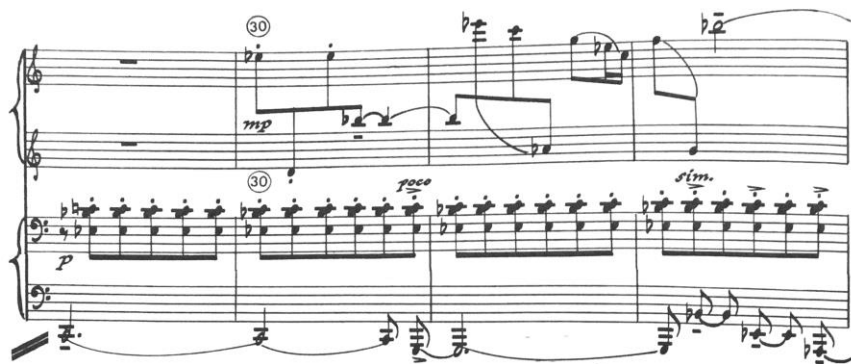
⁶² Bruce Duffie. "Composer Harold Shapero-A conversation with Bruce Duffie" (last accessed October 6, 2017), <http://www.bruceDuffie.com/shapero.html>.

movements. Shapero's *Sonata for Piano Four Hands*, however, is not structured in a clear conventional sonata form, which includes exposition, development and recapitulation. Shapero would not present this until the *Three Amateur Sonatas*, his second sonata.

The first movement of *Sonata for Piano Four Hands* is in a quasi-sonata form, with its three sections arranged in a slow (mm. 1-17), fast (mm. 28-151), slow (mm. 152-171) progression. (See the chart in Table 2.1 for this formal structure.) The movement begins with a slow introduction (mm. 1-17) without a clear exposition section; instead, as discussed earlier, Shapero displays two contrasting thematic motives. Following the introduction, Shapero includes a development-like section (mm. 18-114) in a fast tempo that extends and develops motives presented in the introduction. Shapero also introduces a new melodic idea across mm. 30–37 (Example 2.22) that does not return again until the coda section. The recapitulation section contains ideas presented in both the development section and the slow introduction. Similar to conventional sonata form, the recapitulation of *Sonata for Piano Four Hands* is centered on a single assertion center, C. Different than a conventional recapitulation, Shapero disorders the conventional thematic presentation order and begins with development ideas at m. 115. Ideas from the slow introduction return (mm. 152-155) in the recapitulation section, followed by the coda that contains fragmented motivic ideas from the fast section in a pointillistic figure (mm. 156-171). Music in this movement occasionally appears in a contrapuntal texture, but is also frequently displayed in a multi-layer texture with different ideas presented in each voice.

Section	Measure numbers	Features and Materials
Introduction	mm. 1-17	1. Slow 2. Motivic idea A in mm. 1-7 * assertion note: C 3. Motivic idea B in mm. 8-17 * assertion note: G
Development	mm. 18-114	1. Fast 2. Motivic ideas are from Introduction 3. New ostinato-like figures introduced in the second piano (derived from Motivic idea A) 4. New idea C is introduced from m.30 to m. 37 5. Motivic idea B from m.58 6. The ideas are expanded and developed
Recapitulation	mm.115- 151	1. Return to the opening of development 2. The extension of ostinato figure
Introduction	mm.152-155	1. Back to introduction materials (deducted)
Coda	mm.156-171	1. Materials from development * Ostinato-like figure in the second piano * Fragment of idea C * No Motivic idea B

Table 2.1: Formal structure chart for Shapero’s *Sonata for Piano Four Hands*



Example 2.22: Shapero’s *Sonata for Piano Four Hands*, motivic idea C, mm. 30-32.

In contrast to the *Sonata for Piano Four Hands*, the *Three Amateur Sonatas* is structurally and stylistically closer to works written by early Classical composers, such as Haydn and C. P. E Bach. This is evident in Shapero’s arrangements of the first movements of the three sonatas in this collection, which all employ sonata-allegro form with two clearly contrasting thematic materials, periodic phrases, and homophonic textures (see Piano Sonata No. 1 from the *Three Amateur Sonatas* in Example 2.23). Different than the *Sonata for Piano Four Hands*, which presents themes directly without transition, the arrangement of thematic ideas in the *Three*

Amateur Sonatas falls closer to conventional sonata form, where transitions or bridges connect contrasting ideas, and where closing themes are presented at the ends of the exposition and recapitulation sections. Each first movement from the *Three Amateur Sonatas* contains clear divisions between exposition, development, and recapitulation, as indicated in the structure charts presented in Tables 2.2-2.4. At the same time, each sonata within the collection resembles a sonatina in terms of its smaller scale and the absence of repeat signs between its expositions and development sections. Each first movement ends with a restatement of its opening idea. In addition, unlike the sense of pandiatonicism found in *Sonata for Piano Four Hands* mentioned earlier, the *Three Amateur Sonatas* contains clear tonality with more traditional and functional tonal relationships between contrasting themes or sections, such as a tonic-dominant relationship, or tertian relationship. The following section, “Harmonic Development,” will contain more detailed information about tonality and harmonic relationships.

Allegro preciso ♩ = 120

The image displays a musical score for the first movement of Shapero's Piano Sonata No. 1. The tempo is marked 'Allegro preciso' with a quarter note equal to 120 beats per minute. The score is in 2/4 time and one sharp (F#). The first system shows the piano part with dynamics 'f brillante' and 'p'. The second system shows the vocal line with a melodic line and piano accompaniment.

Example 2.23: Shapero’s *Three Amateur Sonatas*, Piano Sonata No. 1, Movement I, mm. 1-7. Homophonic texture.

Exposition	Closing	Development	Recapitulation	Closing
mm.1-21	mm.22-35	mm. 36-56	mm. 57- 79	mm.80-94
1. Motivic idea A * In D Major (Tonic) * a. mm.1-3, b. mm4-7 2. Bridge 3. Motivic idea B * In A Major (Dominant) *a. mm. 14-17, b. 18-21	In A Major	1. Motivic idea A only 2. F Major- B flat major (Turn to A major at the end as V preparation for Recapitulation)	1. Stay in D Major	1. Recall and condense the opening idea at the end

Table 2.2: Shapero's *Three Amateur Sonatas*, Piano Sonata No. 1, Movement I. Structure chart (with tonality relationship between contrasting themes).

Exposition	Closing	Development	Recapitulation	Closing
mm.1- 37	mm.38-56	mm. 57-85	mm. 86- 131	mm. 132-151
1. Motivic idea A * In c minor (Tonic) * mm 1-26 2. Transition 3. Motivic idea B * In e flat minor * mm. 28- 47 (Tonality in tertian relationship)	In E flat Major	1. Motivic idea A * In e minor 2. Motivic idea B * F major	1. Extended A idea * Tonality surprise: f sharp minor (mm. 101-113) 2. Bridge * In f minor * mm 114- 119 3. Motivic B idea * Return to c minor * mm121- 131	1. Turn to C Major 2. Has opening figure as ending

Table 2.3: Shapero's *Three Amateur Sonatas*, Piano Sonata No. 2, Movement I. Structure chart (with tonality relationship between contrasting themes).

Exposition	Closing	Development	Recapitulation	Closing
mm. 1-43	mm.44-51	mm. 52-86	mm. 92-139	mm. 139-154
1. Introduction * mm1-6 * In A Major 2. Motivic idea A * a. mm7-13, b. mm14-21 *A Major – E Major (Tonic) 3. Motivic idea B * a. mm.22-29, b. mm. 29-43 * E Major- C Major-E Major (Dominant)	In E Major	1. Motivic idea A * In b flat minor- c minor- e flat minor	1. False recapitulation * mm. 86-92 * e flat minor – e minor 2. Real Recapitulation since m.92 3. Tonality surprise: * Motive A: A Major- F Major-F sharp Major * Motive B: A Major- C sharp Major – F Major	1. In A Major 2. Extended Closing section 3. Opening figure at the end

Table 2.4: Shapero's *Three Amateur Sonatas*, Piano Sonata No. 3, Movement I. Structural chart (with tonality relationship between contrasting themes).

Harmonic Development

Shapero's *Sonata for Piano Four Hands* and the *Three Amateur Sonatas* differ in terms of harmonic development. Extended tertian chords are applied in the *Sonata for Piano Four Hands* from the work's beginning, and the seventh harmony is the most frequently used harmony throughout the work. If we consider C and C-sharp as the assertion notes of the first two movements (as discussed earlier in the "Tonality" section), harmonic development between movements proceeds chromatically with a semitone progression from outer voice to inner voice, from C to C-sharp in the second piano, and from B-flat to B-natural in the first piano. This can be seen in Examples 2.24 and 2.25, where the red circles highlight this chromatic shift in the first piano and the purple boxes show this chromatic shift in the second piano.

The image contains two musical score excerpts. The left excerpt, labeled 'AMI 3003', shows the end of the first movement. It features two staves. The first staff has a red circle around a C-sharp note. The second staff has a purple box around a B-flat note. The right excerpt shows the opening of the second movement. It also features two staves. The first staff has a red circle around a C-sharp note. The second staff has a purple box around a B note. The tempo marking 'Slowly (♩=58)' is visible in the second staff of the right excerpt.

Examples 2.24 and 2.25: Shapero's *Sonata for Piano Four Hands*. End of first movement: C, B-flat (Example 2.24); opening of second movement: C-sharp, B (Example 2.25).

Triadic harmonies dominate each sonata in the *Three Amateur Sonatas*. Put another way, although mode contradictions or cross relations are hidden in the background, more functional harmonic progressions are prominently displayed. The third movement of Piano Sonata No. 1 presents one such example of this. In the movement's opening, the music tends toward C minor in the right hand because the line includes A-natural, which is the raised sixth of the melodic

minor scale, and is also the leading tone of B-flat. Yet, when the music approaches C minor in measure 3, the A-natural is juxtaposed against an A-flat in the left hand, which is the note from natural minor scale (Example 2.26).



Example 2.26: Shapero's *Three Amateur Sonatas*, Piano Sonata No. 1, Movement III, mm. 1-3. Cross relation.

Harmonic development in tertian relationships across all five works included in the *Three Amateur Sonatas* reflects the influence of late eighteenth-century tonal arrangements. Works by composers such as Beethoven (especially his later compositions) and Schubert. Within Shapero's *Three Amateur Sonatas*, tertian relationships can also be found between works. For example, Sonata No. 2 is in C minor while Sonata No. 3 is in A major. Tertian relationships appear between movements: in Sonata No. 1, the outer movements are in D major, which moves to B-flat minor in the third movement; in Sonata No. 2, the first and third movements are oriented in C minor, but Shapero launches the slow second movement in the relative major (E-flat major); in Sonata No. 3, the outer movements are in A major, while the music moves upward to C-sharp minor in the second movement and downward to F major in the third movement. The tertian relationship displayed between sections are evident in the fourth movement of Sonata No. 1 and in the recapitulation of the first movement of Sonata No. 3. The exposition and development sections also unfold in a tertian relationship in the first movements of Sonata No. 1 (D major to F

major) and No. 2 (C minor to E minor). The relationship is also present between contrasting themes in the first movement of Sonata No. 2, which contains theme A in C minor and theme B in E-flat minor. Yet, such tertian relationships are not always present: for example, we can note a tonic-dominant relationship between contrasting themes in the first movements of Piano Sonata No. 1 and No. 3. The second movement of Sonata No. 1 is an exception to the discussion about tonality relationships; it appears tonally ambiguous with possible tonal centers of G major and E minor.

Borrowed Elements

In addition to the eighteenth-century stylistic ideas found in Shapero's *Three Amateur Sonatas* (such as conventional structural idioms and tertian relationships), certain pianistic techniques in the work also connect to the seventeenth and eighteenth centuries—including crossing hands and alternating between hands. These technical aspects connect Shapero's work to C. P. E. Bach and Scarlatti. Although the *Three Amateur Sonatas* contain more direct connections to and influence from Rococo and early Classical composers, the music contains several thematic and melodic elements drawn from other Classical masters. The third movement of Sonata No. 2 is one of the earliest evident examples among Shapero's works that contain inspiration and elements from Beethoven—specifically from the third movement of Beethoven's *Piano Sonata Op.31, No. 2*. The secondary A idea at measure 13 is presented by a series of repeating circular melody lines that alternate with the accompaniment in an ostinato-like figure that recalls Beethoven's Op.31, No. 2 with a similar melodic contour and arrangement.

Another melodic moment that is reminiscent of Beethoven occurs in the second movement of Shapero's Sonata No. 3 from his *Three Amateur Sonatas* (Example 2.27). The

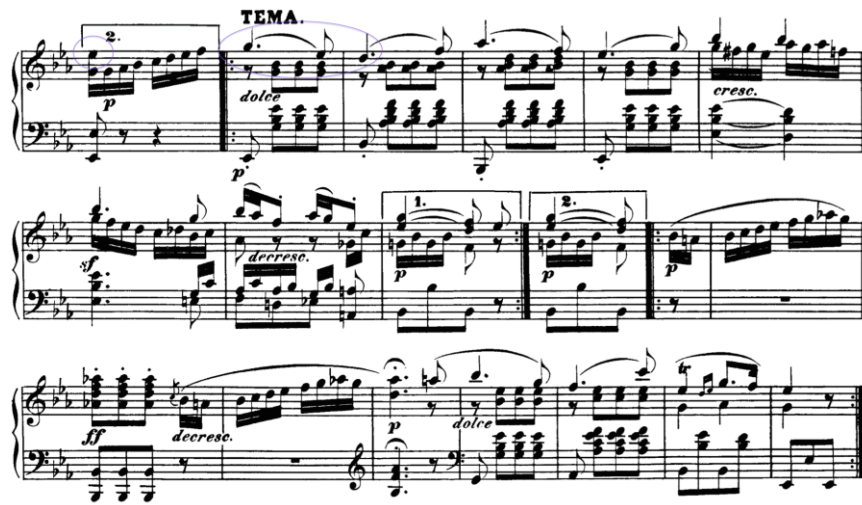
dotted cantabile melody in this movement is composed in 2/4 with an upbeat. When the music approaches the B section at measure 31, the melodic contour and rhythmic pattern resemble the contradance lyrical melody from Beethoven's *Eroica Variations for piano, Op.35* (Example 2.28).⁶³ Both melodies start with an eighth-note upbeat, but the tonal arrangement in Shapero's Piano Sonata No. 3 is a step lower than Beethoven's work in D-flat major. The contradance melody from Beethoven's *Eroica* divides into two sections, which matches the two-part B section in Shapero's Sonata No. 3. Both second sections (including the B section from Shapero's work and Beethoven's *Eroica*) conclude with the presentation of a series of sequential patterns with dotted rhythms. The difference separating the two works is that whereas Shapero's Piano Sonata No. 3 contains varied written-out repetition, Beethoven's *Eroica* contains repeat signs.

Noteworthy is that Beethoven employed the contradance, a progressive dance that symbolizes a more liberal society, in his *Eroica* symphony to resemble victory and freedom. Considering that Shapero composed his work in 1944, the impact and context of World War II may help explain why Shapero, a Jewish composer, alluded to the heroic qualities of Beethoven's *Eroica* in the second movement of Sonata No. 3.



Example 2.27: Shapero's *Three Amateur Sonatas*, Piano Sonata No. 3, Movement II, mm. 29- 39.

⁶³ The melody is found in Beethoven's *12 German Contradances WoO 14 No. 7*, *The Creatures of Prometheus Op.43*, *Variations for Piano Op.35* and the final of *Eroica* symphony.



Example 2.28: Contradance melody from Beethoven’s *Eroica Piano Variations*, Op.35, mm. 65-81.

Beethoven’s influence can also be identified in Shapero’s *Variations in C Minor* and the *Piano Sonata in F Minor*, which are both especially connected to Beethoven’s *Piano Sonata Op. 57* and to his *32 Variations in C minor*. Beyond Shapero’s pianos works, Beethoven’s influence can be observed in his *Symphony for Classical Orchestra* (1947), which contains several aspects that connect with Beethoven’s symphonies, such as similarities with *Symphony No. 5* in terms of instrumentation and musical gesture; similarities with *Symphony No. 4* in terms of their slow opening introductions; and similarities with the scherzo movement of *Symphony No. 9* in terms of thematic reference.⁶⁴ Some scholars, including Karon Joy Follingstad, Christopher Fulkerson, and Wilfrid Mellers, suggest that Beethoven’s works played a primary role in shaping the music Shapero composed from the 1940s through the 1950s.⁶⁵ More about Shapero’s *Piano Sonata in F Minor* will be mentioned in Chapter Three.

⁶⁴ Tobin, *Neoclassical Music in America*, 102-103.

⁶⁵ Follingstad, *The Three Sonatas of Shapero*, 27-28; Mellers, *Music in a New Found Land*, 221; Fulkerson, “Neo- Classicism, Quotation, and Paraphrase in The Piano Music of Harold Shapero.”

Besides the influence of Beethoven, Shapero's *Three Amateur Sonatas* also contain ideas inspired by nineteenth-century masters. The entire second movement of Sonata No. 3 contains features that are comparable to the second movement of Brahms's *Piano Sonata No. 3*. Structurally, both works are composed in ternary form and coincidentally created as the second movement of the third sonata. Melodically, Shapero's opening use of an upbeat, descending broken-chord progression in 2/4, with an emphasis on both vertical and horizontal thirds and sixths, recalls material from the opening of Brahms's third sonata as well; however, Shapero ironically turns Brahms's melancholy sound into an energetic character by placing accents on upbeats. Shapero's arrangement for the returning A section, which blends with the B idea near the end of the second movement of Sonata No. 3, is also parallel to ideas found in Brahms's work. Shapero does not modulate the music to D-flat major as Brahms does when returning to the B idea, but, like Brahms, Shapero recalls the opening theme within his conclusion at the end of the second movement. In addition, the inauthentic cadence (E and C-sharp) anticipates the opening of the third movement in the reversed position, but spelled enharmonically (D-flat and E). This compositional technique is reminiscent of Brahms's *Piano Sonata No. 3*, where we find that the final bass note of the second movement anticipates the entrance of the upper voice in the following movement. In addition, these two parallel incidences in Shapero's and Brahms's work contain the same intervallic sixth sonority on E and D-flat (Examples 2.29 and 2.30). Table 2.5 contains a chart comparing the second movement of Shapero's *Piano Sonata No. 3* from the *Three Amateur Sonatas* to the second movement of Brahms's *Piano Sonata No. 3*

Example 2.29: Shapero's *Three Amateur Sonatas*, Piano Sonata No. 3, Movement II, mm. 106-111, and the opening of Movement III, mm. 1-4. The end of the second movement enharmonically anticipates the opening of the third movement, including the third movement's opening intervallic sixth.

Example 2.30: Brahms's *Piano Sonata No. 3*, Movement II ending and Movement III opening. The bass note at the end of the second movement anticipates the opening upper voice in the third movement.

Brahms Piano Sonata No.3, Mvt II	Shapero Piano Sonata No.3, Mvt II
Common features	
<ul style="list-style-type: none"> • Second movements in ternary form in 2/4 • Started with descending arpeggio with upbeat • Vary the melodic idea in the returning section • Involve B idea at the returning A section • The intervallic relationship, regardless vertically or horizontally, are mainly focus on third and sixth 	
Differences	
<ul style="list-style-type: none"> • Andante expressive • Meter changed in different sections and changed more often within B section • More lyrical • The sections can be divided as steady-flow- steady • 4 flats (A b Major)→ 5 flats(D b Major) →4 flats (A b Major)→ 5 flats (D b Major) • Coda in Adagio 	<ul style="list-style-type: none"> • Presto lirico • Meter changed at the end of phrase • More energetic with ironic feature • The sections can be divided as flow-steady-flow • 4 sharps (c # minor)→ 5 flats(D b Major)→ 4 sharps (c # minor) • Consistent tempo without Coda

Table 2.5: Chart comparing the second movement of Shapero’s Piano Sonata No. 3 from the *Three Amateur Sonatas* with the second movement of Brahms’s *Piano Sonata No. 3*.

Later works by Shapero are reminiscent of Brahms in terms of sonority and melodic contour. For example, his Bagatelle No. 4 continues the scherzo material found in Brahms’s Sonata No. 3. In particular, we can note a similar melodic contour—descending motion followed by stepwise ascending motion in a canonic arrangement—present in measure 52 of Brahms’s scherzo and measures 63–65 and 108–110 in Shapero’s Bagatelle.

These similarities aside, Shapero’s Bagatelle No. 4 more broadly follows a model by Chopin. Bagatelle No. 4, which is subtitled “Waltz-Scherzo,” is composed in the same key as Chopin’s *Scherzo No. 3* and with similar elements. Shapero’s quotation of the main theme from Chopin’s *Scherzo No. 3* unfolds late in the piece, at measures 61–63 and measures 107–109 (Example 2.31). Before he introduces the quotation, Shapero varies this theme in a series of chromatic harmonic minor scales after a short introduction (mm. 4-9, Example 2.32). Similar to Shapero’s approach in the second movement of Piano Sonata No. 3 from the *Three Amateur*

Sonatas, here he presents the varied theme with a waltz or dance feature accompaniment, giving it a parodied quality.

61

Chopin Scherzo no. 3 theme

65

Example 2.31: Shapero's 24 Bagatelles, No. 4 Waltz-Scherzo, mm. 61-68. The melody from Chopin's Scherzo No. 3 is buried in Shapero's Bagatelle No. 4.

1

$\text{♩} = 160$ Tempo primo

f *ff* *mf*

6

Example 2.32: Shapero's 24 Bagatelles, No. 4 Waltz-Scherzo, mm. 1-10.

In *Musical Mind*, Shapero mentions that his primary inspiration for composing comes from thematic and structural materials, and that these materials are the resources he uses to communicate his creations to his listeners.⁶⁶ The second movement of Sonata No. 3, especially, can be understood as a representative example of what sorts of sources inspired him and what materials he borrowed. In addition, the political situation of 1944 may have caused him to use

⁶⁶ Shapero, *The Musical Mind*, 34.

contradance material to imply heroism in the second movement of Sonata No. 3, and may also explain why he parodied the tragic material borrowed from Brahms's Piano sonata No. 3 in the second movement of Sonata No. 3. As discussed, even as Shapero borrowed ideas and inspiration from historical masters, he still drew on his own creativities to vary the materials.

Motivic Variation and Development

In the *Sonata for Piano Four Hands*, Shapero builds up or extends cells from a motivic idea, whereas the thematic arrangement in the *Three Amateur Sonatas* falls closer to an eighteenth-century configuration with two contrasting periodic themes in short phrases. According to Follingstad, motivic variation and embellished motives are often displayed in Shapero's music.⁶⁷ Shapero especially uses this compositional technique with returning motivic or melodic ideas found in recapitulation sections, in ternary structures, or in rondo structures. For example, in the second movement of Piano Sonata No. 1, the voice is exchanged when the returning A material occurs at measure 32 (Example 2.34). The neighbor notes are provided to decorate the melodic idea, and a new sonority—a quartal chord—is introduced in measure 36 (Examples 2.33 and 2.34). As another example, in the third movement of Shapero's Piano Sonata No. 2, the expected return of the A or C material does not occur after the striking opening motive is presented; instead, the music surprisingly veers into the “wrong” notes in a different rhythmic pace. Shapero presents a developed B idea followed by a chromatic tonality that shifts from B minor, to A minor, to B-flat minor, before it finally returns to A material in C minor (m. 109) with rhythmic displacement.

⁶⁷ Follingstad, *The Three Sonatas of Shapero*, 42; 57-58.

Example 2.33: Shapero's *Three Amateur Sonatas*, Piano Sonata No. 2, Movement III, mm. 1-8.

Example 2.34: Shapero's *Three Amateur Sonatas*, Piano Sonata No. 2, Movement III, mm. 31-38.

These examples show how Shapero varies ideas, with or without embellishments, and uses surprising tonalities in returning material. He is especially prone to employing embellishments on weak beats. Such weak-beat embellishments and the use of tonal surprise can also be noted in Shapero's later works, including the *Piano Sonata in F Minor*.

Shapero recalls motivic ideas presented in the first two sonatas in the *Three Amateur Sonatas* in the collection's third and final sonata: Piano Sonata No. 3. The first movement of

Sonata No. 3 is a representative example that contains a delightful first thematic motive presented with a dotted rhythm (beginning in measure 7) that is followed by a galloping and driving idea in sixteenth notes (beginning in measure 14). The dotted pattern is similar to a motive Shapero presents in the first movement of Piano Sonata No. 1 (Example 2.35), while the galloping idea is derived from the fourth movement of Piano Sonata No. 1 (Example 2.36). The second theme of the first movement of Piano Sonata No. 3 comprises a lyrical, tenuto melody over a pedal point in E major, which is a similar arrangement to that found in the first movement of Piano Sonata No. 1. The second subtheme of the B theme is also comparable to the idea from the third movement of Piano Sonata No. 2 (Examples 2.37 and 2.38). As discussed, the general tonic-dominant relationship between thematic motives is presented in the exposition of the first movement from Piano Sonata No. 3. But the melodic contour, rhythmic patterns, and method of concluding the movement bear many similarities to Sonata No. 1 and No. 2.

The image displays two musical excerpts from Shapero's Piano Sonata No. 1. The top excerpt, measures 6-15, shows a melodic line in the right hand with a dotted rhythm and a galloping sixteenth-note pattern, highlighted by a red box and labeled "similar contour from Sonata no. 1 mvt I". The bottom excerpt, measures 14-23, shows a similar galloping sixteenth-note pattern in the bass line, circled in purple and labeled "piano sonata no.1 mvt IV".

Example 2.35: Shapero's *Three Amateur Sonatas*, Piano Sonata No. 3, Movement I, mm. 6-15.



Example 2.36: Shapero's *Three Amateur Sonatas*, Piano Sonata No. 1, Movement IV, mm. 6-15.



Example 2.37: Shapero's *Three Amateur Sonatas*, Piano Sonata No. 3, Movement I, mm. 28-35.



Example 2.38: Shapero's *Three Amateur Sonatas*, Piano Sonata No. 2, Movement III, mm. 1-9.

Motivic features connect the outer movements of each sonata within the *Three Amateur Sonatas*—especially the orchestral-like opening figures each has—but they also create unity within each sonata. The orchestral-like motivic idea is recalled and reused across the single work’s three pieces to unite them. For example, the end of the last movement of Sonata No. 3 recalls the opening motive. Here, Shapero alters the motive from its original vertical position into a horizontal configuration; disordered in this horizontal configuration, the motive appears angular and squared, with wide spacing (Example 2.39).

Shapero also extracts the orchestral-like motive and utilizes it in later works. For example, it appears in his *Variations in C Minor*, where he develops it into a series of variations (Example 2.40); however, unlike the positive, triumphant sense at the end of Sonata No. 3, the beginning of the *Variations in C Minor* displays a more intense, tragic character. This melodic idea seems to have become a representative thematic idea of Shapero’s, and—in addition to its appearance in his piano works—we can note its use in the opening of his *Symphony for Classical Orchestra*. It appears here with contrasting dynamic markings and characteristics that help transform it from the intensive and tragic figure present in the *Variations in C Minor* into a tender, lyrical, major mood motive in the *Symphony for Classical Orchestra*, where it serves an introductory function for the melodies that follow. Shapero employs a similar melodic idea in a later work—Bagatelle No. 4—where he pairs it with the use of wide spacing and a minor mood as he did in the *Variations in C Minor*. The opening passages of the *Variations in C Minor* and Bagatelle No. 4 both present the angular idea in a triplet figure with a descending ninth in the right hand, and move a step higher to the resolution; however, Bagatelle No. 4 moves to the resolution directly—instead of emphasizing the dissonant leading tone as in the *Variation in C Minor*—and moves the tonality a half-step higher than the *Variations in C Minor* (to C-sharp

minor). Shapero additionally uses the thematic idea in a chordal progression in Bagatelle No.19, where he compresses the harmony as an embellishment in the left hand (Example 2.41); however, the raised fourth and the missing third of the triad leave the tonality vague until the main theme enters at measure 8.

Allegro marcato ♩ = 126

The image displays two systems of musical notation. The first system, labeled 'Allegro marcato ♩ = 126', shows the opening of the piece in 2/4 time with a key signature of two sharps (D major). The second system shows measures 121-124, ending with a double bar line and the word 'attacca'. Dynamics include 'f', 'p grazioso', and 'ff'.

Example 2.39: Shapero's *Three Amateur Sonatas*, Piano Sonata No. 3, Movement I, mm. 1-2 (opening) and Movement IV, mm. 121-124 (ending).

Adagio (♩.48)

The image displays the first five measures of a piece in 2/4 time with a key signature of two flats (B-flat major). The tempo is 'Adagio' with a metronome marking of 48. The score features triplets and dynamics 'f' and 'sf'.

Example 2.40: Shapero's *Variations in C Minor*, mm. 1-5.



Example 2.41: Shapero's 24 Bagatelles, No.4 and No. 19, Openings.

The practice of developing extracted motivic fragment in various works can be observed and traced back to many masters. For example, Mozart uses the same motive, varied, in his *French Horn Concerto K.447* and *Piano Concerto K.482*. Schubert uses a similar melodic idea from his song cycles in his piano works, such as the fourth movement of his *Sonata No. 20 in A major D 959*, which also contains a melodic idea he uses in the second movement of *Sonata No. 4 in A minor D 537*—here in a different character. Beethoven offers perhaps the most famous example with his routine practice of burying a four-note fate motif in many of his works, such as *Symphony No. 5*; *Piano Concerto No. 4, Op. 58*; and *Piano Sonata Op. 57* (“*Appassionata*”). This compositional technique shows Shapero’s inspiration from and connection with masters from the past.

The Intervallic Connection

As Follingstad points out, another aspect connecting the sonatas within the *Three Amateur Sonatas* is Shapero’s use of intervals. The fourth interval (and its inversion) is presented in the main melodies in *Piano Sonata No. 1* (D major).⁶⁸ The fourth can also be divided into a third plus a step within *Sonata No. 2* (C minor) and *Sonata No. 3* (A major). The intervallic third also has an important role in the *Amateur Sonatas* and is also reflected in the tonal relationship

⁶⁸ The further discussion examples about the intervallic relationship in the *Three Amateur Sonatas*, see Follingstad, *The Three Sonatas of Harold Shapero*, 71-74.

between each sonata, as discussed earlier. The third relationship is also present as the main melodic idea in the second movement of Sonata No. 2 and the second movement of Sonata No. 3. The divided intervals, which are step motion and third, are also combined with the fourth interval as new intervallic combinations. The integrated intervallic ideas are further evidenced in the thematic ideas in each sonata, which show the fourth interval idea followed by a stepwise motion, or reversed (Table 2.6).

The intervallic fourth is also important throughout Shapero's *Sonata for Piano Four Hands*, where it is presented as the melodic idea in each movement and frequently as elements within quartal chords. In the first movement, the opening chordal progression is presented in rising fourths. This thematic motive reappears in the fast section. Here, Shapero extracts notes from the opening chord using a sparse texture that helps highlight the intervallic idea C–B ♭ –C–E ♭, which can be divided as an intervallic fourth with stepwise motion. Shapero starts the second movement with a C-sharp minor seventh chord, and a series of intervallic fourths is clearly presented in the right-hand part of the first piano. Moreover, the opening chord in the inner voices (left hand of the first piano and the right hand of the second piano) recalls the stepwise and third motion idea from the first movement in C ♯–B–G ♯. This idea is further transformed as the melodic idea in the returning B idea at measure 51, where is presented out of order as: B–C ♯–G ♯. Although the intervallic idea is transformed into a fifth in the ostinato bass during the opening of third movement, the intervallic fourth progression also appears, concealed horizontally, and is more clearly presented in melodic passages. If one sets aside the embellishments and instead focuses on the linear notes and the emphasis notes, one may recognize that the intervallic fourth and stepwise motion idea appear in the melody as well, as C–F–E ♭. The chart in Table 2.7 details intervallic activity in the *Sonata for Piano Four Hands*.

The *Piano Sonata in F Minor* also employs these intervallic connections, which will be discussed in Chapter Three.

Three Amateur Sonatas

No. 1 I → II disordered III IV
 P4 m2 P4 M2 P4 M2

No. 2 I 1. opening 2. repetition m.4 II III
 m2 d4 M2 P4 M2 m2 d4

No. 3 I II liner progression III inner voice IV liner progression
 M2 P4 tritone M2 m2 d4 P4 M2

Table 2.6: Shapero's *Three Amateur Sonatas*. Primary intervals: Intervallic fourth and stepwise motion.

Shapero: Piano Sonata for Four Hands

1. Opening 2. Fast section

I P4 M2 P4

II Inner voice P4 Bass d4 Outer voice M2 B P4 M2

III R.H. P4 M2 L.H. m2 P4 M2 P4

Table 2.7: Shapero's *Sonata for Piano Four Hands*. Primary intervallic ideas: perfect fourth and major second.

A Reference to the Twentieth Century: Jazz

Besides the inspiration Shapero took from his contemporaries and from past Western masters, his music also reflects the influence of jazz. Shapero's interest in jazz and his association with Copland surface in his piano sonatas and other works. First of all, we can note a free and flexible quality in Shapero's piano works that gives the music an improvisatory character. The *Sonata for Piano Four Hands* is one example that shows Shapero's sense of flexibility with time, including his indication of *espressivo, con licenza* at the B section (including in the returning B section) during the work's second movement (Example 2.42). A similar sense of flexible time is also presented in the slow section of the first movement. Here, this flexibility is not indicated by expression instructions, as in the second movement, but rather is captured in the atmosphere of the movement and left the interpretation to the performer.

The image shows a musical score for a piano four-hand piece. It consists of two systems of two staves each. The first system covers measures 50 to 54. The second system covers measures 55 to 57. The music is in a key with one sharp (F#) and a 4/4 time signature. It features complex rhythmic patterns, including triplets and sixteenth notes. Dynamic markings include *ff*, *pp*, and *mp*. Performance instructions include *espressivo, con licenza* and *molto cresc.*. Measure numbers 50, 55, and 56 are indicated.

Example 2.42: Shapero's *Sonata for Piano Four Hands*, Movement II, returning B section, mm. 52-57.

The use of an improvisatory character is certainly not new in Western music, but Shapero's music is notable for its use of wide intervallic leaps, weak-beat embellishments, and complicated rhythmic patterns. The creation of improvisatory characteristics through weak-beat embellishment and various rhythmic patterns can be noted in the second movement of Sonata No. 2 (Example 2.43); the third movement of Sonata No. 3 (mm. 1-4, mm. 35-39); and in such later works as the *Variations in C Minor* and the *Piano Sonata in F Minor*.

The image displays a musical score for the second movement of Sonata No. 2 by Shapero. It consists of four systems of piano accompaniment. The first system (measures 11-12) features a melody in the right hand and a bass line in the left hand, with dynamic markings *mf* and *poco pesante*. The second system (measures 13-14) includes a triplet in the right hand and a bass line, with a dynamic marking of *f*. The third system (measures 15-16) shows a melody in the right hand and a bass line, with dynamic markings *mp*, *espr.*, and *mf*. The fourth system (measures 17-18) features a melody in the right hand and a bass line, with dynamic markings *dolce*, *p*, and *f*. The score includes various rhythmic patterns, including triplets and sextuplets, and wide intervallic leaps.

Example 2.43: Shapero's *Three Amateur Sonatas*, Piano Sonata No. 2, Movement II, mm. 11-18. The music shows an improvisatory character with weak-beat embellishment and various rhythmic patterns.

As discussed earlier, quartal and quintal chords are often heard in addition to the extended tertian chords in the *Sonata for Piano Four Hands*. Nevertheless, Shapero's use of

quartal chords represents an additional element of a jazzy sonority, such as at the end of the second movement of Piano Sonata No. 1 (Example 2.44) and the end of the second movement of Piano Sonata No. 3. A sense of pitch bending, which is an effect commonly found in jazz and blues, is presented in the first movement of the *Piano Sonata in F Minor* (Example 2.45).



Example 2.44: Shapero's *Three Amateur Sonatas*, Piano Sonata No. 1, Movement II, mm. 43-51. Quartal chords and the fourth progression give the music a jazz flavor.



Example 2.45: Shapero's *Piano Sonata in F Minor*, Movement I, mm. 37-38. Quasi-pitch bending.

In addition to the jazz flavor we can note in Shapero's piano sonatas and other piano works, he also applies this sound in works not written for the piano, such as his Trumpet Sonata, which contains quartal, quintal, and minor-ninth harmonies with shifting meters and polyrhythms. Still, these elements do not dominate Shapero's piano music, but instead are blended as the color within his works.

As this chapter's discussion of the *Sonata for Piano Four Hands* and the *Three Amateur Sonatas* has shown, common influences are presented in his piano works and certain motivic and intervallic features connect each work. One could note that Shapero composed music with some compositional characteristics from Stravinsky and meanwhile used conventional formal structures in both compositions. Although the clear exposition section is missing in the *Sonata for Piano Four Hands*, the general structural arrangement and the sense of order reflect a Classical idiom. Elements of tonality ambiguity and cell-like thematic organization make Shapero's *Sonata for Piano Four Hands* more closely aligned with Stravinsky's pre-Neoclassical features. In contrast, Shapero's *Three Amateur Sonatas* more closely reflects Stravinsky's Neoclassical works not only by its use of conventional forms, but also in the way the three sonatas draw stylistic elements from other eras (such as from Brahms). Shapero's *Three Amateur Sonatas* includes the use of clear triadic chords and pianistic techniques that put the work closer to a Classical style than the *Sonata for Piano Four Hands*. In addition, the inspiration Shapero drew from Copland is also displayed in terms of the French sensibility present in *Sonata for Piano Four Hands*, and in the reference to jazz in the *Sonata for Piano Four Hands* and the *Three Amateur Sonatas*.

The use of elements borrowed from Beethoven in the *Three Amateur Sonatas* serves to confirm the impression that Beethoven served as an important inspiration for Shapero during the 1940s and 1950s. Beethoven's influence manifests in other works as well, including the *Piano Sonata in F Minor*, to be discussed below. Chapter Three also discusses the ways Shapero integrates features from the two works discussed in this chapter—the *Sonata for Piano Four Hands* and the *Three Amateur Sonatas*—in his *Piano Sonata in F Minor* to create a kaleidoscopic effect.

CHAPTER 3: STYLISTIC FEATURES IN HAROLD SHAPERO'S PIANO SONATA IN F MINOR

The *Piano Sonata in F Minor* is the last of Shapero's sonatas. Scholars including Karen Follingstad and Christopher Fulkerson have claimed that this work is strongly influenced by Beethoven; however, I contend that the *Piano Sonata in F Minor* also meaningfully integrates features from Shapero's earlier sonatas and anticipates stylistic features found in his later piano works, especially in terms of structure. This chapter explores these connections across two sections. First it considers stylistic continuities between the *Piano Sonata in F Minor* and two of Shapero's earlier works: the *Sonata for Piano Four Hands* and the *Three Amateur Sonatas*. Second, it considers evidence of stylistic maturation in *the Piano Sonata in F Minor* and ways that Shapero's final piano sonata foreshadows two of his later works: the *Partita in C* and the *24 Bagatelles*.

Stylistic Continuities: Connecting The Piano Sonata for Four Hands and The Three Amateur Sonatas with The Piano Sonata in F Minor

Several strands of continuity link Shapero's five piano sonatas. Some of these are strongly present in all five works. For example, they each structurally omit conventional repeat signs during their first movements as the music progresses toward their development sections, which is also often seen in other twentieth-century compositions. Another common feature is that each sonata's opening material is varied or embellished when it returns in its respective recapitulation section, which is also similar to the repetition patterns.

Other connections more closely tie the *Piano Sonata in F Minor* to either the *Sonata for Piano Four Hands* or the *Three Amateur Sonatas*. As discussed in Chapter Two, Stravinsky's

influence can be noted in Shapero's use of displaced accents, syncopation, and running sixteenth notes. Whereas the *Piano Sonata for Four Hands* contains these elements borrowed from Stravinsky's Russian period (and from Copland), Shapero's *Three Amateur Sonatas* takes its inspiration from Stravinsky's Neoclassical period, with references to the eighteenth century alongside such contemporary elements as quartal harmonies and the blues. The *Piano Sonata in F Minor* integrates ideas from both of these earlier piano sonatas by including stylistic features from both Stravinsky's Russian and Neoclassical periods.

From Sonata for Piano Four Hands

Circular Cell

Chapter Two included an exploration of juxtaposition in the *Piano Sonata for Four Hands* and the *Three Amateur Sonatas*—a feature that is also important in the *Piano Sonata in F Minor*. More specifically, the *Sonata in F Minor* makes continual use of the circular cell, which is a small group of limited notes that continually circulates around the starting note. The idea of the circular cell—which was discussed in Chapter Two in connection with the *Piano Sonata for Four Hands*—describes a process that begins in the melody and gradually extends outward. In the first movement of the *Piano Sonata in F Minor*, this circular device is frequently featured in the accompaniment along with weak-beat emphases or accents. This can be seen in Example 3.1, where Shapero presents the chordal progression in a circular figure around B-flat in measures 16-18, and features weak-beat emphases or accents through measure 19. The weak-beat or upbeat emphasis is not only illustrated in the accompaniment, but also appears in the melody. Besides the displaced emphasis, percussive effects found buried throughout the work (including during the transition to the recapitulation in the first movement, measures 108-110) are also

reminiscent of Stravinsky’s music from his Russian period, such as *Petrushka* (Example 3.2). Moreover, Stravinsky’s music often includes extended tertian chords that cause the harmonies to be displayed with the semitone, as shown in Example 3.2. A similar harmonic notation also appears in Shapero’s *Piano Sonata in F Minor*, which contains stepwise motion in extended triads (Example 3.1).



Example 3.1: Shapero’s *Piano Sonata in F Minor*, Movement I, mm. 16-19. Circular cell progression and weak-beat emphasis or accents.



Example 3.2: Stravinsky’s *Petrushka*, Russian Dance, mm. 1-8.

3+3+2 Pattern

As discussed in Chapter Two, the accompaniment found in the third movement of the *Piano Sonata for Four Hands* is punctuated by bass notes in 3+3+2 (or disordered) rhythmic groupings. Fulkerson mentions this subdivided grouping in his online forum, where he discusses

the 3+3+2 meter division in terms of its use as a thematic rhythmic idea within Shapero's *Piano Sonata in F Minor*.⁶⁹ This can be noted in the first movement of the *Piano Sonata in F Minor*, where dotted quarter notes combine with a quarter note in the movement's opening (Example 3.3). Further observations can be made beyond Fulkerson's discussion, and we can note that this syncopated rhythmic pattern is not only presented as the dominant idea throughout the first movement of the *Piano Sonata in F Minor*, but is also reintroduced within the secondary melodic material in a similar grouping in the rondo third movement (see color-coded annotations in Example 3.4). A similar rhythmic pattern and circular accompaniment figure found in the third movement of the *Piano Sonata in F Minor* simultaneously recall compositional features from the first movement and connect the entire work in a cyclic arrangement. A similar syncopated idea also recalls the second movement from Sonata No. 2 from the *Three Amateur Sonatas*, which is lyrical and has syncopated motion throughout (see Example 3.5).



Example 3.3: Shapero's *Piano Sonata in F Minor*, Movement I, mm. 1-4. 3+3+2 pattern.

⁶⁹ Fulkerson, "Neo-Classicism, Quotation, and Paraphrase in The Piano Music of Harold Shapero."

Example 3.4: Shapero's *Piano Sonata in F Minor*, Movement III, mm. 24-38.

Example 3.5: Shapero's *Three Amateur Sonatas*. Piano Sonata No. 2, Movement II, mm. 1-3.

From The Three Amateur Sonatas

Structure:

Shapero created his *Piano Sonata in F Minor* with a three-movement skeletal base, and, like the *Three Amateur Sonatas*, its structural arrangement recalls eighteenth-century practices. The first movement employs a sonata-allegro form that contains a clear exposition, including two contrasting motives, a transition, a development section, a recapitulation, and a coda. The key

relationship in the first movement also recalls eighteenth-century practice in general. As the first theme resides in F minor, Shapero sets the second theme in the relative major, which is A-flat major, even though it begins in A-flat minor. When the music approaches the recapitulation section, the returning themes are displayed in the original key of F minor. Shapero does not end the first movement in F minor, however; instead, he creates suspense by shifting the returning second theme between the remote key of F-sharp minor, the parallel major (F major), and F minor. He finally concludes the first movement with a Picardy third in F major. A slow movement appears in the middle before the final movement, which is in rondo form (as was common with many final movements in the eighteenth century). The chart in Table 3.1 shows the structural arrangement of the first movement from the *Piano Sonata in F Minor*.

Exposition	Development	Recapitulation	Coda
mm. 1-60	mm. 61-110	mm.111-177	mm. 178-192
1. Thematic idea A * mm. 1-14 *repetition: mm 15-28 * in f minor 2. Bridge: mm.29-31 * in E flat Major Thematic idea B * mm. 32-41 * repetition: mm 42- 60 * a flat minor- A major- A flat Major	1.Thematic idea A * mm. 61-85 * e minor- B Major- E Major 2. Thematic idea A+B(but gradually dominated by B idea) * mm.86-109 * d minor- c minor- chromatic progression- C Major	1. Thematic idea A * mm. 111-145 * in f minor 2. Bridge: mm 146-148 3. Thematic idea B * mm 149- 177 * f minor- F sharp Major- F Major- f minor	f minor – F Major

Table 3.1: Structural chart of Shapero’s *Piano Sonata in F Minor*, Movement I, Sonata-allegro form.

Mirroring the inner movements in the *Three Amateur Sonatas* and many inner movements in the eighteenth century, the structural construction of the tranquillo second movement of the *Piano Sonata in F Minor* is set in a slow tempo (the conventional construction to the sequence of movements are often arranged in fast-slow-fast). Yet, the formal structure

stands apart from the slow middle movements of Shapero's *Three Amateur Sonatas* because it has a variation form instead of three-part ternary form (Table 3.2).

Arioso	Variation 1	Variation 2	Variation 3	Variation 4	Variation 5	Variation 6	Arioso
mm. 1-32	mm. 32-64	mm. 65-96	mm. 96-129	mm. 129-174	mm. 174-207	mm.207-248	mm.248-280
D flat(- A flat- D flat)	D flat Major	D flat Major	D flat Major * Adagio Molto at the end	E Major	D flat Major	b flat minor	D flat Major

Table 3.2: Shapero's *Piano Sonata in F Minor*, Movement II. Variation form. Structure chart.

Like the eighteenth-century practice that Shapero uses in the last movements of the *Three Amateur Sonatas*, the last movement of the *Piano Sonata in F Minor* is generated in rondo form as well. (The same formal structure is used in the third movement of *Sonata for Piano Four Hands*.) The music does follow the conventional rondo arrangements in terms of recurring motivic elements, but does not always return to the A material (ABACADA) as in the earlier two sonatas; instead, the third movement is presented in a circular way, mapped out as:

ABCABCBCB. Table 3.3 shows the structure of the quasi-rondo third movement. The A idea comprises a horizontal whirlwind of chromatic sixteenth notes and the B idea contains a widely-spaced syncopated melody over a vertical chord progression. The C idea represents a combination of the A and B ideas. These melodic ideas and their sequencing do not remain static: Shapero uses a liquidation technique characterized by the gradual dropping out of motivic ideas (beginning with the omission of the A at the third repetition of the ABC pattern) until only B remains at the end.⁷⁰ Even as Shapero gradually drops motivic ideas, he extends the last C idea

⁷⁰ A liquidation technique allows one to take a whole or fragmented idea from an earlier passage and compresses it gradually into a segmented pattern. Here, the liquidation is used to gradually reduce the thematic idea in rondo form.

and blends it with the B idea. The B idea returns at the end of the movement where it displays a series of F-minor chords and its inversions. This approach also connects back to the movement's opening: if we were to vertically stack the sixteenth notes from the opening melody, the results would be quite similar to the series of F-minor chords found at the movement's conclusion (see Example 3.6).

A	B	C	A	B
mm.1- 25	mm. 24-83	mm. 84-139	mm. 140-149	mm. 150-187
f minor	f minor- E flat Major- chromatic dissonance	c minor * the motivic idea is directed from A and B	b flat minor- F Major	F Major - e flat minor- c sharp minor- E major

C	B	C	B
mm. 188-223	mm. 224-277	mm. 278-349	mm. 350-379
e minor/ Major- c minor- G flat Major- c minor/ Major	C Major- f minor- D flat Major- c minor/ Major	f minor *extended passage * blend B material	c minor/ Major- f minor * recall opening A at the end

Table 3.3: Shapero's *Piano Sonata in F Minor*, Movement III. Quasi-rondo form. Structure chart.

The image displays two musical excerpts from Shapero's *Piano Sonata in F Minor*, Movement III. The top excerpt, labeled 'Allegro assai (♩:144-152)', shows the arpeggio opening (mm. 1-2) in horizontal presentation. A red box highlights the first few notes of the melody, and the instruction 'legato sempre' is written above. The bottom excerpt shows the chordal ending (mm. 379-382) in vertical presentation, with the instruction 'marc. la melodia' written above.

Example 3.6: Shapero's *Piano Sonata in F Minor*, Movement III arpeggio opening (mm.1-2) in horizontal presentation v.s chordal ending (mm. 379-382) with a vertical presentation.

References to Beethoven

As discussed in Chapter Two, Shapero's earlier music, especially the *Three Amateur Sonatas*, employs compositional idioms and specific motivic references that connect to eighteenth-century composers. Beethoven's influence is found in Shapero's Piano Sonata No. 3 from the *Three Amateur Sonatas* as well as in the *Piano Sonata in F Minor* in terms of these works' approaches to structure and utilization of phrase fragments from Beethoven's work. In this way, Beethoven's influence on the *Piano Sonata in F Minor* can be seen as a source of continuity between the *Piano Sonata in F Minor* and the *Three Amateur Sonatas*.

The *Piano Sonata in F Minor* is particularly comparable to Beethoven's *Piano Sonata Op. 57* ("Appassionata").⁷¹ The two works are similarly constructed in the way that they each contain sonata-allegro form first movements, variation form second movements, and rondo form final movements. The third movement of *Appassionata* falls closer to sonata rondo form while the third movement of the *Piano Sonata in F Minor* is in quasi-rondo form; however, both pieces' second movements end with direct transitions to their third movements, facilitated by the absence of clear double bar lines. As Fulkerson points out, the tonal arrangement of Shapero's *Piano Sonata in F Minor* is the same as that found in Beethoven's *Appassionata*, where F minor serves as the tonal center for the outer movements with a shift to the submediant D-flat major in the second movement.⁷² Harmonic development in Shapero's *Piano Sonata in F Minor* also reflects the *Appassionata*. In both works, the second thematic ideas and later passages are related to A-flat major and A-flat minor. Yet, Shapero starts the second thematic idea in A-flat minor

⁷¹ Further discussion and thoughts on the connection between Beethoven's Op. 57 and Shapero's Piano Sonata in F Minor can be found in Fulkerson's forum "Neo-Classicism, Quotation, and Paraphrase in The Piano Music of Harold Shapero."

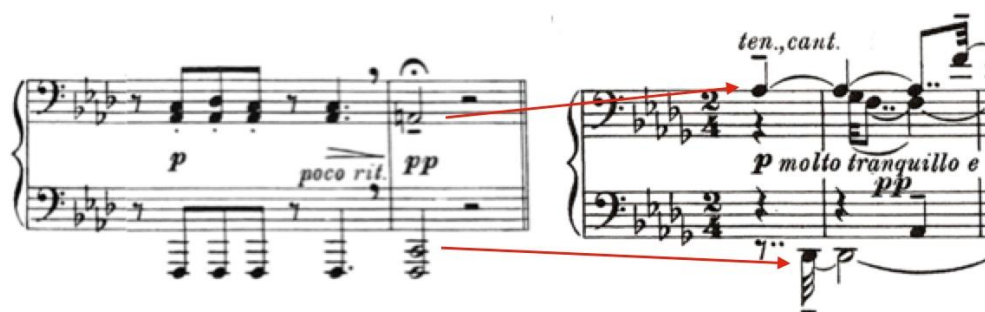
⁷² Fulkerson. "Neo- Classicism, Quotation, and Paraphrase in The Piano Music of Harold Shapero."

and later modulates to A-flat major. This is the reverse of Beethoven's strategy of using A-flat major in the second thematic idea and turning to A-flat minor in the later passage. Additionally, both works contains a modulation to the remote key of E minor during the development sections of their first movements.

One can also note how Shapero modifies approaches from Beethoven's work. The Neapolitan sixth (N^6) chord has a prominent role in Beethoven's *Appassionata*, first appearing during the opening movement during a restatement of the initial thematic idea. In Shapero's *Piano Sonata in F Minor*, however, the thematic idea is not restated in N^6 ; instead, Shapero employs the N^6 in the second phrase of the theme itself. Shapero keeps the repeated thematic idea in F minor, using stepwise motion that is similar to the stepwise motion found in melodic material from Beethoven's *Appassionata* (C-D \flat). For example, descending stepwise motion is presented in a repeated theme found at measure 15 of the exposition section from the first movement of the *Piano Sonata in F Minor*, where the E-natural lowers to an E-flat in a major mood in the right hand (see Example 3.7). Unlike Beethoven's *Appassionata*, the first movement of the *Piano Sonata in F Minor* concludes with a major mood Picardy third, which is treated as a preparation to connect with the second movement through descending semitone motion in the right hand and an ascending semitone in the left hand (see Example 3.8). The stepwise motion eventually turns into a chromatic pattern that expresses a whirling motion in the third movement. In this way, stepwise or semitone motion has an important role both within and between the movements of Shapero's *Piano Sonata in F Minor* as well as Beethoven's *Appassionata*.



Example 3.7: Shapero's *Piano Sonata in F Minor*, Movement I. Stepwise motion. Opening (m.1) v.s repetition (m.15)



Example 3.8: Shapero's *Piano Sonata in F Minor*, Movement I ending (mm.191-192) v.s Movement II opening (m. 1).

In addition to these connections, fragmented passages also link Beethoven's *Appassionata* with Shapero's *Piano Sonata in F Minor*. Example 3.9 (*Piano Sonata in F Minor*) and Example 3.10 (*Appassionata*) show how both works are arranged with a similar tremolo ending. In the *Piano Sonata in F Minor*, a tremolo passage in the first movement is presented at the end of the exposition at m. 57 and again at m. 176, beginning before the extended coda and continuing until the end. Similarly, a stormy and whirling progression—paired with an ascending tetrachord—is presented in the A section of the third movement of Shapero's *Piano Sonata in F Minor*, which is similar to the passage in mm. 122-125 from the third movement of Beethoven's *Appassionata*. This can be seen in Example 3.11 (*Piano Sonata in F Minor*) and Example 3.12 (*Appassionata*), where the ascending tetrachords appear framed with red boxes. In addition,

Shapero may have been partly inspired by Beethoven's use of F-minor chords to create dramatic tension in the first movement of his *Appassionata*. One can note traces of Beethoven's idea in the B material in Shapero's sonata, and in the way he creates dramatic momentum at the end of the last movement with similar rhythm, but different dynamic contrast, articulation, registration, and harmony (see Example 3.13).

The musical score for Example 3.9 shows two systems of music. The first system consists of two staves (treble and bass clef) with a key signature of two flats (F minor) and a 3/4 time signature. The music is characterized by dense, rapid sixteenth-note patterns. Dynamics include *f*, *ff*, *f*, and *mp*. A bracket with the number '8' spans the first two measures of the first system. The second system continues the texture, with dynamics *dim.*, *p*, *poco rit.*, and *pp*. The piece concludes with a tremolo effect in the right hand.

Example 3.9: Shapero's *Piano Sonata in F Minor*, Movement I, mm. 188-192. Ending with tremolo effect.

The musical score for Example 3.10 shows two systems of music. The first system consists of two staves (treble and bass clef) with a key signature of two flats (F minor) and a 3/4 time signature. The music is characterized by dense, rapid sixteenth-note patterns. Dynamics include *dim.*, *pp*, and *pp*. The second system continues the texture, with dynamics *mp*, *pp*, and *ppp*. The piece concludes with a tremolo effect in the right hand.

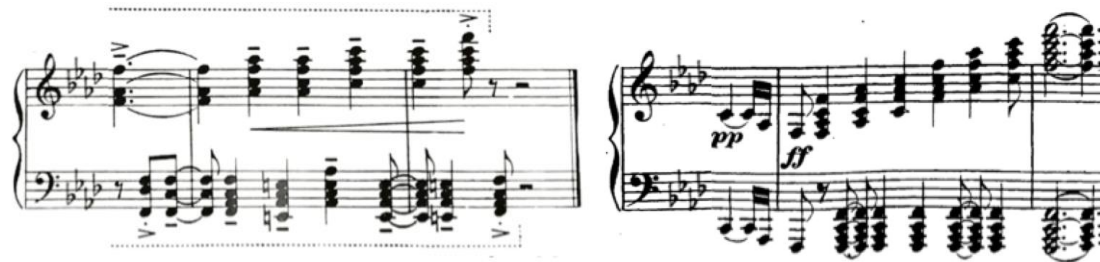
Example 3.10: Beethoven's *Appassionata* Op. 57, Movement I, mm. 258-262. Ending with tremolo effect.



Example 3.11: Shapero's Piano Sonata in F Minor, Movement III, mm. 9-11.



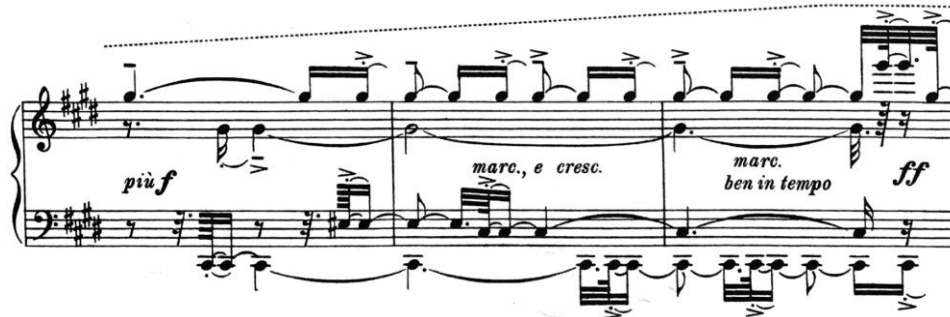
Example 3.12: Beethoven's *Appassionata* Op. 57, Movement III, mm. 118-129.



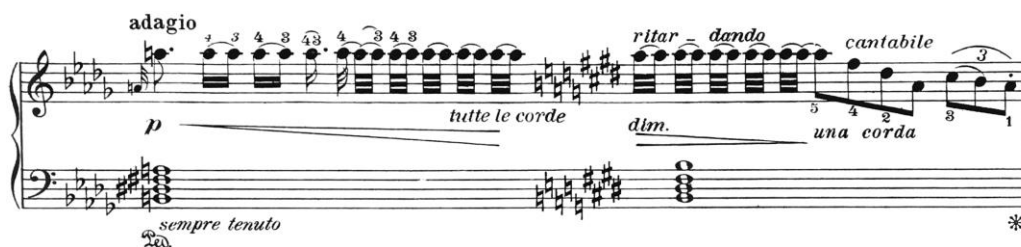
Example 3.13: F-minor chords in Shapero's *Piano Sonata in F Minor*, Movement III, Ending, mm. 381-382 and Beethoven's *Appassionata* Op. 57 Movement I, mm. 17-18.

Shapero's work also recalls features from Beethoven's late piano works—especially in the second movement of the *Piano Sonata in F Minor*. The second movement (a variation form marked “Arioso”) presents the same sublime character as the second movement from

Beethoven's Op. 111 (marked "Arietta"), and both movements begin with an upbeat. The contrasting and syncopated arpeggio progression found in the third variation of Shapero's work is also similar to Beethoven's texture in the third variation of his Op. 111. The second movement of the *Piano Sonata in F Minor* contains a *Bebung* effect, a technique that originated with the clavichord and that is achieved by repeatedly placing additional pressure on a note after it has already been depressed to extend the vibration. Shapero indicates a *Bebung* effect from mm. 171-174 in the second movement, which recalls the same effect found in the recitative section and second Arioso of Beethoven's *Piano Sonata Op. 110* (see Example 3.14, *Piano Sonata in F Minor*; and Example 3.15, *Piano Sonata Op. 110*). As an additional connection between the two works, both contain a return to their opening thematic idea at the end of their respective second movements. Yet, unlike the *Appassionata*, the returning theme in the *Piano Sonata in F Minor* is presented in the same register with less expression. This feature connects the *Piano Sonata in F Minor* more closely to another of Beethoven's piano sonatas: his Op. 109. Examples 3.16 and 3.17 show another similarity between Shapero's *Piano Sonata in F Minor* and Beethoven's Op. 109. Measures 170-173 from the third movement of Shapero's work (Example 3.16) resemble the syncopated motion, and alternation between the hands that are evident in the second variation of Beethoven's Op. 109, third movement (Example 3.17).



Example 3.14: *Bebung* effect in Shapero's *Piano Sonata in F Minor*, Movement II, mm. 171-173.



Example 3.15: *Bebung* effect in Beethoven's *Piano Sonata Op. 110*, Movement III, m. 5.



Example 3.16: Shapero's *Piano Sonata in F Minor*, Movement III, mm. 170-173.



Example 3.17: Beethoven's *Piano Sonata Op. 109*, Movement III, Variation II, mm. 61-64.

This discussion has shown Beethoven's influence on Shapero's *Piano Sonata in F Minor* (especially Beethoven's *Piano Sonata Op. 57* and other late piano works), and has argued that this represents a continuity between Shapero's *Piano Sonata in F Minor* and his earlier *Three*

Amateur Sonatas. Beethoven's inspirational force in Shapero's works is evident; however, at the same time, rather than borrowing main thematic ideas from Beethoven, Shapero borrowed only secondary ideas. These secondary ideas from Beethoven's works—while important to Shapero's compositions—do not become the central or most important material of the *Piano Sonata in F Minor*; instead, the main thematic and rhythmic ideas found in the work are original to Shapero.

From The Piano Sonata for Four Hands and The Three Amateur Sonatas: Intervallic Connections

As Chapter Two discussed, two intervallic features connect the *Three Amateur Sonatas* and the *Piano Sonata for Four Hands*: the intervallic fourth and the combination of subdivided intervals. Both of these musical features also carry over into Shapero's *Piano Sonata in F Minor*. In the first movement of the *Piano Sonata in F Minor*, the melodic idea is presented as A \flat -E-C-B \flat , which represents the integration of the intervallic fourth, third, and second from the earlier sonatas; however, A \flat -E is more precisely labeled as a diminish fourth. This idea is not new; instead, it represents an altered fourth, which Shapero used previously in the first movement of Piano Sonata No. 2 and in the third movement of Piano Sonata No. 3 from the *Three Amateur Sonatas* (see Table 2.6 in Chapter Two). Besides the intervallic connection shown in the opening passage of the *Piano Sonata in F Minor*, the perfect fourth and the use of stepwise motion are both clearly emphasized in the bridge section (E \flat -E \flat -F-B \flat) before the second thematic idea enters, where we see greater emphasis on the raised fourth rather than on intervallic distance.

The intervallic fourth and use of stepwise motion also appear in the bass part of the *Piano Sonata in F Minor*. In the first movement, the opening bass includes an ascending fourth and a descending second (A \flat -D \flat -C), which is disordered and reversed in the bass part of second and

third movements. Superficially, the third movement frequently features intervallic thirds and chromatic motion; however, the greatest emphasis is placed on the progression F-B \flat -A \flat , which contains an ascending fourth and descending stepwise intervals (connecting the third movement with other movements). Although the tetrachord motion recalls an approach found in Beethoven's *Appassionata*, the E-G-A \flat -B \flat progression also carries forward and responds to the intervallic tritone idea presented in the opening of the second movement of Piano Sonata No. 3 from the *Three Amateur Sonatas*. These intervallic ideas, including the primary idea and its subdivisions, are presented in Table 3.4.

Piano Sonata in F

I R.H. L.H.

II

III

L.H. Opening mm. 9-10

Table 3.4: Shapero's *Piano Sonata in F Minor*. Primary intervallic ideas: Perfect fourth and its subdivision ideas (stepwise motions and thirds).

As this discussion has shown, there are certain intervallic ideas that connect all five of Shapero's piano sonatas. Within this, the fourth and second intervals are used with particular

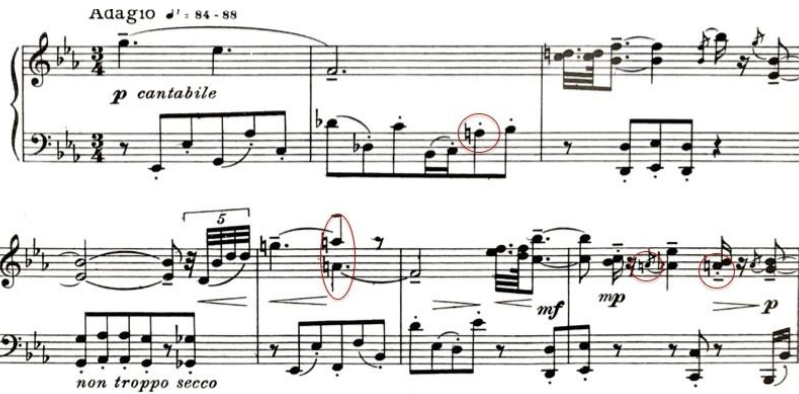
importance in each sonata's opening. Subdivisions of this idea, such as the second interval, are especially prominent in the *Piano Sonata in F Minor*, where they serve to connect movements as chromatic ingredients. Moreover, one could argue that Shapero treats the fourth as his most favored interval. Besides serving as an intervallic connection between each sonata, the raised fourth has a prominent role in his piano sonatas and most of his other works (see Examples 3.18-3.23). This feature not only gives the music a modal flavor, but also serves as a recurring way Shapero creates musical tension.



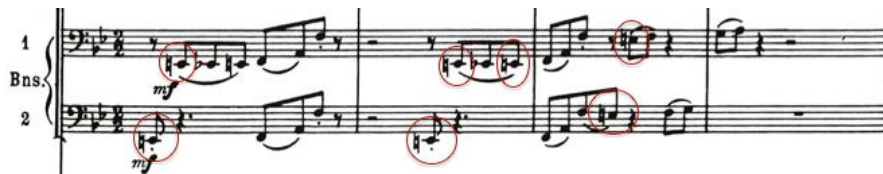
Example 3.18: Raised fourth in Shapero's *Sonata for Piano Four Hands*, Movement III, mm. 1-4.



Example 3.19: Raised fourth in Shapero's *Piano Sonata No.1* from the *Three Amateur Sonatas*, Movement I, mm.1-3.



Example 3.20: Raised fourth in Shapero's Piano Sonata No. 2 from the *Three Amateur Sonatas*, Movement II, mm. 1-7.



Example 3.21: Raised fourth in Shapero's *Symphony for Classical Orchestra*, Movement I, Allegro section, Bassoon, mm. 7-10.



Example 3.22: Raised fourth in Shapero's *Partita in C*, Movement I (Sinfonia), Piano, mm. 1-2.

Example 3.23: Raised fourth in Shapero’s 24 Bagatelles, Prelude, mm. 1-8.

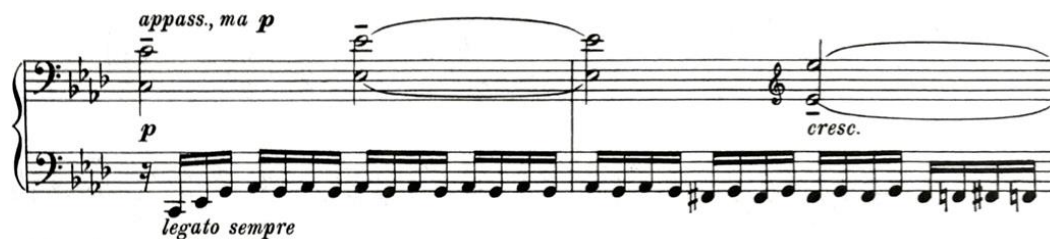
New Directions in Shapero’s Piano Sonata in F Minor

In addition to the many features in Shapero’s *Piano Sonata in F Minor* that can be traced back to his earlier sonatas (including his reliance on Beethoven as a major influence), we can also note new directions in the *Piano Sonata in F Minor* that manifest in Shapero’s later piano works. Two new directions can be seen in the *Piano Sonata in F Minor*: 1) large-scale cyclic construction; and 2) technical virtuosity. These two features are notably present in his later works, including the *Partita in C* and the *24 Bagatelles*. The first two subsections in the second half of this chapter contextualize these new directions within Shapero’s two earlier piano sonatas, while the third and final subsection discusses how these features manifest in the *Partita in C* and the *24 Bagatelles*, which were Shapero’s final works for piano. In addition, the final subsection discusses Shapero’s structural and stylistic approach in his final two piano works, including the presence of Baroque elements (especially features of J. S. Bach) and what I call the “kaleidoscopic effect.”

Large-Scale Construction

The *Piano Sonata in F Minor* is Shapero's final sonata, and displays his mature compositional style. This includes his sense of large-scale construction, which appears fully developed in this sonata and which carried through to his later works. Several features contribute to the sense of large-scale construction in the work that go beyond Shapero's two earlier piano sonatas. As one example, the *Piano Sonata in F Minor*'s construction employs unusual strategies not found in the *Sonata for Piano Four Hands* and the *Three Amateur Sonatas*. The *Piano Sonata in F Minor* contains fermatas over the final chords in the first two movements that signal a temporary pause in the music and a preparation for the movements that follow (somewhat suggesting the traditional break between movements); however, Shapero composes without using traditional double bars to separate the movements. This results in movements that are connected to each other as a unit without break (Shapero employs double bars between movements in the first two sonatas). Another feature that unites this work in terms of large-scale construction is the way the bridge material (mm. 29-31) in the first movement comes back in the C idea (mm. 84-89) of the third movement in the way that both employ half-note melodies over a legato and chromatic bass line (see Example 3.26). The reintroduction of the bridge material in the third movement does not represent a verbatim return; instead, Shapero develops it by maintaining a similar melodic contour while changing the music from a ringing bell character (see Example 3.24) into a whispering mysterious character (see Example 3.25).

Example 3.24: Shapero's *Piano Sonata in F Minor*, Movement I, Bridge, mm. 29-30.



Example 3.25: Shapero's *Piano Sonata in F Minor*, Movement III, C idea, mm 84-85.

As a third example, the similar melodic and harmonic contours found in the first movement of the *Piano Sonata in F Minor* are recalled in the third-movement B sections, with both bearing the similar syncopated rhythmic pattern in their melody lines and similar harmonic progressions in the accompaniment.

In addition to similar materials and techniques that are used across the movements of the *Piano Sonata in F Minor*, the length of the work also contributes to its significance as a large-scale composition. For example, the work contains several returning thematic ideas in the recapitulation of the first movement (such as that shown in Example 3.26) that are varied through expansion and development, or that are set against different types of accompaniment. This makes the scale of the recapitulation larger and more extended than those found in the *Sonata for Piano For Hands* and the *Three Amateur Sonatas*. The second movement of the *Piano Sonata in F Minor* is created as a bridge that connects the outer movements. In addition to being the longest movement among Shapero's sonatas, the second movement of his *Piano Sonata in F Minor* is also his only movement in variation form.



Example 3.26: Shapero's *Piano Sonata in F Minor*, Movement I, Recapitulation, mm. 127-129.

The *Piano Sonata in F Minor* represents Shapero's first large-scale piano sonata in terms of its length and its cross-movement unity created by cyclic compositional approaches. One way to understand the work is in terms of its compositional evolution from the *Three Amateur Sonatas*. Shapero offered the following statement in 1946, two years after he composed the *Three Amateur Sonatas* and four years before his *Piano Sonata in F Minor*:

by investigating the possibilities of phrase construction and discovering for himself what can be done within a small formal frame the composer not only disciplines his creative unconscious so that the melodic fragments which it offers up possess increased sharpness of contour, but develops at the same time the architectural faculty which will enable him to calculate correctly the time-spaces involved in the manipulation of larger musical forms.⁷³

From this statement, we can hypothesize that Shapero's idea about manipulating larger musical forms may have started with his explorations into creating within a small formal frame—a process that may shed light on connections between the individual works that make up his *Three Amateur Sonatas*. Within the *Three Amateur Sonatas*, the sonatinas relate to each other by their shared similar orchestral angular openings (as discussed in Chapter Two). Additionally, Piano Sonata No. 3 contains thematic ideas and fragments that connect with the earlier two small-scale sonatinas in the collection. Thus, one can treat the *Three Amateur Sonatas* as Shapero's

⁷³ Shapero. "The Musical Mind," 32-33.

springboard into large-scale writing that he began with the *Piano Sonata in F Minor*, and continued with his later works.

Technical Virtuosity

Technical demands gradually increase across Shapero's piano sonatas leading up to his *Piano Sonata in F Minor*, which requires the most virtuosity among Shapero's piano sonatas. As will be discussed, some of these technical requirements directly carry over into Shapero's subsequent works. The *Piano Sonata in F Minor* is particularly demanding in terms of rhythm. Its retention of hand crossings and alternation between hands is familiar from his earlier sonatas—particularly his *Three Amateur Sonatas*; however, other features make the *Piano Sonata in F Minor* particularly challenging. Whereas his earlier works contain subdivided rhythms beyond 32nd divisions, these rhythms are more frequently present throughout the *Piano Sonata in F Minor*. Throughout the work, one can note Shapero's use of a variety of triplet rhythms with various articulations. Fast tempo markings, wide intervals, and widely-varying rhythmic patterns in the first movement of the *Piano Sonata in F Minor* in particular make performing the piece more challenging than the other two sonatas. Example 3.27 includes a passage from the first movement, where Shapero's use of a series of tied syncopations in different phases creates moments when the outer and inner voices move in contrasting rhythmic directions. This feature can be found throughout this sonata.



Example 3.27: Shapero's *Piano Sonata in F Minor*, Movement I, mm 170-171. Technical virtuosity: the combination of tied syncopation, different articulations in the inner voice, wide range compass, and different dynamic changes.

Another example of virtuosic demands in Shapero's *Piano Sonata in F Minor* beyond those found in his earlier works is its wide use of the keyboard's compass. This is especially notable at the end of the third movement, which progresses through rich chordal sounds that gain in momentum as they reach to the opposite ends of the keyboard as the work nears its climax. Large intervallic distances also mark the melodic lines in this sonata, which include wide leaps and jumps. Frequent articulation shifts challenge the performing pianist to present different nuances, color changes, and acoustic effects. Moments of such articulation shifts include the end of the development section, the end of the first movement, the second variation in the second movement, and the end of the B idea in the third movement.

New Directions and their Manifestation in Later Works

Select features in Shapero's *Piano Sonata in F Minor* also anticipate his later piano works. In particular, Shapero's conception of structure and stylistic character carry forward from the *Piano Sonata in F Minor* into subsequent compositions. The following discussion focuses on connections between *Piano Sonata in F Minor* and two later piano works, *Partita in C*, and *24 Bagatelles*, including a discussion of cyclic structure, Baroque references, and the kaleidoscopic effect.

Formal Cyclic Structure

After writing his *Piano Sonata in F Minor*, Shapero went on to apply his ideas of large-scale structure and cyclic arrangement to his *Partita in C* (1960) and the *24 Bagatelles* for solo piano (unfinished). Shapero wrote his *Partita in C* as a concerto for Lipkin; however, the work was created as a large-scale composition containing eight sections or eight movements with several features functioning to create continuity across the work. As its title indicates, the entire composition is in the key of C. Within this, the work is saturated with the use of mode mixture, moving the composition between major and minor modes. C or G pitches suspended with fermata signs over them appear at the opening and/or at the end of every section—a partial continuation from the *Piano Sonata in F Minor* and its use of fermatas at the ends of movements. Throughout the work, we can note a combination of tonal writing and applications of twelve-tone writing. What is noteworthy here is that the outer movements of the *Partita in C* use P₀ (C) while the inner movements use P₇ (G), creating a sense of a functional tonic-dominant relationship between the movements (see Appendix B for the matrix of *Partita in C*). This also makes the progression feel like a series of continuations from the previous movement with or without *attacca* indications in the piece. In addition, this compositional technique is reminiscent of Schoenberg's twelve-tone works, such as the conventional relationship (P₀ and I₆) found in his *Fourth String Quartet Op. 37*.

One important feature that contributes to the work's cyclic structure is the continual return of thematic material. Unlike the typical concerto structure, Shapero treats the first movement as an overture and saves the cadenza passage for the Ciaccona, which is the second movement of eight. In addition, Shapero creates another independent Cadenza movement (seventh movement) before the final tutti (eighth movement). Within this movement, the opening

overture theme from the first movement returns at the beginning of the cadenza movement, while the thematic idea for the rest of the cadenza is extended based on this original, opening theme. Moreover, the trio quality introduction and the triplet rhythmic feature in Pastorale movement (third movement) are similarly displayed in the Aria movement (fifth movement). Similar rhythmic features between movements also contribute to the sense of unity across the work. Please see Appendix C for a diagram describing the *Partita in C*.

Shapero's final piano work, *24 Bagatelles*, also has an overarching large-scale design that stitches the entire collection together. *24 Bagatelles* is a collection of twenty-six pieces, including twenty-four works that are bookended by a prelude and postlude. One way Shapero creates a large-scale construction across the collection is by bringing back thematic and rhythmic features from earlier bagatelles into bagatelles that fall later in the collection, including the use of angular openings, a march-like character, and various rhythmic ideas. As a few examples, the dotted rhythm that appears frequently in Bagatelle No. 1 returns in No. 22; the ostinato idea that appears in No. 6 resurfaces in No. 11; and similar angular openings are demonstrated in No. 4 and No. 19 (an approach that was also discussed in Chapter Two in connection with Motivic Variation and Development). Examples 3.28 and 3.29 show a final example of connections between the Bagatelles that create a large-scale feel. Here, the march character, the glissando quality septuplet, and the ascending glissando found in Bagatelle No. 1 (Example 3.28) parallel features found in Bagatelle No. 24 (Example 3.29).



Example 3.28: Shapero's 24 Bagatelles no. 1, mm. 1-3



Example 3.29: Shapero's 24 Bagatelles no. 24, mm. 11-14.

Stylistic Features and Virtuosity: Baroque Elements and the Kaleidoscopic Effect

Two main categories of stylistic features found in Shapero's *Piano Sonata in F Minor* carry through to his later piano works, including his incorporation of Baroque elements and his creation of a kaleidoscopic effect. This chapter has discussed several examples of connections between Beethoven's work and Shapero's *Piano Sonata in F Minor*; however, what is noteworthy is that some of the influences from Beethoven's late piano works that resurface in Shapero's compositions tie back in profound ways to the form and style of J. S. Bach. Shapero's *Piano Sonata in F Minor* additionally draws on features from the Baroque era independent of Beethoven. The combination of these two streams—including Shapero's incorporation of Baroque influences through Beethoven and independent of him—unfolds in the second movement of the *Piano Sonata in F Minor*. Stylistic links to the Baroque era can be found in the way Shapero uses ornaments to decorate simple melodic ideas. In addition, passages including the dotted sixteenth-note rhythmic patterns are displayed in the opening of the second movement

of the *Piano Sonata in F Minor*. Similarly, written-out cadential trills and turns appear often throughout the second movement. Example 3.30 contains written-out embellishments indicated by color-coded annotations. The double-dotted rhythms (shown in Example 3.31) point to the French Baroque style. In addition, the broken arpeggio written with a flexible character gives a sense of *style brisé* (shown in Example 3.32).⁷⁴ The similar French Baroque style and written-out ornaments in the second movement of the *Piano Sonata in F Minor* are also reminiscent of Stravinsky, such as his previously mentioned *Concerto for Piano and Wind Instruments*, and *Apollon musagète*.

The image displays two systems of musical notation for a piano piece. The first system begins with a tempo marking of quarter note = 80. The right-hand staff features a melodic line with several ornaments, including a trill and a mordent, which are highlighted with color-coded annotations. The left-hand staff provides a bass line with a broken arpeggio pattern. Performance instructions include 'f energ.' (forte, energetic) and 'anche poco più mosso al ♩:84 Preciso' (also a little faster, precise). The second system continues the melodic and bass lines, with a trill ornament in the right hand marked 'f brill.' (forte, brilliant) and a fermata over the final note. A measure rest of 8 measures is indicated at the end of the system.

Example 3.30: Shapero's *Piano Sonata in F Minor*, Movement II, Variation II, mm. 97-102. Written-out ornaments.

⁷⁴ Style brisé: A term in French “broken style” generally means irregular broken chord in arpeggiated texture in lute or keyboard instrumental music in the Baroque period.



Example 3.31: Shapero's *Piano Sonata in F Minor*, Movement II, mm. 1-6. Double-dotted French-overture character.



Example 3.32: Shapero's *Piano Sonata in F Minor*, Movement II, Variation I, mm. 32-33. Broken chords with flexible indication: quasi- style *brisé*.

The second movement of the *Piano Sonata in F Minor*, which Shapero indicates can be performed separately with the title *Arioso Variations*, is reminiscent of J. S. Bach's *Goldberg Variations* (although the *Goldberg Variations* consist of a Sarabande aria with thirty variations). Both sets of variations have an aria opening and conclusion with dotted figures in their main themes. Although the thematic idea behind Shapero's variations is presented in an upward progression, instead of the descending motion we find in the *Goldberg Variations*, both main themes span thirty-two measures and have second halves that temporarily tonicize the dominant.

One can note several features that appear throughout both variations, including written-out broken chords, ornamental figures (such as appoggiatura, trill, and turn effects), runs, rapid arpeggios, and hand crossing. In addition, the French-overture style in *Arioso Variations* is also parallel to the sixteenth variation from *Goldberg Variations*. Finally, both sets of variations bring their respective thematic ideas back at their conclusions, voiced in precisely the same register as used in their initial statements.

Baroque-era stylistic features also play an important role in Shapero's final two piano works, including his *Partita in C*. Shapero specifically mentioned J. S. Bach's Partita as a source of inspiration for his *Partita in C*.⁷⁵ This work reflects a solo concerto arrangement, where a solo instrument is accompanied by an orchestra (including in its Ciaccona and Esercizio movements). It also contains passages where small groups of soloists interact with the orchestra in a type of concerto-grosso arrangement (including in its Pastorale, Schezo, and Aria movements). The setting is especially close to *concerto da camera*, a type of music that contains the character of a suite with the addition of a prelude within the larger category of concerto grosso. Because concerto grosso is a common Baroque form, the sense of concerto grosso/concerto da camera in the *Partita in C* furthers the work's association with the Baroque era. On a smaller scale, we can note the influence of Baroque formal ideas in movement one, where Shapero uses the French overture—a form widely used in the Baroque era that features slow dotted rhythms. Shapero blends these Baroque sounds throughout the *Partita in C* with contemporary compositional techniques. In particular, he uses twelve-tone writing and presents the melody and rhythm in retrograde beginning in the second half of movement two and lasting through out the entire work (except during the Sinfonia and Cadenza movements, which are arranged in quasi-ternary form). The retrograde progression is akin to a palindrome in arch form, wherein the same thematic idea returns but the pitches are presented in reverse order. In contrast, the ternary form found in the Sinfonia and Cadenza movements includes a return of the first thematic idea in the third section, displayed in the same way as the original statement.

⁷⁵ Shapero: "The Partita forms are clearly linked with the keyboard music of the Baroque period, in which several brief movements were customarily included along with others of considerable extension." The quotation about his idea inspiration is cited in Chapter One p. 22. Shapero, program note for Harold Shapero, *for Piano Solo and Small Orchestra (1960)*.

24 Bagatelles also contains Baroque features and reflects the influence of J. S. Bach. To begin, the prelude from *24 Bagatelles* includes a quotation and paraphrase from Bach’s Prelude BWV 846 from the *Well-Tempered Clavier* Book I—including an exact replication of the bass progression Bach uses as well as a similar melodic contour. At the same time, Shapero’s prelude is created in a way that suggests parody. The music begins with an overtone series introduction followed by a presentation of the general melodic contour of BWV 846; however—showing Shapero’s humor—the inclusion of “wrong” notes distorts BWV 846. Shapero starts blending “wrong” notes—including a raised fourth (F-sharp)—in the overtone series introduction, and additionally utilizes chromatic turn figures throughout the entire prelude to replace the original arpeggiated broken chord that is displayed in BWV 846. The arrangement of tonal centers across the *24 Bagatelles* also matches J. S. Bach’s setting in the *Well-Tempered Clavier*. The key for each piece is determined chromatically, ascending by minor seconds along with the parallel minor keys to encompass all twenty-four major and minor keys (see Appendix A). Other Baroque features are additionally assimilated into the Bagatelles: in the postlude we can note inversion, retrograde, and retrograde inversion (see Examples 3.33 and 3.34); in Bagatelles Nos. 2 and 4 we can note harmonic progressions with chromatic bass figures and contrapuntal progressions (see Example 3.35, where the chromatic bass figures appear in Bagatelles No. 4 in red circles); and in Bagatelle No. 20, we can note appoggiaturas or turn figures.



Example 3.33: Shapero’s *24 Bagatelles*-Postlude, Subject, mm. 1-3 (with Shapero’s hand writing).



Example 3.34: Shapero's 24 Bagatelles-Postlude, Retrograted subject, mm. 25-27.



Example 3.35: Shapero's 24 Bagatelles No. 4, Chromatic bass progression, mm. 6-15.

Though Baroque style is central to Shapero's *Piano Sonata in F Minor*, elements of Stravinsky, Beethoven, and Bach are also integrated into the work, creating what I call a "kaleidoscopic effect" in terms of musical style—a term meant to highlight the complex mix of musical references in Shapero's work. A similar effect (with similar references to musical masters) can also be found in his *Partita in C* and the *24 Bagatelles*. Although twelve-tone approaches to tonality and Baroque features comprise the main compositional elements in the *Partita in C*, this work also embraces stylistic ideas from different eras. For example, the Pastorale movement is reminiscent of the opening setting in the fifth movement of Mahler's *Symphony No. 5* and the first movement of Beethoven's *Pastoral Symphony No. 6*. Shapero's Pastorale movement and Mahler's fifth movement from *Symphony No. 5* both contain pastoral

qualities (including their evocation of serenity and rural scenes), begin with a fermata placed on the fifth scale degree (based on their main tonality), and feature a melody that is shared between instruments (including exclusively winds in Mahler's work, and winds and strings in Shapero's *Pastorale*). Both Beethoven and Shapero assign strings in the opening of their respective works. Winds, including the oboe in particular, present the melody after the strings and take over the primary leading role.

The kaleidoscopic effect becomes clearer in Shapero's *24 Bagatelles*. The entire collection comprises a series of dance characters, including the Nocturne and the Waltz (which are formally designated), as well as American-style ragtime and marches (which are stylistically implied). In addition to these styles, it can be argued that Bagatelle No. 24 reflects the stride piano tradition in terms of its jazz-shout chorus (see Example 3.36).

Example 3.36: Shapero's *24 Bagatelles* No. 24, Stride Piano-like flavor, mm. 165-173.

Heightened virtuosity also has ties to the kaleidoscopic effect that are especially evident in terms of rhythmic requirements in the *Partita in C* and the *24 Bagatelles*. The *Partita in C* does not include full use of the keyboard's compass (found in the *Piano Sonata in F Minor* and the *24 Bagatelles*), because of the stylistic links with the Baroque era; however, both works include wide intervallic leaps and jumps. Additionally, the complicated rhythmic patterns found

in the *Piano Sonata in F Minor* carry through to these later works, including a variety of tuplet rhythms and subdivided rhythms beyond 32nd divisions.

As this chapter has shown, Shapero's *Piano Sonata in F Minor* embraces features from his earlier works while also anticipating his later works, in addition to what scholars have recognized as its connections to Beethoven. The *Piano Sonata in F Minor* and Shapero's earlier composition *Sonata for Piano Four Hands* are linked by their mutual use of circular cell figures and 3+3+2 Latin rhythmic features. The *Piano Sonata in F Minor* and the *Three Amateur Sonatas* both use conventional formal structure. In addition, common intervallic ideas among these five sonatas connect them to one another. Shapero's *Piano Sonata in F Minor* anticipates piano compositions he would later write in terms of technical virtuosity, large-scale cyclic construction, and kaleidoscopic effect (with elements mainly from Stravinsky, Beethoven, and J. S. Bach within Baroque formal construction). These features are evidenced in Shapero's *Partita in C* and *24 Bagatelles*.

CHAPTER 4: CONCLUSION

The works by the American composer Harold Shapero are grounded in Neoclassicism, influences from past and contemporary composers, and his own sense of style that grew and changed throughout his career. Shapero's piano sonatas illustrate this overall stylistic evolution. This study has endeavored to illustrate the general stylistic characteristics of Shapero's sonatas, as well as connections between and within the sonatas. Additionally, it has argued for using the sonatas as a way to understand later works composed by Shapero. It is my hope that this study will not only serve as a guide to those who are interested in Shapero's piano sonatas, but that it will also provide a better understanding of Shapero's later compositional style in his works for piano.

Several common compositional features create connections between and within each sonata. These include the structural omission of conventional repeat signs at the end of first-movement exposition sections, specific intervallic ideas (including the intervallic fourth and its subdivisions) that appear within themes and harmonies, and the way in which Shapero leaves moments of constructed silence for his performers and audiences at the ends of pieces. Shapero's musical language is characterized by the use of lyrical melodic lines, wide intervallic leaps, orchestral effects, rhythmic effects, varied returning thematic materials, and the creation of musical tension through raised fourths. Shapero composed works using such traditional forms as sonata design, variations, and concerto, as did his Neoclassical contemporaries. To interpreters of his music, Shapero tends to give clear indications, including suggested tempo markings in his piano works and specific pedal indications to convey effects at particular spots.

This study has emphasized the importance of considering how Shapero assimilated compositional features inspired by a variety of sources into his works, including features inspired

by his contemporaries. Stravinsky was Shapero's primary compositional inspiration—a connection that deepened through Shapero's studies with Nadia Boulanger and through his personal association with Stravinsky that began in the 1940s. Shapero emulated several features from Stravinsky's work, such as displaced accents, percussive effects, irregular syncopated rhythms, irregular meters, block form, and juxtaposition. Among Shapero's piano works, his *Sonata for Piano Four Hands* is particularly tied to Stravinsky's Russian period in terms of its use of juxtaposition (including polychordal or bitonal sonorities), motivic development based on circular cells, and irregular percussive and syncopated rhythmic effects. Copland ranks as a less pervasive influence in Shapero's works, but we can note his importance in the French sensibilities found in Shapero's *Sonata for Piano Four Hands* and as well as the references to jazz found more generally in his piano works. We can connect Shapero's use of ambiguous tonality in the *Sonata for Piano Four Hands* to Stravinsky and Copland. Even still, one can identify a sense of general tonic-dominant relationships between thematic ideas in the introduction of the first movement, which is one example of how Shapero did not simply borrow ideas from Stravinsky and Copland, but rather mixed them with his own compositional directions.

As discussed in Chapter Two, an assimilation of eighteenth-century aesthetic features is manifested in Shapero's music in a number of ways, including formal structure, short phrase structures, functional harmonic language, intervallic third relationships, and a tendency to borrow specific features from eighteenth-century composers. Shapero's *Three Amateur Sonatas* is his first piano work with general stylistic features that lean heavily toward eighteenth-century composers, evidenced in the work's use of triads, clear functional harmonic progressions and use of hand crossing and hand alternation—all of which appear frequently in Shapero's subsequent

piano works. Shapero's piano sonatas follow fairly conventional eighteenth-century designs, including first movements in sonata-allegro form, slow inner movements, and rondo final movements; however, Shapero's approach to these eighteenth-century models was not static across his career. The *Sonata for Piano Four Hands* strays farthest from the conventional layout described above, and the quasi-sonata form found in its first movement, along with its use of juxtaposition (block form), again point back to the influence of Stravinsky. The structure of the slow second movement from the *Sonata for Piano Four Hands* can be viewed from two different perspectives, either as ternary form (if one uses tempo to divide sections) or as double ternary form (if one uses the presentation of themes to divide sections).

Chapter Three approached the idea of stylistic continuity and growth across Shapero's career, particularly in terms of the ways the *Piano Sonata in F Minor* assimilates and further develops features from the *Sonata for Piano for Hands* and the *Three Amateur Sonatas*. While Shapero adopted these works' use of the circular cell, syncopated patterns (3+3+2), structural arrangements that recall eighteenth-century practices, and references to Beethoven, Shapero's *Piano Sonata in F Minor* goes beyond his earlier works in terms of its conception of large-scale cyclic construction and virtuoso challenges. It additionally includes Baroque features—both in terms of rhythm and style—and suggests possible connections with J. S. Bach.

New directions became evident in Shapero's *Piano Sonata in F Minor*, including what I call the kaleidoscopic effect, that carried forward into his later piano works. This is evident in the way the *Piano Sonata in F Minor* integrates multiple features from Stravinsky, Beethoven and J. S. Bach. Shapero's *Partita in C* and the *24 Bagatelles*, which were Shapero's final piano compositions, demonstrate the kaleidoscopic effect in the way they contain percussive and rhythmic effects influenced by Stravinsky, cyclic features from Beethoven, and formal structures

and musical language reminiscent of J.S. Bach. Shapero's kaleidoscopic effect also connects with the Neoclassical concept of aesthetic "polystylistic" or "synthetic" writing (discussed in Chapter One) that includes embracing styles from different eras while still working within conventional formal structures with order and emotional control. Fulkerson discusses Shapero's synthetic method in his online forum, describing that listening to his music is like listening to two (or more) works playing simultaneously.⁷⁶ Perhaps this is the way that Shapero shows his respect to music masters that he admired, and to continue the sense of beauty, but through somewhat different means.

Another purpose of this study has been to show that, even as Shapero assimilated influences in his works from different sources, the main thematic ideas in his pieces are nevertheless original. This study has aimed to emphasize the pianistic techniques and personal compositional features found in Shapero's works that differentiate him from his contemporaries. Some characteristic gestures recur throughout his works, such as the angular orchestral motive first found in the *Three Amateur Sonatas* that resurfaces in such pieces as his *Variations in C Minor*, the *Symphony for Classical Orchestra*, and the *24 Bagatelles*.

Further research would involve several possible directions. One includes examining other works by Shapero that fall within different genres, particularly his late works, to build a more thorough profile of the composer. In addition, as Stravinsky and Beethoven are regarded as Shapero's primary inspirational resources, subsequent research could expand to include other American composers, especially those who are classified as members of the Stravinsky School or those who were also strongly influenced by Beethoven, such as Irving Fine. Such studies could

⁷⁶ Fulkerson. "Neo-Classicism, Quotation, and Paraphrase in The Piano Music of Harold Shapero."

help us understand how these composers manipulated the ideas of Stravinsky and Beethoven in their work, allowing us to perceive connections between their works and those of Shapero.

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APPENDIX A: 24 BAGATELLES

Prelude <i>Parody</i> in C major	No.13 <i>Bagatelle</i> in F-sharp major
No.1 <i>Bagatelle- Little Boy's March –for Meng Wen and Yung Chang</i> in C major (2003)	No.14 <i>Bagatelle</i> in f-sharp minor
No.2 <i>C Minor March with Canon</i> 1998	No.15 <i>Hannah's Song</i> in G major *
No.3 <i>Nocturne</i> in D-flat major *	No.16 <i>Bagatelle</i> in g minor *
No.4 <i>Waltz-Scherzo</i> in c-sharp minor	No.17 <i>Bagatelle</i> in A-flat major *
No.5 <i>Bagatelle</i> in D major (2003)	No.18 <i>Dance</i> in g-sharp minor*
No.6 <i>Fives (Ostinatos)</i> in d minor (2003)	No.19 <i>Bagatelle</i> in A major
No.7 <i>Ballet</i> in E- flat major	No.20 <i>Bagatelle – for A(aron) C(opland) on his 80th Birthday</i> in a minor (1981 revised 2001)
No.8 <i>Bagatelle-E Flat Minor Waltz</i> (1992)	No.21 <i>Bagatelle- Soliloquy</i> in B-flat major *
No.9 <i>Bagatelle (Lydian)</i> in E major	No. 22 <i>Bagatelle- B Flat minor March</i> 1995
No.10 <i>Bagatelle</i> in e minor *	No.23 <i>Bagatelle</i> in B major*
No.11 <i>Ostinato</i> in F major (1942-2001)	No.24 <i>Bagatelle</i> in b minor
No.12 <i>War March</i> in f minor	Postlude in C major

* unfinished

- Key designation in the title in some pieces and in many unfinished Bagatelles in Finale files

() on No.6 and No.8 are original titles

APPENDIX B: MATRIX OF *PARTITA IN C*

	I ₀	I ₃	I ₁	I ₄	I ₇	I ₁₀	I ₈	I ₁₁	I ₆	I ₉	I ₂	I ₅	
P ₀	C	E ^b	D ^b	E [♯]	G	B ^b	A ^b	B [♯]	F [♯]	A [♯]	D [♯]	F	R ₀
P ₉	A	C	B ^b	C [♯]	E	G	F	G [♯]	D [♯]	F [♯]	B [♯]	D [♯]	R ₉
P ₁₁	B	D	C	D [♯]	F [♯]	A	G	A [♯]	F	G [♯]	C [♯]	E	R ₁₁
P ₈	A ^b	B	A [♯]	C	E ^b	G ^b	E [♯]	G [♯]	D [♯]	F	B ^b	D ^b	R ₈
P ₅	F	A ^b	G ^b	A [♯]	C	E ^b	D ^b	E [♯]	B	D [♯]	G [♯]	B ^b	R ₅
P ₂	D	F	E ^b	F [♯]	A	C	B ^b	C [♯]	G [♯]	B [♯]	E	G [♯]	R ₂
P ₄	E	G	F	G [♯]	B	D	C	D [♯]	A [♯]	C [♯]	F [♯]	A	R ₄
P ₁	D ^b	E	D [♯]	F [♯]	A ^b	B	A [♯]	C	G	B ^b	E ^b	G ^b	R ₁
P ₆	G ^b	A	G [♯]	B ^b	D ^b	E	D [♯]	F	C	E ^b	A ^b	B	R ₆
P ₃	E ^b	G ^b	E [♯]	G [♯]	B ^b	D ^b	B [♯]	D [♯]	A	C	F	A ^b	R ₃
P ₁₀	B ^b	D ^b	B [♯]	D [♯]	F	A ^b	G ^b	A [♯]	E	G [♯]	C	E ^b	R ₁₀
P ₇	G [♯]	B ^b	A ^b	B [♯]	D [♯]	F	E ^b	F [♯]	C [♯]	E [♯]	A [♯]	C	R ₇
	RI ₀	RI ₃	RI ₁	RI ₄	RI ₇	RI ₁₀	RI ₈	RI ₁₁	RI ₆	RI ₉	RI ₂	RI ₅	

P: Prime

R: Retrograde

I: Inversion

RI: Retrograde Inversion

APPENDIX C: *PARTITA IN C*

Partita in C –diagram

Movements	Tempo/Expression	Form	Features
1.Sinfonia	Maestoso ♩ = 76	Ternary (single motive)	-French overture -diatonic (C major mood) -sharp fourth -mode contradiction
2.Ciaccona (with cadenza)	Allegro ♩ = 132 (polymeter)	Arch form	P ₀ + c minor mode
3.Pastorale	Con licenza- Con Grazia- Con licenza ♩ = 84 (polymeter)	Arch form	P ₇ +C major mode
4. Scherzo (with cadenza)	Capriccioso-Scherzo ♩ . =100, ♩ = 75 (polymeter)	Arch form	P ₇ + c minor mode
5. Aria	Poco adagio ♩ = 58- 60 (polymeter)	Arch form	P ₇ + C major mode
6. Burlesca	Con moto ♩ = 144 (polymeter)	Arch form	P ₇ + c minor mode
7. Cadenza	Maestoso ♩ = 76	Ternary	-diatonic (C major mode) -sharp fourth -mode contradiction
8. Esercizio	Allegro ♩ = 126-132	Arch form	-P ₀ + every possible duration -toccata character -more in c minor mode