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GRADUATE COLLEGE

HISTORICAL AND MUSICAL COMPARISON OF CELLO WORKS BY

DAVID STANLEY SMITH AND THE FOURTH VIOLIN SONATA BY

CHARLES IVES

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By

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HISTORICAL AND MUSICAL COMPARISON OF CELLO WORKS BY  
DAVID STANLEY SMITH AND THE FOURTH VIOLIN SONATA BY  
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A DOCUMENT APPROVED FOR THE  
SCHOOL OF MUSIC

BY

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This document is dedicated to my parents

David and Dorothy Bradshaw, and my sister, Ginna Bradshaw.

Their love, support, sacrifice, and encouragement throughout this process and my development have benefited me beyond all words.

## ACKNOWLEDGEMENTS

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## ABSTRACT

David Stanley Smith is overlooked among American composers of the early twentieth century. Overshadowed by the career and magnetism of his Yale colleague and contemporary, Charles Ives, Smith was an illustrious composer of absolute music of the early twentieth century. The intent of this document is to compare and contrast the compositional styles of both Smith and Ives and present an argument as to why Ives's music is more frequently performed and researched, while Smith's music is largely forgotten. This document will compare and contrast Smith and Ives using Smith's *Sonata for Violoncello and Piano, Op. 59* and his *Three Poems for Violoncello and Piano, Op. 97bis*, and Ives's Fourth Violin Sonata. This document will also compare their backgrounds and education, their work lives, their compositional styles and choices, and their reception in their lifetime.



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CHARLES IVES

**I. INTRODUCTION**

**Statement of Purpose**

The purpose of this research is to examine David Stanley Smith's (1877-1949) compositional style, and compare his style to that of his colleague Charles Ives (1874-1954). Ives has become the subject of a wealth of research in recent years, although he was much less known in his own time. Smith and Ives both began their careers as students together at Yale University under the direction of Horatio Parker. While others have discussed Smith's views on contemporary music, no research has been written comparing Smith to Ives directly. In his own time, Smith was a prominent academic composer, succeeding his teacher Parker as both composition professor and eventually director of the Yale School of Music.

This document will use Smith's two cello works, the *Cello Sonata, Op. 59* and the *Three Poems for Violoncello and piano, Op. 119bis*, a work that remains only in manuscript form today, and compare and contrast them with Ives's *Fourth Violin Sonata, "Children's Day at the Camp Meeting."* The research will compare not only musical features, but also biographical and career circumstances, explaining why Smith is relatively unknown today while Ives is quite famous. By citing Smith's *Three Poems for Violoncello and Piano, Op. 97bis*, the author

hopes Smith's cello music, as well as his instrumental compositions will gain attention, performances, and further research. This document will provide musicians with insight that will aid them in preparing performances of his music.

### **Need for the Study**

David Stanley Smith is often overlooked among American<sup>1</sup> composers of his generation. Overshadowed by the career and magnetism of his Yale colleague and contemporary, Charles Ives, Smith was an illustrious composer of music in many genres. Further, Smith is a victim of his own humility. Burnett C. Tuthill writes that Smith's music is little known because he is not a "music salesman," but instead is very modest and sincere and allows his music to speak for itself.<sup>2</sup> No book-length studies exist about Smith; his name appears in many books on American concert music, but most feature only a brief mention of his importance as a student of Horatio Parker, his affiliation with Charles Ives, or of his importance to the development of the Yale School of Music, disregarding his actual compositions. A very useful biography of Smith appears in Elizabeth Ann Goode's 1978 dissertation, "David Stanley Smith and His Music," as well as a comprehensive list of his vocal and instrumental compositions. Her dissertation focuses on his importance to the Yale School of Music and his views on

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<sup>1</sup> For the purpose of this document, the term "American" refers to composers from the United States of America.

<sup>2</sup> Burnett C. Tuthill, "David Stanley Smith," *The Musical Quarterly* 28, No. 1 (Jan., 1942): 63.

composing in his era, but lacks a detailed comparison to Ives or reasons why Smith remains largely unknown to performers and the audiences they serve.

The author has performed the *Cello Sonata* and hopes to perform the *Three Poems for Violoncello and Piano, Op. 119bis* in the future. Further, *Three Poems* remains in manuscript form today and the author hopes that this document will spark interest in it as well as Smith's other chamber works.

Today, Smith is best known for his opera, *Merrymount*, as well as his *Prince Hal Overture, Op. 31*. Smith composed a large amount of music in his lifetime across both vocal and instrumental genres, and yet, no one has researched any of his compositions with any depth. In his own time, Smith was a well-known and important American composer. Often interviewed by journals and newspapers, Smith gave the keynote address at the Music Teachers National Association Convention in 1925. He was well aware of the experimental nature of American composition throughout his era, but his own compositional style preserved features closely associated with composers of the Romantic era. Smith wrote a book, *Gustave J. Stoeckel: Yale Pioneer in Music*, as well as articles for *The Musical Quarterly*, *The Musician*, and *the Yale Review*.

Smith, along with his mentor and friend, Horatio Parker, was largely responsible for the development and reputation of the Yale School of Music during the years before the Great Depression and helped to grow the school to the national reputation it holds today. At a time of great turmoil in American concert music, while most American composers were experimenting with new methods of

composition, Smith stood as a stalwart, a pillar of the European tradition of late-Romanticism.

### **Scope and Limitations of the Study**

Because of the biographical work of Elizabeth Ann Goode in her 1978 dissertation, “David Stanley Smith and His Music,” this document will not contain a full biography of the composer, but instead will provide a comparison between Smith and Charles Ives, since they studied with the same teacher, but have quite different styles of composition. Further, since a great many books exist chronicling Charles Ives’s biography, this document will not provide a detailed account of his life, but rather focus on elements of his career comparable with David Stanley Smith.

Smith’s only published cello work, the *Cello Sonata, Op. 59* and Smith’s *Three Poems for Violoncello and Piano, Op. 97bis*, will serve as examples of Smith’s work. Smith’s *Three Poems for Violoncello and Piano, Op. 97bis* is one of the composer’s last works and one of two works he composed for cello and piano. Smith originally intended publication of this work along with his *Three Poems for Violin and Piano* as his Op. 96bis with G. Schirmer, Inc., but was rejected.<sup>3</sup> For the purpose of this document, only the *Three Poems for Violoncello and Piano* and the *Cello Sonata, Op. 59* will be examined.

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<sup>3</sup> Elizabeth Ann Goode, “David Stanley Smith and His Music,” (Ph.D. diss., University of Cincinnati, 1978), 218.



Charles Ives wrote a wealth of chamber music across multiple genres, but never wrote a cello sonata. Therefore, this document will focus on his Fourth Violin Sonata, “Children’s Day at the Camp Meeting.” His Fourth Violin Sonata offers an example for comparison within the chamber music genre. The Fourth Violin Sonata was originally composed between 1911 and 1916, and later revised by Ives. It uses quotation extensively, which offers direct comparison with Smith’s *Sonata for Violoncello and Piano, Op. 59*.

### **Procedures/Methodology**

This document will compare and contrast David Stanley Smith and Charles Ives using the following criteria: compositional style, personal history and training, employment and career, and each composer’s reception in their own lifetime. Compositionally, this document will compare and contrast each composer’s use of form, harmonic language, and use of musical materials, specifically with regard to each composer’s use of quotation, as well as their stated views on musical composition.

This document will explore the divergent paths they took after graduating from Yale University. Further, an examination of their career paths, as well as their compositional output will provide reasons why Ives and Smith came from similar educational backgrounds, but developed different compositional styles. Lastly, this document will present a comparison of the two men’s standing in their own time, focusing on critical reception of their music.

## II. REVIEW OF THE LITERATURE

### David Stanley Smith

There are no book-length studies on David Stanley Smith or his music. While Smith is mentioned in many published books, the references usually discuss his relationship to Charles Ives, his importance as Horatio Parker's successor at the Yale School of Music, or his teaching of Quincy Porter. Three principal documents form the foundation for a study of David Stanley Smith: Elizabeth Goode's 1978 Ph.D. dissertation, University of Cincinnati, "David Stanley Smith and His Music," Brian Doherty's 2004 Ph.D. dissertation, University of Kansas, "The French Training of American Composers, 1890-1914," and Burnett Tuthill's 1942 article, "David Stanley Smith," from *The Musical Quarterly*.

Burnett Tuthill's article, "David Stanley Smith," provides a brief biography of the composer and his importance to American composition in his own time.<sup>4</sup> Tuthill describes Smith as a "modest man...of high intelligence, culture, and sensitivity."<sup>5</sup> He claims the reason Smith is not more well-known among his contemporaries is two-fold, because of the general lack of interest in American composers during his time, and because Smith was not a "salesman" of

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<sup>4</sup> This article, published in *The Musical Quarterly* in 1942, was written to commemorate Smith's retirement from the faculty of the Yale School of Music

<sup>5</sup> Tuthill, 63.

his works to performers, conductors, and audiences.”<sup>6</sup> Tuthill describes Smith’s style as “subtle” and “logical.”<sup>7</sup> He laments the fact that many of his works are still in manuscript form, a fact that holds true even today. Tuthill provides a chronological catalog of Smith’s compositions, along with the name of the publisher, where appropriate.

Brian Doherty’s 2004 Ph.D. dissertation, University of Kansas, “The French Training of American Composers, 1890-1914,” discusses Smith’s training with Charles Widor in France, along with the French training of Daniel Gregory Mason and Edward Burlingame Hill. Doherty compares French training with German training and describes Smith’s style as “more French than German, incorporating classical forms with sensitive and simple textures.”<sup>8</sup> Doherty discusses Smith’s views on music including his belief that “program music and opera [are] inferior to absolute music.”<sup>9</sup> While describing Smith’s aesthetic as being “consistent with the eclectic nature of the transitional [American] composers,” Doherty’s focus is on comparing this group of composers to their French counterparts, Faure, d’Indy, and others, rather than comparing transitional American composers to each other.<sup>10</sup>

Elizabeth Goode’s 1978 Ph.D. dissertation, University of Cincinnati, “David Stanley Smith and His Music,” is the most thorough investigation of David Stanley Smith and his compositions to date. It provides a thorough

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<sup>6</sup> Ibid, 63.

<sup>7</sup> Ibid, 66-67.

<sup>8</sup> Brian Doherty, “The French Training of American Composers, 1890-1914, (Ph.D. diss., University of Kansas, 2004), 297.

<sup>9</sup> Ibid, 289.

<sup>10</sup> Ibid, 295.

biography of his life and career, including a lengthy discussion of his tenure as Dean of the Yale School of Music. Goode also provides a descriptive catalog of his works, separated by genre. Goode discusses some of his views on compositional trends of his era, including the use of jazz idioms in classical settings, experimental music, as well as the new prevailing harmonic language of his day. She does not compare him thoroughly to his American contemporaries. Further, while her dissertation does mention Smith's *Three Poems for Violoncello and Piano, Op. 97bis*, the entry is very brief and only describes the tonality and the tempo markings of each of the piece's three movements.

### **Charles Ives**

Charles Ives is one of America's most discussed composers and is well represented in research material. Jan Swafford's *Charles Ives: A Life with Music* is a comprehensive biography of Ives's life and career. Swafford states that his goal is to "treat music and life together, holding each up to the mirror of Ivesian ideals and see how well they reflect each other."<sup>11</sup> Swafford's research presents a chronological history of Ives's life and the circumstances surrounding the creation of his music. It briefly mentions Smith's time in Parker's studio with Ives and his later promotion to Dean of the Yale School of Music.

Charles Ives's *Memos*, edited by John Kilpatrick, provides extensive notes and commentary from the composer regarding his music, specifically providing

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<sup>11</sup> Jan Swafford, *Charles Ives: A Life with Music*, (New York: W.W. Norton & Company, 1996), x.

curious audiences insight into many of his works, including the four violin sonatas, the symphonies, and the famous “Concord” Sonata. Ives also writes reflections on the state of American music in his lifetime and some of his views on musical composition and progress.

A second set of source material on Charles Ives is *Selected Correspondence of Charles Ives*, edited by Tom Owens. Presenting the correspondence mainly chronologically, this collection represents a vast selection of personal and professional correspondence. Owens further classifies the collection by subject, including correspondence on editors and performers, collaborators, his health, his early time at Yale, and even his courtship and marriage of Harmony Twichell.

*All Made of Tunes: Charles Ives and the Uses of Musical Borrowing*, by J. Peter Burkholder is an essential text on analyzing Ives’s music. Burkholder discusses the procedures and methods Ives uses to incorporate hymn tunes and other musical quotations into his works. He suggests an analysis model for borrowed material where the quoted material only appears in earnest at the end of a work, and the rest of the piece develops musical motives that evolve eventually into a “cumulative setting.” Burkholder gives an extensive analysis of many of Ives’s works including the violin sonatas and the symphonies. Each analysis includes a descriptive analysis as well as a graph charting the quotations and their uses in each piece. There is an alphabetical catalog of Ives’s works in an appendix and references to where in the book each piece is discussed.

J. Peter Burkholder's *Charles Ives and His World* provides a useful discussion of Charles Ives's place in society and his works. Included are essays on Ives's compositional influences and his styles and techniques, selected correspondence, and reviews of some of his works. The final section of the book contains historical profiles of Ives discussing his place in American music history as well as his profound place in contemporary music.

Henry and Sidney Cowell's *Charles Ives and His Music* provides an extensive biography of Ives's life as well as analysis of his musical style. The first half of the book is dedicated to a comprehensive history of his life. This part, coupled with Stuart Feder's *The Life of Charles Ives* provides a detailed biography of Ives. The second part of the Cowells' book discusses issues of form, style, quotation, and analysis of Ives's music. The Cowells focus on the *Concord Sonata*, *Paracelsus*, and the *Universe Symphony* as important examples of their analysis.

David Eiseman's Ph.D. dissertation, "Charles Ives and the European Tradition," proposes that Ives is responding to and incorporating European ideals in his early symphonies and that while most consider his music unique and innovative, Ives was certainly influenced in some part by European tradition and had extensive exposure to European music in his early training. The dissertation focuses on Ives's time at Yale as well as in Danbury, Connecticut and in New York City. Eiseman then uses the first two symphonies as examples for his comparison of Ives's writing style to European traditions, including harmonic choices, orchestration, and even form and genre.

## **American Composition in David Stanley Smith's Era**

American composition is a wide-ranging topic with many great resources dedicated to the subject. Most books on American composition, however, focus on the twentieth century beginning with Charles Ives and moving forward through Copland, Cage, Glass, and Adams. There are great resources featuring the era of Smith and Ives, as well as the influences on their music and the struggle of American composers of their time.

Richard Crawford's *America's Musical Life: A History* provides an in-depth overview of American composition from the years before the country's founding to the present day. It is wide-ranging, discussing early psalmody, parlor song, early symphony concerts – first by European touring companies and later by Americans, the struggle to create a national identity for American music, and through the experimental music of the early and mid-twentieth century. Further, it not only discusses classical music in America, but also the history of our popular music, including jazz, American musicals, and rock music.

Chapters are devoted to the Second New England School's work at creating American music that rivals European composers, focusing on George Whitefield Chadwick, Arthur Farwell, Arthur Foote, and Amy Beach. Crawford also discusses the influence of Dvořák on American composers and his encouragement of finding indigenous music to create American national music. Charles Ives's music is discussed at length. Crawford does an excellent job of

portraying the history of American music, but mentions nothing of David Stanley Smith.

Nicholas Tawa's *From Psalm to Symphony: A History of Music in New England* focuses on the history of American composition in New England. It traces the early history of psalmody and singing schools and the first "teacher-composers" in America. While there is no mention of Smith, Tawa compares Charles Ives as an experimental composer to Amy Beach, a traditionalist composer similar to Smith, but much more universally known.

Tawa describes the problem that American composers of this era face: European composers have a wealth of indigenous folk music to draw upon, while America, being a nation of immigrants, shares a lot of the same folk music with Europe. The indigenous music of America is not, in fact, the native music of many of our country's composers. Tawa also notes that many American composers sought European training during this time. Tawa sums up the anxiety surrounding American composition by quoting Henry Gilbert:

One always feels that music by an American is not wanted, especially if it happens to be *American* music. It is merely tolerated with a sort of good-natured contempt. It is true that American music as such is still very much in its infancy. But an unwelcome child always has a very hard time and sometime fails to grow up.<sup>12</sup>

Walter Struble's *The History of American Classical Music* begins with a discussion of Edward MacDowell. It very briefly discusses the music prior to the twentieth century. It discusses Charles Ives at length and mentions Smith as the

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<sup>12</sup> Henry Gilbert, "The American Composer," *The Musical Quarterly* 1, 1915. Quoted in Nicholas Tawa, *From Psalm to Symphony: A History of Music in New England* (Boston: Northeastern University Press, 2001), 274-275.



successor to Horatio Parker as Dean of the Yale School of Music. He also describes Smith as being interested in writing new and engaging compositions for student musicians, citing his *Sonatina* (1932) for junior string orchestra.

Gilbert Chase's *America's Music* provides a well-researched survey of American musical history from the puritans to the twentieth century. Chase notes in his introduction that his book is not a "conventional history," but "based on historical principals."<sup>13</sup> His stated goal is to "describe, to illuminate, and to evaluate, the vital processes and factors that have gone into the making of America's music."<sup>14</sup> Often, he adds his own commentary to the event; for example, he describes the reason that most composers of the late-nineteenth century had never thought of incorporating indigenous themes into their music because they are "city-bred, Europeanized...so busy keeping their noses in the air that they never thought of putting their ears to the ground."<sup>15</sup> Gilbert does mention Smith briefly, describing him as "thoughtful, intellectual," and "typical of the 'professors' music," meaning that his music is a correct impression of the time period and the styles of other composers, but Gilbert calls Smith's music "generally inconsequential."<sup>16</sup>

Howard Hanson, an American composer from the Eastman School of Music, describes precisely the turmoil and circumstances of composing music in the very late nineteenth and early twentieth centuries in his address to the Music Teachers National Association in 1926. In "Creation of an American Music,"

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<sup>13</sup> Gilbert Chase, *America's Music*, 2d ed. (New York: McGraw-Hill, 1966), xix.

<sup>14</sup> *Ibid.*

<sup>15</sup> *Ibid.*, 389-390.

<sup>16</sup> *Ibid.*, 524.

Hanson argues that no one national school of composition will develop, but a variety of regional schools and compositional styles.<sup>17</sup> He addresses the influence of jazz and folk song integration into classical music, and notes why these are useful but not an indication of a “national” style.

While there are many resources that discuss Charles Ives and American music composition during David Stanley Smith’s lifetime, there is a lack of resources with regard to David Stanley Smith’s music or compositional style. Smith is rarely mentioned in published research, and the existing entries are general in nature and do not examine his works in depth, especially his cello music. This document will provide musicians with a resource to address these issues and add to the general knowledge of David Stanley Smith and his importance to American composition.

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<sup>17</sup> Howard Hanson, “Creation of an American Music,” Paper presented at the annual meeting of the Music Teachers National Association, Rochester, NY, December 28-30, 1926.

### III. THE STATE OF CONCERT MUSIC COMPOSITION IN AMERICA, 1865-1946

American composers writing during the lifetimes of David Stanley Smith and Charles Ives faced myriad complications with their art. This chapter provides an overview of the three generations of composers: their generation, and the generation of composers who followed them. Prior to the end of the nineteenth century, there were a wealth of parlor songs, worship music, and instructional method books published in the United States. However, American composed concert music had yet to find the prominence that European concert music enjoyed. Commercially popular, or “performer’s music” as Richard Crawford suggests, had the advantage of appealing to the largest populace.<sup>18</sup> Most American concert music of the time followed the trend of the late European romantics. “Sentimental romanticism became a vital element in original American classical music during the latter part of the nineteenth century and remained so throughout the period of the First World War.”<sup>19</sup>

Access to concert music was not an issue. European touring companies had performed throughout the United States since the beginning of the nineteenth century. However, few American orchestras had found their audiences and built their own concert halls. New York’s Carnegie Hall was founded in 1891,

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<sup>18</sup> Richard Crawford, *America’s Musical Life: A History*. (New York: W.W. Norton and Co., 2001), 497.

<sup>19</sup> John Struble, *The History of American Classical Music: MacDowell through Minimalism*. (New York: Facts on File Inc., 1995), 37.

Symphony Hall in Boston in 1900, and Chicago's Orchestra Hall opened in 1904.<sup>20</sup>

American composers faced the question that many European nations had answered for themselves in prior generations: "What is our national school of composition?" Unlike many European countries, America is a nation of immigrants, each with their own traditions, style, and culture. Gilbert Chase states that in America, "Eclecticism is the norm rather than the exception...we are a nation made from many sources from many cultures."<sup>21</sup> Therefore, no one musical element can define "American" composition.

Many composers were asked throughout the nineteenth and early twentieth centuries what the "American" musical school would look like. Will it be focused on incorporating jazz idioms into the concert hall? Will American composers rely on Native American and African-American slave songs as material for American music? Later generations, working in the early twentieth century will consider experimental music, atonal music, or serialism as material for an "American" school of composition.

The first composers of music for the American concert hall were the members of the Second New England School. John Knowles Paine, George Chadwick, Amy Beach, Horatio Parker, and Edward MacDowell all sought to write concert music that could be performed alongside their contemporaries in Europe, during the second half of the nineteenth century. According to John Struble, all of the Second New England School composers were, "thoroughly

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<sup>20</sup> Crawford, 497.

<sup>21</sup> Chase, 518.

trained compositional technician[s] and solidly wedded to the European romantic tradition.”<sup>22</sup> Many romanticize these composers as writing the first “American” concert works to promote specifically American music by American composers to rival the European tradition. But, as Struble notes, this was not really their primary goal:

Although they sometimes worked with American subjects, probably none of them would have considered it important to be viewed specifically as American composers. They perceived their objective, first and foremost, to be excellent musical craftsmen with substantial creative ideas. Whether those ideas sprang from indigenous or European roots was a secondary consideration.<sup>23</sup>

A variety of influences shaped American composers in the nineteenth and early twentieth centuries. As previously mentioned, the first American concert music composers, all born during or just after the end of the American Civil War<sup>24</sup>, sought to create new works that would stand alongside their European counterparts. John Knowles Paine, Arthur Foote, George Chadwick, Horatio Parker, and Mrs. H.H.A. Beach all wrote works in a German Romantic style, based on abstract musical ideas. Often referred to as the Second New England School, these composers successfully published and performed their works in Boston, New York, and in Europe, shaping the generation of composers that would succeed them.

John Knowles Paine (1839-1906) grew up in Portland, Maine, where he studied with the German composer, Hermann Kotschmar, before eventually

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<sup>22</sup> Struble, 38.

<sup>23</sup> Struble, 38.

<sup>24</sup> John Knowles Paine was born prior to the start of the American Civil War, in 1839.

traveling to study in Germany with Karl August Haupt.<sup>25</sup> Upon his return to America in 1861, he settled in Boston and became director of music at Harvard University, where he trained young student composers until his retirement in 1905.<sup>26</sup> While in Germany, in addition to his composition studies, he performed as organist in solo recitals around the country.<sup>27</sup> Paine returned to Germany briefly in 1867 for a performance of his *Mass* in Berlin with the Berlin Singakademie.<sup>28</sup>

Paine's style is reflective of his German training. His music is based on abstract musical ideas, and he wrote in a variety of forms, including symphonies, overtures, chamber music, incidental music for plays, an oratorio, *St. Peter, Op. 20*, a Mass, and his opera, *Azara*. While he argued for "adherence to the historical forms, as developed by Bach, Handel, Mozart, and Beethoven," and his symphonic style is modeled after Schumann's symphonies, his later works reflect a style more characteristic of Wagner and Liszt.<sup>29</sup>

Paine was the first American composer appointed as a music professor in the United States. Hired by Harvard University in 1861, he helped cultivate American composers and their works both as a teacher and as a mentor and colleague with other Boston-based composers. His students included Daniel Gregory Mason, Arthur Foote, Frederick Converse, and John Alden Carpenter.

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<sup>25</sup> H. Wiley Hitchcock, *Music in the United States: A Historical Introduction*. (Englewood Cliffs, N.J.: Prentice-Hall, Inc., 1969), 130.

<sup>26</sup> Chase, 336.

<sup>27</sup> *Ibid.*, 335.

<sup>28</sup> *Ibid.*, 336.

<sup>29</sup> Hitchcock, 131.

Paine was the oldest member and teacher to many of the members of the Second New England School group of composers.

While Paine was certainly influenced by the work of the European Romantics, Mrs. H.H.A. Beach (1867-1944) modeled some of her works directly after the works of one European romantic composer, Johannes Brahms. Beach, the only female member of the Second New England School, was born in West Henniker, New Hampshire and made her public debut as a concert pianist at the age of sixteen, in Boston.<sup>30</sup> With little formal training in music composition, Beach learned compositional practices by studying harmony texts as well as studying the scores of eighteenth and nineteenth century composers.<sup>31</sup>

Beach's career began as a pianist, but she turned her attention to composition upon marrying Dr. Henry H.A. Beach in 1885. She composed a wealth of music in a number of genres, including 120 songs, a piano concerto, her *Gaelic* Symphony, chamber music, a wealth of sacred and secular choral music, and an opera, *Cabildo*. While she surrounded herself with the New England Classicists, her biggest musical influence was the German composer, Johannes Brahms. Beach studied Brahms's scores and based the themes of the first and third movements of her *Quintet for Piano and Strings, Op. 67* on Brahms's *Piano Quintet, Op. 34*, which she had performed with the Kneisel quartet in 1900.<sup>32</sup>

After the death of her husband in 1910, Beach returned to concertizing,

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<sup>30</sup> Crawford, 364-365.

<sup>31</sup> Donald J. Grout and Claude V. Palisca, *A History of Western Music*. (New York: W.W. Norton and Co., Inc., 2001), 746.

<sup>32</sup> Grout, 746.

hiring an agent and traveling in Europe.<sup>33</sup> Upon returning to the United States in 1914, she toured the United States, performing.<sup>34</sup> She returned to New Hampshire in 1916, where she befriended the widow of composer Edward MacDowell, and from 1921 onward, spent her summers composing at the MacDowell artist colony in Peterborough, New Hampshire.<sup>35</sup>

The most directly influential member of the Second New England School on David Stanley Smith is Horatio Parker (1863-1919), his teacher at Yale University. Parker grew up in Auburndale, Massachusetts, just outside of Boston and studied with George Chadwick.<sup>36</sup> Parker then traveled to Germany, where he studied with the German composer Josef Rheinberger in 1882.<sup>37</sup> Upon his return to the United States, Parker first taught at the National Conservatory of Music in New York, and then was offered a position on the faculty of the Yale School of Music.<sup>38</sup> Parker succeeded Samuel Simmons Sanford as Dean of the Yale School of Music in 1904.

Horatio Parker's style is similar to style of the European Romantics. His choral works are his most famous, winning prizes and performances for his operas, *Mona* and *Fairyland*.<sup>39</sup> Remarkably, musicologist John Struble compares Parker's style to that of Edward Elgar, in spite of his German training.<sup>40</sup> Charles Ives, on the other hand, argues that while Parker's choral works "have dignity and

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<sup>33</sup> Crawford, 364.

<sup>34</sup> Ibid.

<sup>35</sup> Ibid.

<sup>36</sup> Struble, 37.

<sup>37</sup> Ibid.

<sup>38</sup> Ibid.

<sup>39</sup> Chase, 377.

<sup>40</sup> Struble, 38.



depth that many contemporaries...do not have,” that he was “governed by the German rule,” and “limited by what Rheinberger had taught him.”<sup>41</sup> In addition to his two operas, *Mona* and *Fairyland*, Parker composed ten oratorios, including his most famous work, *Hora Novissima*, *Op. 30*, which is based on a twelfth century Latin text. He also wrote a symphony, several short orchestral works, short piano works and works for organ, orchestral songs, and chamber music, including a string quartet and a Suite for violin and piano.

Parker served as dean of the Yale School of Music from 1904 until his death in 1919. He was succeeded as dean one of his students, David Stanley Smith. Notable among his other students were Charles Ives and Quincy Porter. Gilbert Chase notes that Parker had great success in getting his works performed through competitions, winning \$10,000 prizes for both his opera *Mona* in 1912, and his opera *Fairyland*, in 1915.<sup>42</sup> He successfully gained performances of his works in New York as well as in England.<sup>43</sup>

A contemporary of the Second New England School composers, but quite separate in style from them, Edward MacDowell (1860-1908) was born in New York, but lived much of his life in Boston. MacDowell, like many of his colleagues, began his musical studies at the piano. His family sent him to enter the Paris Conservatoire in 1876, where he studied with Antoine François Marmontel and Marie Gabriel Augustin Savard.<sup>44</sup> MacDowell was unhappy at the conservatory and transferred first to the Stuttgart Conservatory, and later to the

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<sup>41</sup> Charles Ives in Hitchcock, 136.

<sup>42</sup> Chase, 377.

<sup>43</sup> Crawford, 38.

<sup>44</sup> Struble, 41.

Frankfurt Conservatory.<sup>45</sup> Upon finishing his education, MacDowell taught in Germany before returning to the United States and eventually settling in New York in 1896 as professor of music at Columbia University, a position he held until 1904.<sup>46</sup> After leaving academic life, MacDowell moved to Peterborough, New Hampshire, where he and his wife established a colony for artists that still exists today.

MacDowell, unlike the Second New England School “classicists,” wrote works using vernacular themes. MacDowell was not a proponent of “absolute” music, saying that music is “neither to be an agent for expressing material things; nor to utter pretty sounds to amuse the ear...it is a *language*, but a language of the intangible, a kind of soul-language.”<sup>47</sup> MacDowell argued music is neither a means for expressing a direct program, nor a purely logical, abstract structure of forms and motives. He believed that music could not be compared with other art forms like architecture or poetry, as is often the case.<sup>48</sup> Whereas his contemporaries composed large-scale works in many of the favored genres of the Romantic era, MacDowell wrote smaller works, many of which remain popular and are still performed today. MacDowell composed two piano concertos, two orchestral suites, a *Romance for Violoncello and Orchestra*, many solo and choral songs, as well as a wealth of short piano suites and other pieces. His most famous work is his *Woodland Sketches, Op. 51*. Most of his works include programmatic

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<sup>45</sup> Ibid.

<sup>46</sup> Hitchcock, 139.

<sup>47</sup> Edward MacDowell in Chase, 357.

<sup>48</sup> Chase, 357.

titles, among them the *Forest Idylls*, *Moon Pictures*, *Six Idylls after Goethe*, *Les Orientales*, *Fireside Tales*, and *New England Idylls*.

While MacDowell often borrowed popular tunes for his compositions, some composers created concert music using African American spirituals and Native American folk songs as indigenous material for nationalistic music of the United States, similar to the work with folk songs their European counterparts used. Harry Burleigh (1866-1949) studied with the Bohemian composer Antonín Dvořák at the National Conservatory of Music in New York City during the composer's trip to the United States from 1892-1895.<sup>49</sup> He introduced Dvořák to African-American spirituals while serving as his copyist.<sup>50</sup> Burleigh was also a gifted performer, mainly of art songs, performing in New York while studying at the conservatory.<sup>51</sup> He inspired Dvořák's encouragement of African-American spirituals as a source for a "national style" for American composers through his performances of spirituals and folk songs.<sup>52</sup>

Burleigh's musical style incorporated the spirituals and folk tunes he employed into the fabric of Romantic-era concert music. Samuel Floyd Jr. notes in his retrospective of Burleigh that he was criticized for his settings of spirituals as being "inappropriate...Burleigh gave us a kind of idealized spiritual, a transformation of the melodies into art songs very much in the manner of Brahms *Deutsch Volkslieder*."<sup>53</sup> While his style is like that of German romanticism,

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<sup>49</sup> Samuel A. Floyd, Jr., "The Invisibility and Fame of Harry T. Burleigh: Retrospect and Prospect," *Black Music Research Journal* 24, No. 2 (Autumn, 2004): 182.

<sup>50</sup> Ibid.

<sup>51</sup> Ibid., 184.

<sup>52</sup> Ibid., 182.

<sup>53</sup> Ibid., 189-190.

Burleigh's use of vernacular spirituals places him more in the tradition of the European nationalist composers like Dvořák, Chopin, Smetana, and Bartók.

Harry Burleigh clearly influenced Dvořák's impression of spiritual tunes and their use in composition, and he continued to create art songs based on spiritual tunes, while many other American composers, including MacDowell, dismissed the Bohemian's advice for creating a national school. Burleigh may have also influenced the following generation of African-American composers, including Robert Nathaniel Dett and Harry Lawrence Freeman, as Floyd suggests.<sup>54</sup> Burleigh did not write large-scale symphonies or operas, like the following generation of African-American composers. He composed 140 solo art songs, choral works, *Southland Sketches* and *Six Plantation Melodies*, both for violin and piano, as well as a piano piece, *From the Southland*.

The first generation of American concert music composers writing after the end of the American Civil War largely created European-inspired works, focusing on writing abstract motivic music, much like their European counterparts, especially inspired by the music of Mendelssohn, Schumann, and Brahms. As teachers, these composers passed down these traditions to their students, in the case of Horatio Parker, this includes both Charles Ives and David Stanley Smith. MacDowell and Burleigh show the influence of program and nationalistic music, following more closely the works of Liszt, Wagner, and the European nationalist composers. The second generation of American concert composers shows a more diverse variety of styles, writing European absolute

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<sup>54</sup> Ibid., 183.

music, nationalistic music based on Dvořák's advice, as well as Impressionist works and pieces based on jazz idioms.

Daniel Gregory Mason (1873-1953) continued the traditions of the Second New England School into the next generation of American concert music composers, although some of his works incorporate folk and African-American themes. Mason was born in Boston, and studied with John Knowles Paine at Harvard University, though he found him "unsatisfactory," as a music teacher.<sup>55</sup> Mason later studied with George Whitefield Chadwick and eventually traveled to France to study with Vincent D'Indy, whom he greatly admired for showing him an appreciation for following "an unbroken strain of tradition."<sup>56</sup> Upon his return to the United States, Mason settled in New York City as MacDowell professor of music at Columbia University, where he taught from 1929 until 1940.<sup>57</sup>

Mason's compositional style continues the tradition of the Second New England School, writing symphonies, choral works, chamber music, and art song. He valued the artistry of Wagner, Tchaikovsky, Liszt, and Strauss, although he found their style excessive, sensationalistic, and unbalanced, characteristics which he tried to avoid in his works.<sup>58</sup> Mason did not care for the Impressionism of Debussy or Ravel either, preferring the German style of Brahms and absolute music.<sup>59</sup> Mason's own works reflect this style, although he often incorporated references to American ideas in the titles of his works, including his *Symphony No. 3, "A Lincoln Symphony," Op. 35*, and his *Chanticleer Overture*, which

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<sup>55</sup> Chase, 380.

<sup>56</sup> Ibid., 379.

<sup>57</sup> Ibid.

<sup>58</sup> Ibid.

<sup>59</sup> Ibid.

quotes passages from Thoreau's *Walden*. Many of his compositions include suggestive titles, and some use African-American folk songs and other sources for musical borrowing, but Mason never sought to write purely nationalistic music, but instead cultivate an American music that continues in the "unbroken strain of tradition," taught by his studies with Paine, Chadwick, and D 'Indy. In addition to three symphonies, Mason composed arts songs, sonatas for violin, clarinet, three string quartet works, as well as keyboard works for both piano and organ.

Mason's career continues the tradition of the Second New England School's emphasis on creating not simply "American" concert music works, but concert music that could fit within the greater oeuvre of classical music, alongside the works of Mendelssohn, Brahms, Verdi, and other European composers. David Stanley Smith also fits in with this goal, though with less use of folk music in his works. Smith will be discussed in detail later in this chapter.

Many American concert music composers of the second generation looked beyond German Romanticism and the Second New England School composers for inspiration for their works. Like Harry Burleigh of the previous generation, Arthur Farwell (1872-1952) responded to Dvořák's recommendations for a path to an "American" national style by writing music based on African-American and Native American folk songs and themes. Farwell spoke adamantly about the need for less reliance on specifically German traditions, first arguing for a more diverse national taste, stating, "we must...cease to see everything through German spectacles."<sup>60</sup> He further stated that we must "[make] thorough acquaintance of Russian and French music of the present," so that American composers no longer

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<sup>60</sup> Arthur Farwell in Chase, 392.

fear using an “unusual combination of notes,” notes that are not part of German Romantic harmony.<sup>61</sup>

Farwell studied composition with Rudolph Gott and Homer Norris in Boston, and took a few lessons with George Chadwick.<sup>62</sup> After completing a degree in engineering at the Massachusetts Institute of Technology, he traveled to Germany to study with Engelbert Humperdinck and Hans Pfitzner from 1897-1899, and then with Alexandre Guilmant in France.<sup>63</sup> Farwell had a similar education to both Daniel Gregory Mason and David Stanley Smith, first studying with teachers in the United States and then traveling to Germany and France to further his studies with European composers. Upon his return to the United States, in May 1899, Farwell began teaching at Cornell University, and remained on faculty until resigning in 1901.<sup>64</sup>

Farwell’s music reflects his response to Dvořák’s suggestion of incorporating African-American spirituals and Native American folk idioms into American concert music. His most famous works center around Native American idioms and Native American cultural practices, including his *Impressions of the Wa-Wan Ceremony of the Omahas* for piano, *From Mesa and Plain, Op. 20* for piano, and *American Indian Melodies, Op. 11*. In addition to composing music based on Native American themes, Farwell worked to support the publication of concert music by other American composers centered on Native American themes. Through the Wa-Wan Press, Farwell published the works of thirty-seven

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<sup>61</sup> Ibid.

<sup>62</sup> Struble, 70.

<sup>63</sup> Ibid.

<sup>64</sup> Ibid.

composers. While not simply hoping to publish only “Indianist” works exclusively, many compositions published were based on Native American themes as well as African-American music.<sup>65</sup>

Charles Wakefield Cadman (1881-1946), like Farwell, was interested in writing concert music based on Native American themes, as well as program music in general. Cadman, born in Johnstown, Pennsylvania, was one of the first American composers completely educated in the United States.<sup>66</sup> Cadman sold music door-to-door to pay for his music lessons.<sup>67</sup> Cadman spent his early adulthood among the Omaha tribes, recording their music during the summer of 1909.<sup>68</sup> From this, Cadman developed an affinity for Native American themes and many of his compositions from this period are based on these themes, including: *From the Land of the Sky-Blue Water*, *Thunderbird Suite*, and his opera *Shanewis*.

Cadman believed not only in Native American themes, but uniquely American themes as source material for concert music. In a 1927 interview, Cadman stated,

Our country has sources for music as American as the Stars and Stripes, as true as the Declaration of Independence, and as enduring as the Constitution – sources as profound and thrilling as those of any other land, and we have composers capable of translating our history and our national development into music.<sup>69</sup>

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<sup>65</sup> Ibid., 71.

<sup>66</sup> Robert W. Baisley, “Charles Wakefield Cadman: Completely American,” *Music Educators Journal* 61, No. 9 (May, 1975): 56.

<sup>67</sup> Ibid.

<sup>68</sup> Ibid.

<sup>69</sup> Charles Cadman in Baisley, 58.



In addition to his Native-American based works, Cadman wrote works based on Americana, including *A Witch of Salem*, *Huck Finn*, and *Dark Dances of the Mardi Gras*. He also composed a symphony, multiple operas, orchestral suites, *A Mad Empress Remembers* for solo cello and orchestra, and a variety of chamber music works.

Charles Griffes (1884-1920) was born in Elmira, New York, and initially studied the piano before taking composition lessons with Mary Selena Broughton. Broughton sent him to Germany in 1903 to enroll at the Stern Conservatory in Berlin.<sup>70</sup> Unhappy with his conservatory lessons, Griffes sought extra lessons with Engelbert Humperdinck.<sup>71</sup> He returned to the United States in 1907 and began teaching at the Hackley School for boys in Tarrytown, New York.<sup>72</sup>

Even though Griffes education was largely in Germany, and his early works are German art songs, his style is largely not reflective of the German romantic tradition. Griffes stated, “When I began to write, I wrote in the vein of Debussy and Stravinsky; those particular wide-intervalled dissonances are the natural medium of the composer who writes today’s music.”<sup>73</sup> Griffes shared Debussy’s affinity for sounds of the Far East, writing songs for voice and piano entitled *Five Poems of Ancient China and Japan*, and *Sho-Jo*, a pantomime drama.<sup>74</sup> In addition to Impressionism and pieces based on oriental themes, Griffes wrote a string quartet based on Native American themes, *Two Sketches*

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<sup>70</sup> Struble, 74.

<sup>71</sup> Chase, 519.

<sup>72</sup> Ibid.

<sup>73</sup> Edward Maisel, *Charles T. Griffes: The Life of an American Composer*, 2d ed. (New York: Alfred A. Knopf, 1984), 112.

<sup>74</sup> Chase, 521.

*Based on Indian Themes*. He was encouraged in composition by Arthur Farwell.<sup>75</sup> Griffes also composed four works for chorus, a number of sketches and short fantasy pieces for piano, an orchestral overture, and some works for a variety of chamber ensembles.

Two years before his death, Griffes complained, “I don’t want the reputation of an Orientalist and nothing more,” and wrote several pieces based on abstract themes.<sup>76</sup> These include his Piano Sonata, published posthumously in 1921, and two orchestral works, his *Notturmo for Orchestra*, and his *Poem for Flute and Orchestra*. Griffes never wanted to be associated with one particular genre, and his music reflects a sense of eclecticism and exploration, writing Impressionistic works, pieces based on oriental and Native American themes, as well as German art song and abstract instrumental music.

John Alden Carpenter (1876-1951) was one of the first composers to incorporate jazz idioms in his compositions. Carpenter was born in Park Ridge, Illinois and studied composition with John Knowles Paine at Harvard University. Like Ives, Carpenter pursued composition as an avocation; his main employment was with George B. Carpenter & Co., his family’s business.<sup>77</sup> In addition to Paine at Harvard, Carpenter took lessons with Edward Elgar in Rome and in Chicago with Bernhard Ziehn.<sup>78</sup>

Even though his training was mainly from German and English inspired teachers, Carpenter’s style was often characterized as impressionistic, like

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<sup>75</sup> Chase, 520.

<sup>76</sup> Hitchcock, 146.

<sup>77</sup> Felix Borowski, “John Alden Carpenter,” *The Musical Quarterly* 16, no. 4 (Oct., 1930): 450.

<sup>78</sup> *Ibid.*, 451.

Griffes.<sup>79</sup> Many of his works are programmatic, including his *Adventures in a Perambulator*, *The Birthday of the Infanta*, *Skyscrapers*, and *A Pilgrim Vision*. Many of his works incorporate jazz and popular styles and ideas into concert music, especially his pantomime, *Krazy Kat*, which is based on a comic strip popular in Carpenter's lifetime. His ballet, *Skyscrapers* was commissioned by Sergey Diaghilev for the Ballet Russes, but was premiered at the Metropolitan Opera House in New York in February, 1926.<sup>80</sup> *Skyscrapers* uses jazz idioms as well as jazz-inspired instrumentation, including saxophones, conga drums, and banjo. In addition to these works, Carpenter also composed two symphonies, a set of jazz orchestra pieces, a violin sonata, a string quartet, some short piano works, and a variety of arts song in French and English.

The second generation of American concert composers shows the decline of reliance on a purely German form of romanticism. No longer so strongly allied to one style of composition, American composers of this generation composed within a continuum of styles. While Daniel Gregory Mason and David Stanley Smith continued to refine traditional European abstract music, not seeking to create a uniquely "American" style, Farwell and Cadman responded to Dvořák's call for using Native American themes in their attempt to create a national American style. Ives encouraged American audiences to work to understand increasingly difficult harmonies and musical ideas in his music, which quote hymn tunes, popular songs, and patriotic tunes. Griffes and Carpenter were both tied more closely to the French Impressionists, Debussy and Ravel, and Carpenter

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<sup>79</sup> Chase, 510.

<sup>80</sup> Ibid.

also began to use jazz idioms in American concert music that became extremely popular in his lifetime and encouraged and inspired the use of jazz idioms in the music of the third generation of American concert music composers.

The third generation of American concert music composers brought further innovation and a broader source of inspiration than previous generations. While some composers sought to bring a broader segment of the American population to concert halls by including more jazz and popular themes in their compositions, creating a more idiosyncratic American style, others sought innovation and a more “serious” art through abstract works and experimental music. These composers, all born around the turn of the twentieth century, were a full generation removed from the Second New England School, and yet still were struggling with the question, “What is our national style of music?”

Roger Sessions (1896-1985) was born in Brooklyn, New York, and admired the music of Richard Strauss and Richard Wagner. He wrote his first opera at the age of twelve, before entering Harvard University.<sup>81</sup> After studies at Harvard, Sessions took further lessons with Horatio Parker at Yale. Later, he followed Ernest Bloch to Cleveland and then to Italy and finally Berlin, studying with him at each location.<sup>82</sup> According to Gilbert Chase, critics claim that Sessions is linked closely in style to Igor Stravinsky, while others claim him to be an “American Brahms.”<sup>83</sup> Sessions taught composition at Smith College and later Princeton University and the University of California, Berkley.

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<sup>81</sup> Chase, 525.

<sup>82</sup> Ibid.

<sup>83</sup> Ibid.

Stylistically, as noted previously, Sessions is challenging. He adapted the influence of Bloch, Stravinsky, Strauss, and Wagner. He was not concerned with the progress of a national school of composition, but instead with the creation of his unique, personal music. His music reflects the work of a composer interested in abstract concert music, and not in creating “Americana,” or program works based on any particular national themes. Sessions wrote nine symphonies, *Concerto for Orchestra*, a one-act opera, *The Trial of Lucullus*, a piano concerto, two string quartets, *Six Pieces for Violoncello*, and a variety of other works, including a cantata on Walt Whitman’s *When Lilacs Last in the Dooryard Bloom’d*. Over the course of his career, Sessions changed styles, beginning as a neo-classicist, and eventually became a serial composer.

As a teacher, Sessions had a profound impact on many composers. Over the course of his career, Sessions taught at Smith College, Princeton University, the University of California, Berkley, and as faculty chair at Harvard and Juilliard.<sup>84</sup> During his career, he taught the American composers Milton Babbitt, Leon Kirchner, David Diamond, John Harbison, and Ellen Taaffe Zwilich, and the British composer Peter Maxwell Davies, among many others. According to his students, Sessions did not try to force a particular compositional style or his own ideas on them, but rather to “develop the inherent qualities of those students’ individual ideas.”<sup>85</sup>

Like Sessions, Walter Piston (1894-1976) did not seek to write purely “American” music, but rather great music within the western concert music

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<sup>84</sup> Struble, 157.

<sup>85</sup> *Ibid.*, 159.

tradition. Piston initially went to the Massachusetts School of Art, to study art before attending Harvard, and studying with Virgil Thomson.<sup>86</sup> After graduating, Piston studied in Paris with Nadia Boulanger for two years. Appointed to the faculty of Harvard University in 1926, Piston was unhappy with the “standardized academic routine” with regard to harmony and counterpoint, and wrote four textbooks, *Principles of Harmonic Analysis*, *Harmony*, *Counterpoint*, and *Orchestration*.<sup>87</sup>

Piston’s style is exemplary of neoclassicism. His *Symphonic Piece for Orchestra* is evidence of his study of the Baroque and Classical styles. In addition, Piston composed eight symphonies, two suites for orchestra, overtures, toccatas, fugues, and other symphonic works. Other works include *Three Pieces for Flute, Clarinet, and Bassoon*, two violin concertos, his *Variations for Cello and Orchestra*, five string quartets, a piano sonata, an organ work, *Chromatic Study on the Name of BACH*, choral works and a number of other chamber music pieces.

Walter Piston’s influence on the education of future generations of students is evident in his teaching at Harvard as well as his writing and publishing. Piston’s *Harmony* remains an extremely popular music theory textbook across the United States. While at Harvard, Piston taught Elliot Carter, Harold Shapero, Leonard Bernstein, and Arthur Berger among others. Piston is credited, according to Gilbert Chase with bringing neoclassicism to Harvard.<sup>88</sup> Piston’s works have remained in the repertoire and are performed more frequently

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<sup>86</sup> Struble, 163.

<sup>87</sup> Chase, 558.

<sup>88</sup> Ibid.

than those of his colleague and contemporary, Roger Sessions.<sup>89</sup> These two composers represent a continuation of the goals of composers from the Second New England School, uninterested in creating a purely “American” form of music, but creating American compositions equally important to American audiences as to audiences and composers worldwide.

Henry Cowell (1897-1965) was a musical progressive, concerned with creating new sound possibilities using western instruments, especially the piano. Cowell studied with Charles Seeger at the University of California, Berkley beginning in 1914. Cowell and Seeger were interested in what they called “dissonant counterpoint,” a method of composing works of species counterpoint, but with the traditional rules reversed, where dissonances are the goal and consonances must be resolved.<sup>90</sup> Out of his experimentation, Cowell wrote his book, *New Musical Resources*, which discusses new methods of using tonal materials, as well as new ways of playing traditional instruments, especially the piano. Later in life, Cowell became a champion of the music of Charles Ives, writing a biography of the composer. Cowell also supported the performance of contemporary works through his quarterly journal, *New Music*, publishing works of Adolph Weiss, John Becker, and Ruth Crawford Seeger.<sup>91</sup>

Stylistically, Cowell is unique in that many of his works incorporate innovative techniques for playing instruments, while often using traditional forms. His work, *The Tides of Manaunaun* features sweeping melodic material, similar to Edward MacDowell, accompanied by roaring clusters of notes produced by the

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<sup>89</sup> Struble, 165.

<sup>90</sup> Struble, 261.

<sup>91</sup> Hitchcock, 187.

left forearm on the piano.<sup>92</sup> His *Banshee* calls for the pianist to strike and scrape the strings of the piano. Other works call for a combination of a traditional instrument and non-traditional accompaniment, like his *Adagio for Cello and Thunderstick*. In addition to these experimental works, Cowell composed three string quartets, a set of eighteen *Hymn and Fuguing Tunes* for various instruments, vocal works, chamber music and symphonies.

While Cowell wrote experimental works, and Sessions and Piston wrote concert music based on abstract themes and were concerned with writing pieces that fit into the larger context of western concert music, two composers, George Gershwin and Aaron Copland, were concerned with writing music that was more accessible to the mainstream American public, while still writing very sophisticated works. George Gershwin (1898-1937) was an extremely successful composer of commercial music, writing popular songs like “Swanee,” as well as music for musical theater, including scores for *Funny Face*, *Show Girl*, and *Girl Crazy*. In addition to his commercial music, Gershwin was fascinated by concert music, and studied composition with Rubin Goldmark, Henry Cowell, and Joseph Schillinger.<sup>93</sup> His continued studies throughout his career are the result of his belief that “a composer needs to understand all the intricacies of counterpoint and orchestration, and be able to create new forms for each advance in his work.”<sup>94</sup>

Gershwin’s concert music shows his blurring of the boundaries between classical concert music and commercially popular music. Gershwin’s first major concert work, *Rhapsody in Blue*, a work for solo piano and orchestra, features jazz

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<sup>92</sup> Ibid., 186.

<sup>93</sup> Chase, 492.

<sup>94</sup> Ibid.



harmonies and a wealth of jazz-related rhythmic syncopation. The original 1924 edition, which was orchestrated by Ferde Grofé, includes parts for saxophones, banjo, and accordion, though today is performed by a large symphony orchestra.<sup>95</sup> In addition to *Rhapsody in Blue*, Gershwin composed a number of other works that used jazz idioms within a classical context, including his *Concerto in F*, *Three Preludes for Piano*, *An American in Paris*, *Variations on "I Got Rhythm,"* and two operas, *Blue Monday*, and *Porgy and Bess*. By incorporating the jazz idioms into concert music, Gershwin created both concert music that was popular with a wide segment of the American population, along with concert music based on one of America's forms of folk music as Dvořák had urged twenty years earlier.

Aaron Copland (1900-1990) also wrote concert music hoping to bring a wider audience to concert halls, but from a different perspective than Gershwin. While Gershwin started his career writing commercial music, Copland began his career in the concert music field directly. Copland, born in Brooklyn, New York, studied with Rubin Goldmark before traveling to France to study at the Fontainebleau Conservatory with Nadia Boulanger. Boulanger was a strong influence and supporter of Copland, commissioning his First Symphony for organ and orchestra.<sup>96</sup> Boulanger was a strict teacher, grounding her students in the fundamentals of European compositional technique, a level of precision evidenced in Copland's work.<sup>97</sup>

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<sup>95</sup> Chase, 493.

<sup>96</sup> Chase, 496.

<sup>97</sup> Struble, 127-128.

Copland's musical style shifted over the course of his career. His most famous early work, the *Piano Variations* from 1930, is an example of his abstract serious tone, and related more to the work of Schoenberg and the Second Viennese School than his later populist works. Some of Copland's early works also show the inspiration of Stravinsky and neoclassicism. His *Music for the Theater* is a suite in five movements, including a "Dance," an "Interlude," and a "Burlesque." The "Dance" movement shows his early use of American jazz techniques in his concert music.<sup>98</sup> Copland's compositional style shifted as a result in part of his view that works like the *Piano Variations* and *Statements for Orchestra* are "difficult to perform and difficult for an audience to comprehend."<sup>99</sup> He feared that he and other contemporary composers "were in danger of working in a vacuum," and that he needed to write music in "the simplest possible terms."<sup>100</sup> Copland was seeking a way to alter the relationship between composer and public, and to galvanize audiences to enjoy the works of new composers, rather than composers of past eras.

His later works are the result of his efforts to write a simpler music. Among these, his *El Salón México* is based on music he heard in a popular dance hall in Mexico City, Mexico. Other populist works include his *Appalachian Spring*, a ballet commissioned by Martha Graham, *Lincoln Portrait*, which includes a narrator reciting excerpts from speeches by President Abraham Lincoln, and the ballets *Billy the Kid*, and *Rodeo*. While all of these works contain programmatic themes, even his abstract works reflect a shift towards "a simpler

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<sup>98</sup> Chase, 497.

<sup>99</sup> Ibid., 499.

<sup>100</sup> Ibid., 499-500.

music” in his compositions. Copland’s Third Symphony, while not having any jazz or popular idioms, is an example of what Copland believed was “unconscious Americanism,” a theory that “if an American composer writes his own kind of music that the result will *ipso facto* be ‘American.’”<sup>101</sup> The final movement of the Third Symphony opens with the popular *Fanfare for the Common Man*. Copland composed three symphonies, a number of populist works for orchestra, his *Piano Variations*, as well as music for films, winning the 1949 Academy Award for best film score for music for the film, *The Heiress*.<sup>102</sup>

Ruth Crawford Seeger (1901-1953) stood at odds with the populist movement. Seeger studied with her future husband, Charles Seeger in New York before traveling to Europe where she studied the music of Alban Berg and Béla Bartók.<sup>103</sup> Seeger’s compositions are atonal, but she never employed the twelve-tone method of Schoenberg. She was a serialist composer, employing serial techniques to parameters other than pitch, most notably to dynamics, which were termed, “contrapuntal dynamics.”<sup>104</sup>

Seeger’s works fit into two categories, her early serialist works, which are abstract concert music, and her later works, which are based on her exploration of American folksongs. Her most famous serial pieces are her *String Quartet* and her *Violin Sonata*. In addition to her serial pieces, she collected American folk songs for use in her works, just as Bartók had done with Hungarian folk music. Seeger’s folk song pieces continue the work started by Burleigh and Farwell as first

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<sup>101</sup> Ibid., 502.

<sup>102</sup> Julia Smith, *Aaron Copland*. (New York: E.P. Dutton & Co., 1953): 215.

<sup>103</sup> Joseph Horowitz, *Classical Music in America: A History of Its Rise and Fall*, (New York: W.W. Norton & Co., Inc., 2005): 458.

<sup>104</sup> Chase, 582.

suggested by Antonín Dvořák. Among her folk-inspired works are her *Nineteen American Folk Songs for Piano* and *American Folk Songs for Children*. Seeger collaborated with Carl Sandburg for her *Three Songs to Poems by Carl Sandburg*. She wrote no symphonic works, but a number of piano pieces and chamber music, and was an important American musicologist.

The third generation of American concert music composers brought innovation and new ideas to the question, “What is our national music?” While some chose to produce abstract works that were American simply by being composed by an American author, others added folk music and jazz idioms to their works, continuing to find new responses to Dvořák’s appeal for a national school of American music based on indigenous song. Composers were asked what the shape of our national musical style will look like, and many responded saying that we will not have one particular defining characteristic like other countries, but a diverse blend of influences and styles.

Howard Hanson, a contemporary of both David Stanley Smith and Charles Ives, addressed the convention of the Music Teachers National Association in 1926 with regard to these questions. In his address, Hanson stated, “If you want to develop a type of serious music of so marked a character that you will say immediately on hearing it, ‘Ah, that is American music’ I do not believe that you will succeed.”<sup>105</sup> Hanson argued that no one school or style will dominate American composition like the nationalistic traditions of many European nations. He said that instead a number of regional schools would

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<sup>105</sup> Howard Hanson, “Creation of an American Music,” Paper Presented at the annual meeting of the Music Teachers National Association, Rochester, NY, December 28 – 30, 1926: 236.

develop which incorporate a variety of different musical ideas and possibly some new styles as well.<sup>106</sup> He contended further that the best way to help cultivate these American schools is to publish more of the music of young, living American composers and to pursue more public performances of their works.<sup>107</sup>

David Stanley Smith and Charles Ives both fit within the second generation of American concert music composers. David Stanley Smith (1877-1949) was born in Toledo, Ohio and studied at Yale with Horatio Parker. As mentioned previously, Parker's music was frequently performed in New York, as well as in Europe and received much acclaim. Smith modeled himself on Parker and the Second New England School composers by continuing his education in Europe, studying with Charles Widor and later becoming a member of the Yale School of Music faculty. Smith had an opportunity to study with Vincent d'Indy while in France, but declined, wanting to focus on his studies with Widor.<sup>108</sup> He succeeded Parker as Dean of the School of Music in 1920 and retired in 1946.

Smith's compositional style is modeled after European Romanticism, heavily influenced by his teacher, Parker, and specifically characteristic of the music of Johannes Brahms. Smith uses high classical forms, motivic development, traditional late Romantic harmony, and abstract themes to create abstract instrumental works. In his *Three Poems for Violoncello and Piano, Op. 97bis*, Smith uses a cycle of thirds progression within each movement and within the larger three-movement work, akin to the style of late German romanticism. It

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<sup>106</sup> Ibid., 239.

<sup>107</sup> Ibid., 239-240.

<sup>108</sup> Letter from David Stanley Smith to Horatio Parker, Dated 16, December, 1902. MSS 31, The David Stanley Smith Papers in the Irving S. Gilmore Library of Yale University.

is striking that he is using a tonal plan reminiscent of the late nineteenth century as late as 1947. According to Mary Hubbell Osburn, “Smith’s compositions show the harmonic power and skill of a master, and are counted among the best of American music.”<sup>109</sup> Often, as in his *Violoncello Sonata, Op. 59*, he quotes Gregorian plainchant, and other European sources in contrast to his Yale colleague, Ives, who uses English-language hymn tunes in his works. While Smith does quote plainchant in this work, he does not develop it as primary thematic material, but rather as a new theme in the development section of the second movement. Both works, the *Violoncello Sonata, Op. 59* and the *Three Poems for Violoncello and Piano, Op. 97bis* will be discussed in greater detail later in this document.

David Stanley Smith, throughout his career as professor, was asked about using jazz and folk idioms in concert music. In an interview for *The Sun* in 1918, Smith said about using Native American and African American music as source material:

I never write any articles for musical magazines, but now and then I have opinions, particularly about how it is said now, American composers should build their compositions upon negro and Indian themes. For my part I prefer to take what I find myself and make it as beautiful as I can, rather than to adapt the feeling of two races with which I have nothing in common but geographical locality.<sup>110</sup>

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<sup>109</sup> Mary Hubbell Osburn, *Ohio Composers and Musical Authors*. (Columbus: F.J. Heer Printing Co., 1942): 172.

<sup>110</sup> Chloe Arnold, “Says American Music Must Be Composite,” *The Sun*, 26 May, 1918. MSS 31, The David Stanley Smith Papers in the Irving S. Gilmore Library of Yale University.

This statement echoes Hanson's sentiment that while he admires both African-American and Native American music, he is not a part of either race, and so his creating music based on those sources would be flawed, though he does admit that some good works written by American composers do feature Native American and African-American themes.<sup>111</sup> While Smith believed jazz should be a part of the music curriculum of schools and colleges, he cautioned the listener from holding symphonic composers to different standards than jazz composers. Smith warned composers against writing to be in "a perfectly safe and profitable conformity to the style of the moment," instead seeking the "energy, aspiration, the spirit of adventure, [and] a loving look to the past and a hopeful look to the future," in abstract symphonic composition.<sup>112</sup>

Smith catalogued his favorite works in his "musical will," written for his wife in September 1949. Among the listed works, he includes his *Prince Hal Overture, Op. 31*, his *Violin Sonata, Op. 51*, the *Violoncello Sonata, Op. 59*, his *Cathedral Prelude for Organ, Op. 54*, and his *Fête Galante for Flute, Op. 48*.<sup>113</sup> In addition to these works, Smith composed an opera, *Merrymount*, ten string quartets, five symphonies, two violin concertos, and choral music and art song.

As a faculty member at Yale, Smith taught composition classes alongside his teacher and mentor, Horatio Parker, and eventually succeeded Parker as Dean of the school in 1920. Smith's most famous pupil was Quincy Porter. As Dean of

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<sup>111</sup> Hanson, 233.

<sup>112</sup> David Stanley Smith, "The Attitude of the Teacher Toward Modern Music," *The Musician* 31 (Aug., 1926): 30. MSS 31, The David Stanley Smith Papers in the Irving S. Gilmore Library of Yale University.

<sup>113</sup> David Stanley Smith, "My Musical Will," dated 29 September, 1949. MSS 31, The David Stanley Smith Papers in the Irving S. Gilmore Library of Yale University.

the School of Music, Smith was responsible for the growth of the building space and in no small measure the reputation of the Yale School of Music. During his tenure, Smith helped begin the construction of Albert Arnold Sprague Memorial Hall, which Yale University still uses today.

Charles Ives (1874-1954) was born in New Haven, Connecticut and came to Yale to study with Horatio Parker, but unlike Smith, did not follow Parker's ideas and career decisions. Ives had previously studied music from childhood with his father, George Ives, a municipal bandleader, who taught him strict rules of form, harmony, and counterpoint, but then would teach his son to break those very same rules. Ives withheld his experimental pieces from Parker and eventually parted ways with his teacher entirely. Ives eschewed an academic career and instead pursued a successful career in the insurance industry. While working in the insurance industry, Ives continued to compose music. Unfettered by musical society, he continued producing his experimental compositions, often while criticizing the musical establishment. Ives often supported the performance of his works by sending copies of music to admiring students and performer, as well as financially subsidizing performances by concert promoters.<sup>114</sup>

Ives's music is certainly progressive for its time. He often quotes American hymn music, but not in a traditional way. Rather than stating his quotation at the beginning of a work and then breaking it down into fragments for compositional development as most composers do, he begins with the fragments and over the course of the piece "develops" these fragments into the final

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<sup>114</sup> Owens, Tom, ed. "Selected Correspondence 1881-1954," In *Charles Ives and His World*, edited by J. Peter Burkholder. (Princeton: Princeton University Press, 1996), 254-255.



statement of the entire musical quotation, which typically occurs at the end of the piece. This “cumulative form,” as J. Peter Burkholder describes, is one of his most common practices in sonata form movements, as demonstrated in the first movement of his Fourth Violin Sonata. Ives’s formal style is often misinterpreted as simply an antithesis to high Classical European form. Instead, Ives’s formal style is demonstration of his synthesis of European musical form with his own unique stylistic traits. As Burkholder states, Ives creates new ways of following the traditional rules and logic.<sup>115</sup> His personal style is an example of Tocqueville’s larger belief about American society’s use of science, literature and the arts:

It is therefore not true to say that men who live in democratic cultures are naturally indifferent to the sciences, literature, and the arts; one must only recognize that they cultivate them in their own manner, and that they bring in this way the qualities and faults that are their own.<sup>116</sup>

In this way, Ives begins to form his own unique and progressive niche of American concert music.

David Stanley Smith was asked about the national style of American concert music composition. Smith argues against the worries of many composers and even the press with regard to American music comparing favorably against European composers. He says, “We will have to overcome a fear which I feel some of our advanced musicians are subject to: that our music be less elaborate than Strauss’s, or that it be lacking in the subtlety which would appeal to Ravel’s

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<sup>115</sup> Burkholder, J. Peter, “Ives and the European Tradition,” In *Charles Ives and the Classical Tradition*, edited by Geoffrey Black and J. Peter Burkholder. (New Haven: Yale University Press, 1996), 15.

<sup>116</sup> Alexis de Tocqueville, *Democracy in America*, translated by Harvey Mansfield and Delba Winthrop. (Chicago: University of Chicago Press, 2000), 432-433.

fastidious taste.”<sup>117</sup> Smith said that rather than adapt any particular niche or style trait common to the whole country that American music need to incorporate a “natural style.”<sup>118</sup> He continues...

The current discussion about Americanism in music has, however, brought out much that is valuable. I agree that there should be a more natural expression on the part of our composers and a consequent breaking away from European models and traditions.<sup>119</sup>

Smith states that a natural style is “something more than a conscious assimilation of influences...It is wholly a personal and subjective expression.”<sup>120</sup> The wholly personal and subjective expression of both Charles Ives and David Stanley Smith evidenced in their compositions is what separates the two composers and explains how two students, who studied together with the same mentor at the same school, wrote music in remarkably different styles of composition and had entirely different careers.

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<sup>117</sup> David Stanley Smith in Chloe Arnold, “Says American Music Must be Composite,” *Sun*. May 26, 1918. MSS 31, The David Stanley Smith Papers in the Irving S. Gilmore Music Library of Yale University.

<sup>118</sup> *Ibid.*

<sup>119</sup> *Ibid.*

<sup>120</sup> *Ibid.*

#### IV. ANALYSIS OF THE CELLO WORKS OF DAVID STANLEY SMITH

##### *SONATA FOR VIOLONCELLO AND PIANO, OP. 59*

David Stanley Smith wrote his *Sonata for Violoncello and piano, Op. 59* in 1928, and G. Schirmer published it the following year. He dedicated the work to his Yale colleague, cellist Emmeran Stoeber. The B-flat major sonata is in two movements, the *Largo-Allegro Appassionato* and the *Andante-solemne-Sanctus-Allegro*. Interestingly, the sonata begins in the C Dorian mode, which shares the same key signature as B-flat major. Throughout both movements, Smith incorporates key centered tonality and modes. His use of modes is especially suitable in his second movement, because it directly quotes a 10<sup>th</sup> century plainchant melody, which historically would have been set in a modal harmony. Both movements end in the key of B-flat major, creating a harmonic trajectory over the course of each movement by ending in a different key than they began. This is unconventional. The first movement travels from C Dorian to B-flat major, and the second movement begins in B-flat minor, and concludes in B-flat major.

Throughout his sonata, Smith develops themes organically, often immediately following their initial statement, and uses cycle of thirds harmonic relationships in addition key centered tonality and modal harmonies. In the first movement, episodes follow the initial statements of themes. These episodes both develop previous thematic material and foreshadow later themes. The second movement combines three major theme areas into an overall sonata form

movement. Emmeran Stoeber and Bruce Simmonds premiered the sonata at Yale in 1929, and Stoeber and James Friskin performed it in New York in 1931.<sup>121</sup>

### **LARGO – ALLEGRO APPASSIONATO**

The first movement is modeled on sonata-rondo form, but with several structural departures. It begins with a slow introduction and concludes with a coda. While the overall structure is sonata form, episodes suggest the influence of rondo form. Further, features within the movement suggest alteration from traditional high-classical sonata form. The major boundaries of the movement are as follows: A *Largo* introduction begins the movement, lasting 22 measures before the *Allegro appassionato* exposition begins. The exposition section begins in measure 23 and ends in measure 121. The development section begins in measure 122 and lasts until measure 209. The recapitulation section begins in measure 210 and ends in measure 299. The coda begins in measure 300 and concludes the movement in measure 341.

The tonal plan of the movement presents a combination of modes and key centered tonal harmonies. Both the introduction and exposition begin in C Dorian, which shares a key signature with B-flat major. The development section begins in E-flat major, which has a cycle of thirds relationship to C Dorian. The recapitulation begins in B-flat major. C Dorian returns briefly in the coda before the movement modulates back to B-flat major, concluding the movement. Smith's use of both modes and key centered tonal harmonies creates a trajectory over the

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<sup>121</sup> Goode, 213

course of the movement, beginning in a solemn C Dorian, and concluding in a triumphant B-flat major, providing the listener with a sense of struggle and accomplishment over the course of the movement.

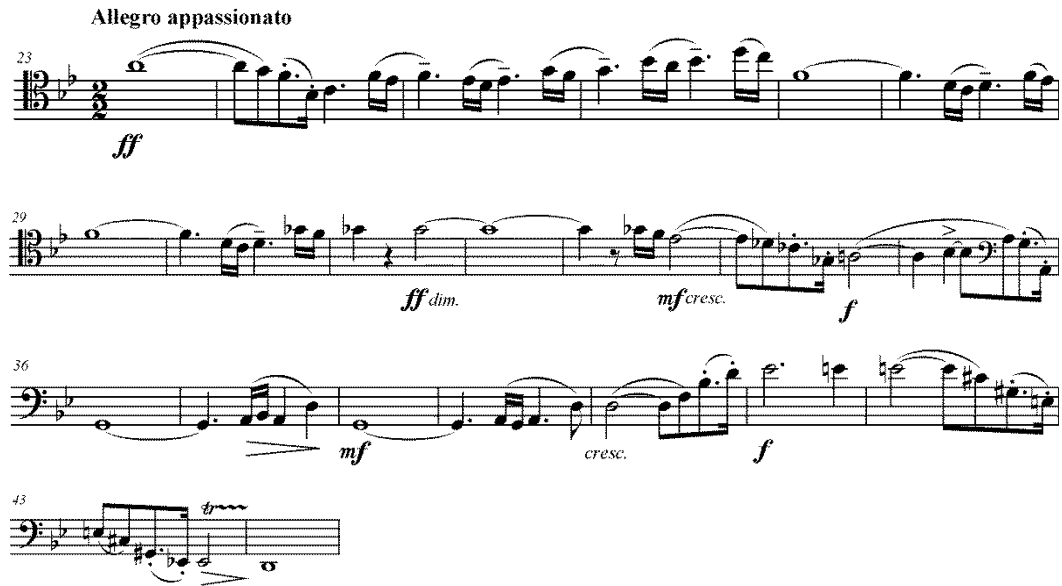
The introduction begins in C Dorian, with a sustained accented “A” in the cello, which lasts two full measures before descending on the second beat of measure three. Underneath this, the piano plays what initially sounds like a cluster chord, but resolves itself into a C Dorian descending scale that ends on the downbeat of measure 3. The cello line descends, creating a motive that will become part of the primary theme in the *Allegro appassionato*. Figure 4.1 shows the opening melody in the cello and the C Dorian scale in the piano accompaniment. The cello melody becomes a cadenza-like figure ascending back to the “A” in measure 9 (see figure 4.1). This cadenza-like figure will recur in measure 19-22. Underneath the second sustained “A” in the cello in measure 9, the piano descends sequentially by step, with a new arpeggio chord each measure, beginning with C Dorian, until it reaches E-flat minor over the span of five measures. In measures 15 -19, the piano part intensifies the texture through lower neighbor motion, as the harmony cycles back to C Dorian. The cello plays trills on the C and G strings, eventually dissolving into the cadenza-like figure at measure 19. This cadenza-like figure ascends until reaching the sustained “A” a third time, which marks the beginning of the exposition, and the first statement of the primary theme.

**Figure 4.1**  
(Measures 1 – 8)

The exposition of the *Allegro appassionato* begins in measure 23 in C Dorian. The primary theme begins in the cello, evolving from the initial motive found in measures 1-4 of the introduction. A sustained “A” descends initially, before a combination of sixteenth note lower neighbor patterns slurred together with sustained dotted quarter notes takes over the melody, creating a rhapsodic theme. Smith uses asymmetrical phrasing throughout this movement, and this primary theme is a great example. The first phrase of the theme lasts five measures (measures 23-27), but the second phrase continues onward, with no clear cadential point until the end of the section at measure 44. Figure 4.2 represents the primary theme found in the cello part. The piano part accompanies

the primary theme with syncopated chords in C Dorian. During the sustained notes in the melody, the piano part becomes more active rhythmically.

**Figure 4.2**  
(Measures 23-44, cello part)



Triplet arpeggios jump out of the texture during beats three and four underneath the cello's sustained notes in measures 27 and 29. Beginning in measure 33, the piano part condenses to ascending triplet and sixteenth note arpeggios, in a harmonic sequence that traverses a C-flat dominant seven, F major seven, C flat dominant seven, D seven, B minor, E minor seven, and concludes on an E minor triad in measure 36. Interestingly, the primary theme never resolves back to the original C Dorian mode, but instead ends in measure 44 in B-flat major, replacing a mode with a tonal key, but maintaining the same key signature. This is a deviation from traditional examples of sonata form, where the primary theme

resolves in the tonic key before a transitional passage modulates to the next tonal area. In addition to tonal deviation from standard sonata form practices, Smith only states the full primary theme once in its original form. After he states the primary theme, a long episode follows, replacing the traditional sonata transition or bridge passage. This passage briefly quotes the primary theme and presents new material as well as foreshadowing the second theme.

An episode in B-flat major begins in measure 44 and concludes in measure 91. This episode has no dominant theme, but instead foreshadows the second theme, using melodic motives from the second theme as the melodic content in both piano and cello parts. Two main fragments, shown in figure 4.3, eventually become central parts of the second theme later in the movement.

**Figure 4.3**  
(Measures 60-66, piano part)

The image shows a musical score for the piano part, measures 60-66. The score is written in B-flat major and 3/4 time. It consists of two staves: a treble clef staff and a bass clef staff. The treble staff begins with a measure number '60' and contains a melodic line with a 'p' dynamic marking and the instruction 'grazioso'. The bass staff contains a supporting line with some rests and chords. The music features a mix of eighth and quarter notes, with some chords and a fermata over the final measure.

(Measures 66-70 cello part)

The image shows a musical score for the cello part, measures 66-70. The score is written in B-flat major and 3/4 time. It consists of a single bass clef staff. The music begins with a measure number '66' and contains a melodic line with a 'grazioso' instruction. The line features a series of eighth notes and quarter notes, with a fermata over the final measure. The dynamic marking 'dim.' is present at the end of the passage.



In addition to foreshadowing the second theme, Smith quotes a fragment from the primary theme in the piano part in measures 71-74, as figure 4.4 illustrates. The accompaniment to these melodic fragments is an eighth-note obbligato passage, first heard in the cello in measure 60, then in piano in measure 66. The harmonic purpose of this episode is motion from B-flat major to D major, which is a major third away. Smith, following the tradition of Johannes Brahms and other late Romantic era composers, often uses cycle of thirds key relationships instead of the Classical tradition cycle of fifths relationships.

**Figure 4.4**  
(Measures 71-74, piano part)



The piano second theme motive continues, while modulating to D major and decreasing in volume. This section ends with a *poco ritardando* and a *diminuendo* to *pianississimo*, which segues into the second theme in D major at measure 91.

The second theme is dominates the next section, beginning in measure 91, and concluding in measure 106. This section is very brief, and focuses on the presentation of the melody with little actual development, because Smith has already presented motives that develop into this melody in the previous section.

The theme is heard in the cello beginning in measure 91. A more confined theme than the rhapsodic first theme, the second theme largely remains within a single octave. The phrase structure is asymmetrical, with a six measure first phrase that concludes on a D major tonic triad, and a longer nine measure second phrase. The theme is heard over a homophonic, uncomplicated accompaniment in the piano. The second phrase, like the conclusion of the primary theme, does not end in the tonic key, but cadences in A major, the dominant chord of D major. Figure 4.5 shows the second theme in the cello part.

**Figure 4.5**  
(Measures 91-105, cello part)

91 *p grazioso*

97 *dim.* *pp*

103 *ppp*

Following the second theme area, an episode, which concludes the exposition of the movement, begins in measure 106 and ends on the downbeat of measure 122. Like the previous episode, there is no dominant thematic material in this section. The cello echoes the final two measures of the second theme, first



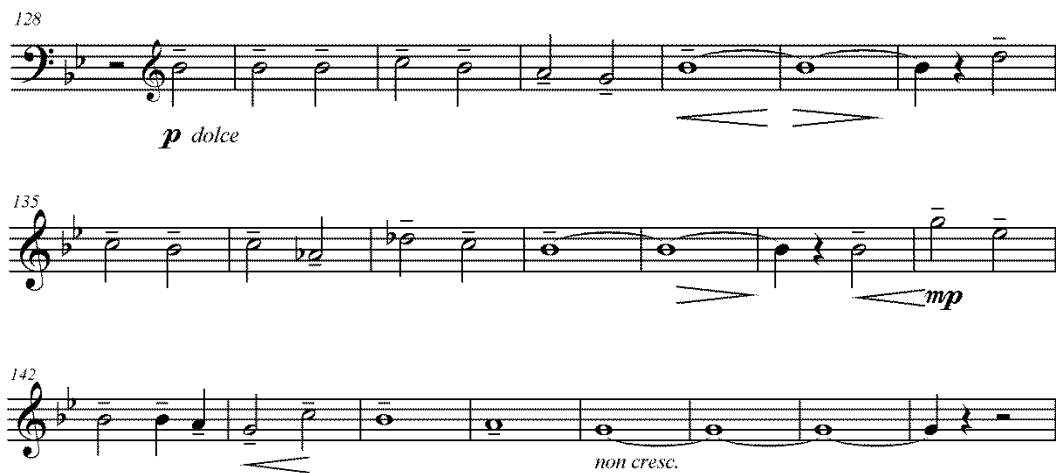
until reaching G minor in measure 134. The second phrase sounds initially like a response, but Smith resolves the phrase with a deceptive cadence, B minor.

**Figure 4.7**  
(Measures 128-134, cello part)



Finally, the third phrase concludes the harmonic cycle, with an E-flat major triad in measure 146, as the cello descends to the third. Figure 4.8 illustrates the complete middle theme in cello and piano.

**Figure 4.8**  
(Measures 128-149, cello and piano)



The middle theme's accompaniment originates from the rhythmic content of the second theme. The piano accompaniment continues the dotted quarter, eighth

pattern that characterized the rhythmic lilt of the second theme. Here, rather than ascending, the pattern becomes part of a diatonic descending scale that answers each statement of the middle theme.

After the full statement of the middle theme, a development of the middle theme ensues, and both the primary theme and the second theme are combined with the middle theme. Smith begins this process using the middle theme in single phrase increments in the piano, interspersed with an inverted fragment derived from the primary theme. In measures 150-167, after each phrase statement, rather than sustaining the final pitch as seen in measures 132-135 and 138-140, the cello interrupts the piano theme with the inverted fragment from the primary theme, as seen in figure 4.9. Underneath, the middle theme accompaniment continues throughout this restatement of the theme.

**Figure 4.9**  
(Measures 150-167)

The image displays a musical score for measures 150-167, consisting of two systems of staves. The top system covers measures 150-156, and the bottom system covers measures 157-167. The score is written for piano and cello. The piano part is in the upper staves, and the cello part is in the lower staves. The key signature is one flat (B-flat), and the time signature is 3/4. The piano part features a series of chords and melodic fragments, with dynamic markings of *f* and *ff*. The cello part features a descending scale pattern, with dynamic markings of *ff* and *ff*. The score includes various musical notations such as slurs, accents, and dynamic markings. The piano part is marked with *f* and *ff*, and the cello part is marked with *ff*. The piano part also includes a section marked *largo* and *more* in measures 165-167. The piano part is marked with *f* and *ff*, and the cello part is marked with *ff*. The piano part also includes a section marked *largo* and *more* in measures 165-167.

After combining the primary theme and the middle theme, the second theme returns. The first measure of the second theme is inverted before the piano plays the first phrase of the middle theme. In between statements of the middle theme, the end of the second theme is heard, as shown in figure 4.10.

**Figure 4.10**  
(Measures 171-179)

The middle theme continues in the piano, while the cello plays a new, rhythmically active *pizzicato* accompaniment that lasts six measures. The cello states an altered form of the middle theme one last time in the end of the development, in measures 184-195. This theme, like the previous two themes, ends in a different key than it began. In this case, the theme concludes in A-flat major, a major fourth away from the development's opening key, E-flat major.

The development concludes with an episode that begins in measure 195 and leads into the recapitulation at measure 210. This episode, like previous episodes, has no dominant thematic material, but continues fragments of previous themes. Here, Smith continues the regular half-note rhythmic pulse from the middle theme in the piano, while the cello ascends two octaves. Harmonically, this brief passage modulates from A-flat major, to C-flat major, another example of Smith's preference for cycle of thirds key relationships. Dynamically, this passage features a large *crescendo* from the *pianissimo* conclusion of the middle theme, to the *fortissimo* return of the primary theme in measure 210.

Beginning in measure 210, the primary theme and the corresponding accompaniment from the exposition both return. While traditionally the recapitulation of the main themes is in the tonic key, Smith recapitulates the primary theme in C-flat major. While this is a significant tonal difference from C Dorian, it maintains the cycle of thirds relationship with the previous development episode. C-flat major is a major third away from A-flat major, the key of the previous section. In the Classical sonata, key relationships were the most significant element in determining structural points in a sonata form movement. By the late nineteenth century, and certainly by the 1920s at the time of this composition, key relationships were only one factor of a number of important factors determining structural points in sonata form.<sup>122</sup> In addition to key relationships, thematic content, dynamics, meter, and motivic elements are all factors that can determine structural points in sonata form. In this instance, the

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<sup>122</sup> Gail deStwolinski, *Form and Content in Instrumental Music*. (Dubuque, IA: William C. Brown Company, 1977) 473.

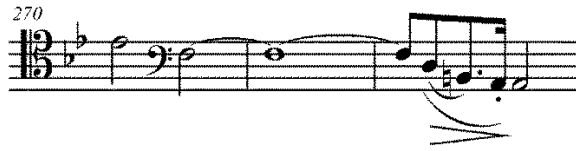
fact that Smith does not immediately return to C Dorian is less important in determining the beginning of the recapitulation than the fact that the primary theme returns in its entirety, with only slight alterations to the contour and the melodic content of the melody. Just like in the exposition, the theme concludes in B-flat major, rather than returning to the tonic key.

After the recapitulation of the primary theme, an episode similar to the first episode (measures 44-91) follows, beginning in measure 229, and ending in measure 249. There is no dominant thematic material here, but instead the same melodic content from episode one returns. Smith maintains B-flat major throughout this episode leading into the recapitulation of the second theme. Because there is no modulation, and since the listener is already familiar with the second theme, the modulating passage from the exposition, measures 60-69, which foreshadows the second theme, does not return, leaving this episode shorter than the exposition's complementary passage.

The second theme returns in measure 249, this time in B-flat major. Its homophonic quarter-note accompaniment also returns in the piano, and just like in the exposition, where the second theme ends in A major, the dominant key of the second theme's original D major, this theme concludes in F major, the dominant key of B-flat major. Interestingly, a false entry of the primary theme at measures 270-272, mirrors a similar statement of the primary theme in measures 118-121. Here, the primary theme material is heard in the cello line and links the end of the second theme's recapitulation with the final episode section of the movement, (figure 4.11), see also figure 4.4.



**Figure 4.11**  
(Measures 270-272, cello part)



An episode in B minor follows the second theme recapitulation, and sounds almost like a new development section. The passage begins in measure 273 and ends in measure 285. Here, the primary theme is reduced to *nervoso* outbursts of sixteenth notes, over a b minor trill in the piano, figure 4.12.

In between these outbursts of the primary theme, the middle theme returns in single statements of each phrase in the piano, foreshadowing the recapitulation of the middle theme. This section, in its combination of primary theme and middle theme statements, is similar to the development passage in measures 150-167, where inverted statements from the primary theme interrupt the middle theme. Here, the primary theme statements are not inverted, but are reduced to sixteenth note *staccato* utterances.

**Figure 4.12**  
(Measures 273-276)

The middle theme returns in full at measure 286, this time in B-flat major. The accompaniment is triumphant, replacing the descending E-flat chant-like simple accompaniment with arpeggios spanning multiple octaves. In measure 294, an *obligato* triplet passage in the piano ensues, before ending in a *fortissimo* fermata in measure 299. The cello presents the middle theme, this time *forte* rather than *piano*, with accents over every pitch, making the theme much more emphatic and forceful than the original statement. The theme ends with a fermata on “A,” with a D major ninth chord underneath, avoiding a sense of conclusion.

Material from the introduction returns, which begins the coda. Figure 4.13 illustrates the return of the trill passage in the cello and the cadenza-like solo cello passage that ascends two full octaves, leading back to the primary theme, and modulating to C Dorian, the original modal harmony of the movement.

**Figure 4.13**  
(Measures 300-313)

The musical score for measures 300-313 consists of three staves. The top staff is for the piano, starting at measure 300 with a *ff* dynamic and a *dim.* marking. The middle staff is for the cello, marked *allegro* and *ff*, with a *pesante* marking. The bottom staff is for the double bass, marked *mp*. The score includes various musical notations such as slurs, accents, and dynamic markings.

304

*p*

304

*pp*

308 *a piacere* *accel.* *p* *accel.* *lento*

At measure 314, the primary theme returns in its original form in the cello with the original syncopated accompaniment in the piano. The primary theme is altered here, only lasting five measures, as seen in figure 4.14.

**Figure 4.14**  
(Measures 314-318)

314

*a tempo*

314 *ff* *ff*

A passage of trills in the cello follows, accompanied by a slowing of the tempo, and a crescendo to the strongest dynamic of the entire movement, *fortississimo* in measure 324. C minor chords and arpeggios in measures 328-334 contrast the previous passage, and eventually end in a fermata in E-flat minor with an added 11<sup>th</sup> and 13<sup>th</sup>. The cello restates E-flat minor 11 in a descending arpeggio that is accompanied by the piano with a progression from E-flat minor 11 to B-flat, the final ending key of the movement. Smith emphasizes the resolution to B-flat major with a perfect authentic cadence in the final two measures from F major to B-flat major, ending the movement in a tonal key, completing the movement's journey from a mode to a key centered tonality.

While most of the compositional elements of the first movement are not unique, the way that Smith presents them is certainly original. Smith's synthesis of Classical tradition, late Romantic style, and twentieth century elements makes a strikingly innovative work. Smith uses both modal and tonal harmonies, key relationships based on cycle of thirds relationships, organic development of both themes and accompaniments, a slow introduction, and synthesizes sonata and rondo form elements in the creation of this movement. In addition to these elements, this movement does not end in its original key, C Dorian, but instead concludes in B-flat major.

Both the introduction and the primary theme area are presented in C Dorian mode. Modal harmony, a mainstay of pre-Baroque era music, had resurgence in the music of the early twentieth century, especially among European composers like Ralph Vaughan Williams, Jean Sibelius, and Claude

Debussy. Here, Smith begins in C Dorian mode, which shares a key signature with B-flat major, and uses both modes and key centered tonality throughout the movement. Further, Smith creates a trajectory from C Dorian to B-flat major over the course of the entire movement. He begins in C Dorian, transitions in the first episode to B-flat major, returns to C Dorian in the beginning of the coda, and finally concludes the movement in B-flat major. The difference between the two keys is noteworthy. While both C Dorian and B-flat major share an identical key signature, C Dorian sounds solemn, almost like a minor key, while the B-flat major contrasts the serious mood of the introduction and the beginning of the coda with a triumphant conclusion to the movement.

In addition to Smith's use of modes and key centered tonality, he also relies heavily on cycle of thirds relationships throughout the movement. In the Classical era, especially in sonata form movements, the most common harmonic contrast between two themes was the use of a dominant relationship. Here, Smith uses a combination of modes and key centered tonal relationships, as well as mediant relationships instead of the traditional dominant relationship. He uses this relationship throughout the movement; often, succeeding sections are harmonically a third or sixth relationship away from the previous section. This is evident in the first episode and the second theme, the second episode and the middle theme, and the third episode and the primary theme's recapitulation at measure 210. Cycle of thirds relationships are a common feature of late Romantic instrumental music. This is especially evident in the music of Johannes Brahms, Jean Sibelius, and even as early as Franz Schubert.

Another feature Smith uses in this movement that is common to the Romantic era is his organic development of themes. Smith begins the introduction of this movement with a melody that, after a series of two brief cadenza-like passages becomes the basis for the primary theme in the *Allegro Appassionato*. Further, the intervening episode between the primary theme and the second theme presents a rhythmic motive from the second theme, before the theme is heard fully for the first time thirty measures later. The accompaniment to the middle theme is based on the rhythmic content of the second theme. This process is similar to the concept of developing variation in Brahms's music. Smith's use of a slow introduction is a common feature of many sonata form movements. However, most examples of a slow introduction have little or no resemblance to the thematic material of the ensuing sonata form movement. Smith, as mentioned previously, uses melodic ideas from the introduction to develop the primary theme. Brahms also does this in his First Symphony. Further, Smith introduction material returns at the beginning of the coda of this movement, which is uncommon.

The most problematic element of the first movement is the form. Smith's first movement is a synthesis of both sonata and rondo form elements into a sonata-rondo form. There are sections that act as an exposition and as a recapitulation. The development section mainly focuses on a new melody, with only brief elements of motivic development. The main problem is that cadences are often avoided at the point of section change, making the sonata form less

clear, and the creating a seamlessness or organic development facet to the movement's construction.

Further, the episodes in between major theme areas act as miniature development sections. In many sonata-rondo form movements, the first episode presents the second theme. In this instance, the second theme happens later, after the first episode. The episode in between the primary and the second theme develop the first theme and foreshadow the second theme. The same thing happens in the episode between the second theme and the middle theme. Most commonly, there would be a closing section after the second theme and a return to the tonic key. Instead, Smith avoids tonic and uses the episode to modulate to the key of the next section. No cadence is present to show a clear resting place or separation between the episode and the beginning of the development.

During the formal development section, Smith presents his new middle theme, which dominates much of the movement. The presentation of the middle theme is larger than either the primary or second theme areas. After Smith presents the middle theme, rather than develop it, he pairs it with statements from the primary and the second themes. The development of the themes occurs throughout the entire movement, rather than being confined to the development section, as is common in many sonata form movements.

The recapitulation is clear because of the return of the primary theme in its entirety. This is true in spite of the fact that the primary theme returns in a very distant key, C-flat major, from the original tonic. While a departure from traditional Classical era sonata forms, recapitulations that begin with a key other

than tonic is an increasingly common practice among Romantic era composers, as well as twentieth century composers like Smith. The first movement of Franz Schubert's E-flat Major Piano Sonata, D568, the second movement of Brahms's Clarinet Sonata No. 1 in F minor, Op. 120, and the first movement of Brahms's Piano Concerto No. 1 in D minor, Op. 15 all feature recapitulations that state the primary theme in a key other than the tonic key. Factors other than key, especially motive and thematic material, become much more important to determining structure than key relationships. The recapitulation, as stated earlier, features the reprise of the primary, second and middle themes.

There are features of this movement that suggest a rondo form as well as sonata form. The overall structure of the movement is as follows: Introduction, primary theme, episode I, second theme, episode 2, middle theme, episode III, recapitulation of primary theme, episode IV, recapitulation of second theme, episode V, recapitulation of middle theme, coda. Rather than naming the intervening sections bridges or transitions, episode seems to better encapsulate their function. While there are no dominant themes in these sections, they do allow Smith a chance to develop previously written themes, and foreshadow upcoming themes, contributing to the overall seamless quality of the movement.

The problem with a rondo form analysis for this movement is that there is no overriding "rondo" theme throughout the movement. Instead, the first rondo section presents the primary theme. The second rondo section presents the second theme. This suggests a sonata form exposition with rondo form episodes. Further,



the rondo sections do not return to the tonic key, instead modulating to new key areas each time.

The combination of sonata and rondo form elements and the expansion of development of material throughout the entirety of the movement create a natural seamlessness to the movement that is not common to either traditional sonata or rondo forms. Smith's attempt at seamless form is a hallmark of his time.

Beginning in the late nineteenth century, Wagner proposed creating "seamlessness" in opera, especially as seen in his *Ring of the Nibelung*. Brahms's themes begin development almost immediately following their inception. Sibelius creates a one-movement symphony in his Symphony Number 7. Debussy creates symphonic sketches that are linked together in *La Mer*. Even within cello repertoire, Frederick Delius creates a one-movement cello sonata, with no breaks, which features multiple sections that could serve as individual movements.

Smith's first movement of his cello sonata presents an interesting combination of late nineteenth century and early twentieth century practices. His focus is on melodic content and organic development throughout this movement, rather than conventional sonata form structure. He presents three clear themes, the rhapsodic primary theme, the more restrained, song-like second theme, and the chant-like middle theme. He not only uses cycle of thirds relationships throughout the movement, but also incorporates both modes and key centered tonal harmonies, creating a trajectory from the solemn C Dorian introduction, to the conclusive and boisterous final B-flat major cadence.

## ANDANTE SOLEMNE – SANCTUS – ALLEGRO

The finale of Smith's *Sonata for Violoncello and Piano, Op. 59* combines three major theme areas into an overall sonata form movement. Within the three theme areas, the first section contains the altered ternary form *Andante Solemne* (measures 1-127), the second section is the entirety of the *Sanctus* (measures 128-148), and the third section is the *Allegro* rondo form finale (measures 149-320), before combining elements of both the *Andante solemne* and the *Sanctus* to conclude the work. The combination of these three sections creates an overarching sonata form movement. The exposition contains the *Andante solemne* and the *Sanctus* (measures 1-148), the *Allegro* section (measures 149-270) becomes the development, and the recapitulation begins in measure 270 with the reprise of the *Andante solemne*, before combining previous material and quoting the first movement primary theme to conclude the work.

The harmonic structure of the work follows the pattern i-F Dorian-F major-i-I. The movement begins in B-flat minor, the parallel minor of B-flat major. The *Sanctus* is in F Dorian, which while a mode, shares a key signature with B-flat major. The *Allegro* begins in F major, the dominant key of B-flat major, and then cycles back eventually to B-flat minor. The movement ends finally in B-flat major, the overall tonic key of the entire sonata.

The first major section *Largo* is almost a self-contained altered ternary form movement. Its first section begins in B-flat minor, with a rhythmic motive in the cello that becomes the main accompaniment of the primary theme. The motive

consists of an ascent from “G-flat” to “B-flat.” The cello repeats the B-flat in sixteenth notes *pizzicato*, creating a pedal underneath the piano’s melody. This pedal becomes increasingly insistent, almost nagging the listener because the rhythmic pattern increases from *piano* sixteenth notes to triplet sixteenth notes and *crescendos* each time; this rhythmic change draws the listener’s attention back to the accompaniment. Each time it recurs, it is louder and more emphatic. The primary theme first appears in the piano. The primary theme, as seen in figure 4.15, is formed from two motives, the descent, as seen in the first two measures, and the return, in dotted sixteenth and thirty –second notes, as seen in measure 5. Smith concludes each statement differently. His focus on seamless melody overrides any sense of arrival or cadence based on harmony. A brief melodic statement in the piano at measures 17-19, seen in figure 4.16, serves as the beginning of the conclusion of this theme, and later as a secondary melody, beginning in measure 46.

**Figure 4.15**  
(Measures 1-16)

The image shows a musical score for measures 1-16, titled "Andante solenne". The score is in 3/8 time and features a cello part and a piano accompaniment. The cello part starts with a "pizz." instruction and dynamic markings of *mf*, *f*, *p*, *p*, and *f*. The piano part includes "p espress." and "arco" markings. The score is written in a key signature of two flats (B-flat and E-flat) and a 3/8 time signature. The cello part consists of sixteenth notes and triplet sixteenth notes. The piano part consists of chords and melodic lines.

**Figure 4.16**  
 (Measures 17-19, piano part)

The contrasting section, beginning in measure 33 ensues, lasting until the primary theme returns in measure 86. This section, rather than present one contrasting theme, as is common in ternary form movements, sounds like a struggle to escape the insistent B-flat sixteenth note pedal. Smith's piano melody recurs multiple times, but each phrase dissipates before becoming a cohesive theme, and the sixteenth note pedal returns, becoming increasingly emphatic each time.

The first melody in the cello consists of ascending eighth-note arpeggios that reach a climax in the second measure before returning to the starting B-flat.

The second statement leaps an octave before it descends to B-flat. Smith creates a conclusive first phrase, lasting eight measures as seen in figure 4.17, but the second phrase evades conclusion and transitions into a new melody in measure 46.

**Figure 4.17**  
(Measures 33-40, cello part)



Underneath the melody, the piano accompanies in ascending sixteenth note arpeggios, outlining B-flat minor chords in octaves. In measures 44 and 45, the harmonic rhythm quickens to quarter notes, which creates a *hemiola* as the eighth note rhythms do not line up within the 3/8 meter. The harmonic progression is quite interesting here, beginning with a F-flat seven chord, leading to a B minor triad, leading to a G major seven chord, leading to C major, which leads to an A diminished seven, and finally reaching B-flat minor again in measure 46 as the piano states the secondary theme of this section. Figure 4.18 illustrates this harmonic and rhythmic event. Interestingly, Smith does not resolve the seventh of the A diminished seventh chord on the downbeat of the next measure, but instead resolves it on the F quarter note in the second eighth of the measure. Smith could have created a second phrase to his melody and completed the harmonic cycle to form this new melody, but instead avoids conclusion of this melody since it does

not return later in the movement. He instead uses this melody as a vehicle to lead to a new melody in piano, which begins in measure 46.

**Figure 4.18**  
(Measures 44-46)

The image shows a musical score for measures 44-46. It consists of three staves: a cello part at the top, a piano right hand in the middle, and a piano left hand at the bottom. The key signature has three flats (B-flat, E-flat, A-flat) and the time signature is 3/4. Measure 44 starts with a forte (*f*) dynamic. In measure 45, the dynamics change to mezzo-piano (*mp*) and then piano-piano (*pp*). The piano part includes the instruction *pochiss. rit.* (very little ritardando) above the staff. The piano right hand part features a descending line of eighth notes, while the piano left hand part features a series of arpeggiated chords.

The piano states a new melody in measure 46, and the cello continues it, beginning in measure 50. This sustained melody is one long *legato* descending line, with eighth notes adding interest to the largely scalar passage, which is much smoother than the previous *détaché* arpeggio melody. Figure 4.19 illustrates the new melody. The harmony underneath this new melody is similar to the previous section, with chords spelled out in arpeggios, but this time it is thinner, with each arpeggio only in one statement per measure, rather than the previous accompaniment, which was in octaves.

Again, Smith could have created a conclusive ending to this melody, which would suggest a contrasting theme. Instead, the melody sounds as if it is going to conclude in measure 59 and following, but the primary theme and the cello *pizzicato* sixteenth notes interrupt the texture, jarring the listener from the

secondary *legato* melody. The primary theme only lasts for seven measures before it disappears again, and serves to modulate from B-flat minor to E-flat major, reaching E-flat major in measure 67.

**Figure 4.19**  
(Measures 46-59)

The image displays a musical score for measures 46-59, consisting of two systems. The first system covers measures 46-53, and the second system covers measures 54-59. The score is written for piano and cello. The piano part is in the upper staves, and the cello part is in the lower staves. The key signature is B-flat minor (three flats). The time signature is 4/4. The score includes various dynamic markings: *pp* (pianissimo), *p* (piano), and *ppp* (pianississimo). It also features performance instructions such as *a tempo* and *espress.* (espressivo). The piano part features a melodic line with slurs and accents, while the cello part provides harmonic support with chords and moving lines. The score concludes with a *ppp* marking in measure 59.

Measure 67 is the beginning of another new melody section in E-flat major. Smith has reversed the previous theme's rhythm from quarter note followed by eighth note, to eighth note followed by quarter note to create a four-measure introduction for the cello's melody. The melody begins with a

descending pattern of sixths in the cello, which expands, becoming a 13 measure, rhapsodic melody, as seen in figure 4.20

**Figure 4.20**  
(Measures 71-83, cello part)

The musical score for the cello part, measures 71-83, is presented in two staves. The first staff, starting at measure 71, is marked 'arco' and 'p espress. dolce'. It features a descending pattern of sixths that expands into a rhapsodic melody. The second staff, starting at measure 78, is marked 'cresc.' and 'ff'. It features continuous eighth notes in the piano, eventually overtaking the accompaniment pattern by measure 81. The eighth notes intensify the energy of this passage, as they crescendo from fortissimo to fortississimo, with accents punctuating each down beat in measures 81 through 84, before the primary theme returns in measure 86.

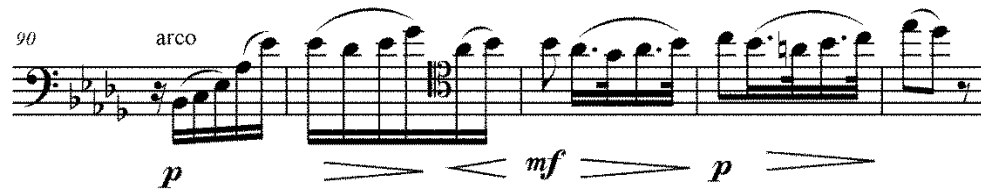
Underneath the melody, the piano continues the rhythmic pattern established in measure 67, with minor alterations. Dynamically, this section grows immensely from *pianissimo* in measure 67 to *fortississimo* in measure 83. Beginning in measure 78, continuous eighth notes begin in the piano, eventually overtaking the accompaniment pattern by measure 81. The eighth notes in the piano intensify the energy of this passage, as they *crescendo* from *fortissimo* to *fortississimo*, with accents punctuating each down beat in measures 81 through 84, before the primary theme returns in measure 86.

In measure 86, rather than a triumphant conclusion to the *Largo*, the primary theme returns, this time *fortississimo* and more forceful than anytime previously. The insistent B-flat pedal returns in both the cello and the piano, surrounding the piano's statement of the primary theme. The cello begins a new *obligato* based on the original primary theme, as seen in measures 90-94. Figure



4.21 shows the cello *obligato* part. It first appears *pianissimo*, and grows dynamically along with the piano primary theme, reaching a climax in measure 102. The piano part features both the primary theme and the rhythmic pedal throughout this passage.

**Figure 4.21**  
(Measures 90-94, cello part)



The second motive from the primary theme repeats in measure 110 in the piano, and then passes to the cello in measure 112. Underneath the cello statement, repeated eighth notes in the piano augment the rhythm of the incessant B-flat pedal. The rhythmic pedal returns in the cello in measure 117-119, but the primary theme is replaced in the piano with material from the second transitional passage at measures 67-70. The first major section ends in measure 127.

Beginning in measure 125, an F major triad in the piano signals closure, but is weakened by the added B-flat beginning in measure 126. Here, Smith could have ended the movement completely in F major, even though it does not return to the tonic key. Instead, Smith avoids a sense of resolution by using the pedal B-flat underneath the F major chord. This chord holds over into the next major section, lasting until measure 129.

The second major section stems from a quotation of the “Sanctus” movement from a 10<sup>th</sup> century plainsong chant for Easter Day.<sup>123</sup> Smith states the Sanctus theme in the cello first in two statements in F Dorian mode. Using a mode is fitting for setting plainchant, as modal harmony is common among tenth century plainchant. The melody is heard over a sustained chord in the piano. The first phrase is held over the F major triad with an added B-flat that Smith used to end the *Largo* section. The second phrase is held over the same chord in measures 132-133, before continuing without accompaniment. Figure 4.22 shows the Sanctus melody in the cello. Metrically, Smith uses multiple meters over the brief ten-measure theme. This is perhaps his interpretation of the recitation of the chant, since a cantor often led chant music of the 10th century.

**Figure 4.22**  
(Measures 128-137, cello part)



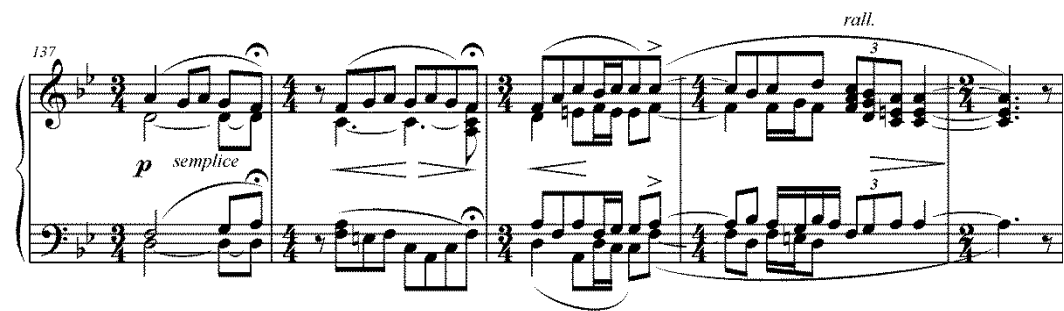
The accompaniment sounds like a continuation of the ending of the previous section. Smith sustains the previously mentioned chords. In the brief rest between phrases of the Sanctus theme, the piano reiterates the chord beginning

<sup>123</sup> Note from David Stanley Smith’s manuscript, page 22.

solely with the “B-flat” before the full F major chord is restated in measure 130. This creates a chant-like melody in the cello, with a drone accompaniment underneath.

The piano states the Sanctus theme, beginning in measure 139. This statement is set polyphonically, while largely following the same rhythmic content of the chant melody. Figure 4.23 illustrates the piano statement of the Sanctus theme.

**Figure 4.23**  
(Measures 137-141, piano part)

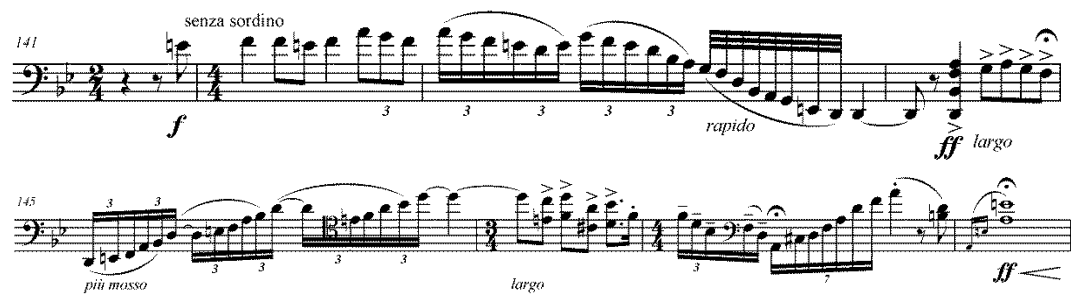


The cello joins the third phrase of the theme in measure 141, first matching the rhythm of the piano part, until overtaking the piano in measure 143, which begins a cello cadenza. The cadenza is based on the Sanctus theme, and concludes the second major section in measure 148, with an open A chord. Figure 4.24 shows the cello cadenza.

Interestingly, the Sanctus section grows in complexity with each statement of the theme. When the cello first states the Sanctus theme in measure 128 it is a simple recitation, with only a piano drone underneath the melody. When the piano

states the Sanctus theme for the first time in measure 137, it is set polyphonically, with counterpoint composed against the main theme.

**Figure 4.24**  
(Measures 141-148, cello part)



In measure 141, the cello begins a virtuosic cadenza on the Sanctus theme, which is rhythmically more complex than the previous statements of the theme. The cadenza closes the second major section of the movement, leading to the third major section.

The third section of the movement is a rondo form fast finale, which is typical of the finale movement of an instrumental sonata. This rondo, while extensive, does not conclude the work, however, instead serving as the development section. The rondo theme begins in measure 149 in F major. Preceding the rondo theme is an eight bar introduction phrase, shown in figure 4.25. The introduction is created rhythmically by a jaunty dotted eighth note, sixteenth note pattern.

**Figure 4.25**  
(Measures 149-152, piano part)



The rondo theme is more lyrical, based on slurred dotted quarter, eighth note rhythmic patterns, sustained in the cello, beginning in measure 157. Figure 4.26 illustrates the rondo theme.

**Figure 4.26**  
(Measures 156-165, cello part)



Underneath the theme, the piano provides accompaniment. Sixteenth note arpeggios in the piano in B-flat major accompany the theme. The texture is homophonic: the cello theme is easily heard and never interrupted by the piano's arpeggio accompaniment. The accompaniment provides a lively undercurrent to the more sweeping melodic line.

Beginning in measure 165, the piano repeats the introductory material to the rondo theme, this time for only two measures before restating the theme. The cello provides a countermelody, as seen in figure 4.27. Smith changes meters briefly to duple meter as the piano states the rondo theme, then returns to triple meter four measures later, when the introductory material returns.

**Figure 4.27**  
(Measures 164-170)

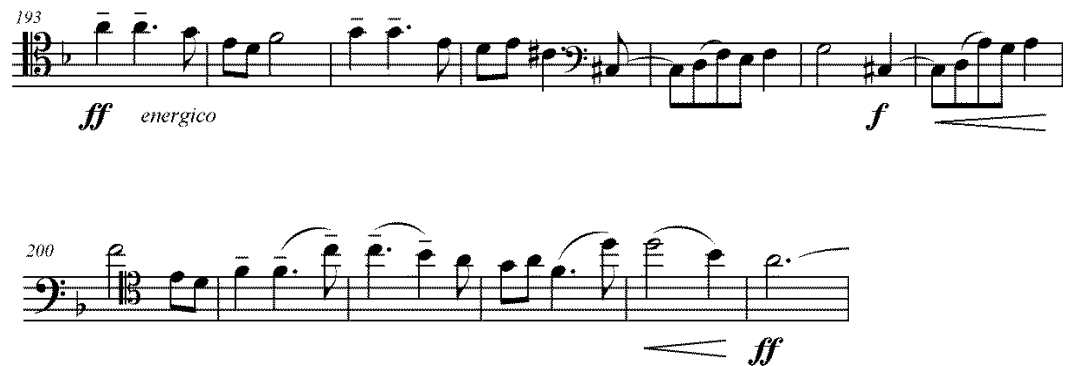
The musical score for measures 164-170 consists of three staves. The top staff is for the cello, the middle for the piano right hand, and the bottom for the piano left hand. The key signature has one flat (B-flat). The meter changes from 3/4 to 2/4 in measure 165 and back to 3/4 in measure 169. Performance markings include *pizz.* (pizzicato) for the cello in measure 164, *arco* (arco) for the cello in measure 165, *p* (piano) for the piano in measure 165, *leggiero* (light) for the piano in measure 166, *espress.* (expressive) for the piano in measure 167, and *cresc.* (crescendo) for the piano in measure 168. A triplet of eighth notes is marked with a '3' in measure 169.

The counterpoint in the cello continues as the piano states a two-measure fragment of the introductory material. Cello and piano continue switching between fragments of the rondo theme and introductory material with a free counterpoint on the themes. This counterpoint section closes out the statement of the rondo theme and provides a transition to the first episode.

The first episode begins in measure 193 with a new secondary theme in the cello and piano in F major. The new theme maintains the same key as the rondo theme, and the melody is very similar in character to the introductory

material, perhaps originating from that material. This melody has three parts, the first two segments lasting four measures, and the final segment leading to the D major arrival in measure 205. The first segment is a descending sequence from “A” to “C-sharp” in the cello (measures 193-196). The second segment features an ascending passage of mainly eighth notes (measures 197-200), and the third passage is an inversion of the first segment that ascends an octave to “D,” (measures 201-205). Figure 4.28 shows the episode melody in the cello part.

**Figure 4.28**  
(Measures 193-205, cello part)



Following the statement of the new episode melody in measure 193, Smith develops the episode material in D major, beginning in measure 205. The first passage of the melody is reduced to two measures, before an eighth note passage in the cello, derived from the second segment, begins in measure 207. The piano accompanies with sixteenth note arpeggios. Figure 4.29 shows the development of the episode melody in cello and piano.

**Figure 4.29**  
(Measures 205-211)

The image displays a musical score for measures 205-211. It consists of two systems of staves. The first system (measures 205-211) features a cello line in the upper staff and a piano accompaniment in the lower staff. The cello line begins with a fermata on a dotted half note, followed by a melodic phrase. Dynamics include *ff* and *f*. The piano accompaniment starts with a *ff* chord and includes a *mf* section. The second system (measures 210-211) shows the cello line with a *meno f* dynamic and the piano accompaniment with a *meno f* dynamic. A triplet of eighth notes is marked with a '3' in the piano part.

The fragmentation and development of the episode melody continues, reaching a climax in measure 228, before the cello descends, reaching a fermata in measure 231, which leads to the end of the episode in measure 232.

While it is uncommon to develop the content of an episode as much as Smith has done here, calling this a major theme is difficult because this melody does not return in the rest of the movement. In the first movement of the work, Smith previously set up a pattern of developing melodic material immediately following its initial statement. In that case, the previous material was developed as new material foreshadowed later themes. Here, Smith continues to develop

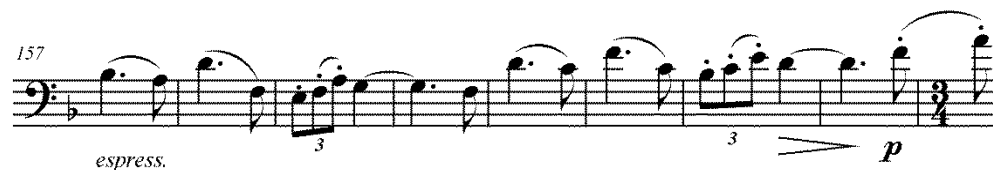


melodies immediately following their inception and in this case does so with an episodic melody that does not return later in the piece or last beyond this section.

The rondo returns in measure 232 in the piano in F major. After the four-measure introduction, the rondo theme appears in the piano part without the cello. This rondo statement is much shorter than the initial statement, with a simple arpeggio accompaniment underneath the theme. This rondo section only lasts sixteen measures, and omits the counterpoint development of the thematic material that occurred in the first rondo statement in measures 165-192.

Another episode begins in measure 193, and has two distinct sections. The first section, measures 193-255 is a brief passage in 6/8 time, begins in F-sharp major, tonicizes B-minor, before resting on a B minor seven, flat five chord in measure 255. The melody is a variation on the rondo theme in 6/8 time, as shown in figure 4.30.

**Figure 4.30**  
(Measures 157-165, cello)



(Measures 248-255)

The image shows a musical score for measures 248-255. It consists of three staves: a cello staff (top), a piano right-hand staff (middle), and a piano left-hand staff (bottom). The key signature is F-sharp major (one sharp) and the time signature is 3/8. The score includes dynamic markings such as *p* (piano), *pp* (pianissimo), and *ppp* (pianississimo). Performance instructions include *allegretto* (marked with a quarter note), *p grazioso*, and *piii rall.* (pianissimo, molto ritardando). The music features a melodic line in the cello and piano accompaniment with arpeggios and repeated notes.

The second section of the episode begins in measure 256 in F-sharp major. The melody in this segment is a brief waltz in the cello in triple meter, which lasts 13 measures, before a sixteenth note passage leads to the return of the *Andante solenne* theme in measure 270. Figure 4.31 shows the waltz theme in the cello and piano. The cello melody consists of sustained dotted half notes. The piano accompaniment features the repeated pitches from the melody at measure 248, augmented to quarter notes, over eighth note arpeggios in F-sharp major. Both the cello melody in measures 250-255 and the waltz melody in measures 256-269 are sectional variations that develop from a rondo theme fragment in measures 246-247.

The *Andante solenne* section from the beginning of the movement returns in measure 270, marking the beginning of the recapitulation. The piano states the B-flat sixteenth note pedal *pianissimo* in 3/8 meter, and the primary theme enters in measure 272 in the piano in B-flat minor, the original tonic key. Beginning in measure 274, the piano and cello trade statements of the second motive from the primary theme.

**Figure 4.31**  
(Measures 256-269)

The musical score for measures 256-269 is presented in three systems. Each system consists of a vocal line (bass clef) and a piano accompaniment (treble and bass clefs).  
- **System 1 (Measures 256-261):** The vocal line begins with a half note G4, followed by quarter notes A4, B4, C5, B4, A4, and G4. The piano accompaniment features a steady eighth-note pattern in the bass and chords in the treble. Dynamics include *p espress.* and *tranquillo (andante)*.  
- **System 2 (Measures 262-266):** The vocal line continues with a half note G4, followed by quarter notes A4, B4, C5, B4, A4, and G4. The piano accompaniment shows a *p* dynamic. The system concludes with a *pp* dynamic marking.  
- **System 3 (Measures 267-269):** The vocal line starts with a half note G4, followed by quarter notes A4, B4, C5, B4, A4, and G4. The piano accompaniment is marked *pp* and *molto rit.* The system ends with a final chord in the piano part.

The B-flat pedal continues, and the overall dynamic grows beginning in measure 280, climaxing at *forte* in measure 283. A *decrescendo* prepares the return of the Sanctus theme, again relieving the intensity of the incessant pedal. The Sanctus statement is very brief, lasting only three measures, and is followed by piano

sixteenth notes that oscillate between B-flat and F, and increase in their rate of recurrence, through measure 295. This passage ends the episode, growing to *fortissimo*, and marking the return of the rondo theme in measure 296.

In measure 296, the rondo theme returns in B-flat major, the overall tonic of the sonata. This rondo statement serves a dual purpose: it is the completion of the rondo form by being the final return of the rondo theme, and it is the recapitulation of the third theme area. Its statement in B-flat, the tonic key of the first movement signals the overall connection between the two movements. The theme is stated in the cello at measure 296 and concludes in measure 319. A falling syncopated eighth note pattern in the piano links the end of the middle theme with the final transition of the movement, in measure 321.

A virtuosic transition passage consisting of sixteenth note arpeggios over octave dotted quarter notes and eighth notes follows. This passage tonicizes multiple key areas, and modulates from the previous section's B-flat major to F Dorian mode, the modal center of the Sanctus melody.

The transition concludes with the *fortissimo* statement of the Sanctus theme in the cello at measure 333. This is the loudest statement of the Sanctus theme, and is the climax of the movement. Each note of the Sanctus theme is accented in the cello, and rolled eighth note chords in the piano with *sforzandi* punctuate the rests between statements. In measure 340, the cello briefly quotes the introductory melody from the first movement *pianissimo*, as seen in figure 4.32. Here, the descending sixteenth note passage in measure 341 is an inversion

of the cadenza-like ascending passage from the introduction of the first movement.

**Figure 4.32**  
(Measures 340-341, cello part)



The Sanctus theme recurs in the piano in measure 344 and the B-flat pedal from the *Andante solemne* returns in the cello one final time, but is interrupted by the primary theme in the piano in measure 347. The cello concludes the movement with the Sanctus theme in its highest tessitura *pianissimo*, which gives the listener a final resolution and apotheosis of the Sanctus theme. The movement concludes quietly in B-flat major, returning to the original tonic key of the sonata. Figure 4.32 illustrates these brief quotations from the first movement, the *Andante solemne* theme and the Sanctus.

The Sanctus theme in the second movement becomes a solution to the incessant B-flat pedal in the *Andante solemne*, and a connective tissue between sections of the movement. Smith's choice of quoting a Sanctus is noteworthy because the text of the Sanctus movement of Mass speaks to the glory of God on Earth, and is a hymn of consecration of communion. This suggests a programmatic reference within the movement. The *Andante solemne* suggests solitude, isolation, and even depression. The Sanctus speaks of communion,

community, and glory, the antithesis of the *Andante solemne*. Over the course of the movement, the Sanctus becomes louder and more emphatic. In the end, it is stated in the highest tessitura of the cello, rising above the *Andante solemne*, and creating a hopeful and radiant conclusion to the sonata.

The concluding movement of Smith's cello sonata contains many of the same elements he used in the first movement, including use of modes and key centered tonality, and a tonal trajectory over the course of the movement. In addition to these elements, the second movement reprises first movement material. Form in this movement is problematic, as Smith, uses an overarching sonata form to combine two contrasting movements. Although formal analysis of this movement is problematic, the work has a seamless feel, focused more on melody than formal structure.

Smith sets his quotation of the "Sanctus" movement of a tenth century Mass for Easter Day in F Dorian mode. Using a mode here matches the tone and the historical context of tenth century plainchant. Whenever the cello or piano states the Sanctus theme, it is in modal harmony. Interestingly, when the Sanctus theme first appears, Smith states the theme with a drone chord underneath the cello melody. When the piano states the Sanctus theme for the first time, beginning in measure 139, it is presented polyphonically. This appears to illustrate Smith's interest in historical context, as many ninth and tenth century chant melodies became cantus firmi for early polyphonic mass compositions. In the first movement, Smith begins the sonata in C Dorian mode, setting up a

precedent for his use of modes throughout his sonata, especially in the second movement quotation of plainchant.

The second movement features a quotation of the primary theme from the first movement, creating a cyclic connection of thematic material from the first movement with the finale. This occurs in measures 340-342 in the cello, where the first five notes of the first movement's primary theme return *pianissimo*, and are followed by a descending pattern of sixteenth notes, inverted from the cadenza-like ascending eighth note passage in measures 5-7 of the first movement introduction.

In addition to the thematic connection between the first movement and the finale, the second movement, like the first, ends in a different key than it began. Here, Smith begins in B-flat minor, and completes the overall tonal trajectory of the sonata by ending in B-flat major. Therefore, the tonal plan of the sonata is C Dorian –I-i-F Dorian-F major-I, ending in B-flat major, which shares a key signature with C Dorian.

The second movement combines two contrasting movements, a slow ternary form *Andante solenne* with the *Allegro* rondo finale, using the Sanctus section both as the second theme of the exposition of the overall sonata form, and as a bridge between the two forms. Within the *Andante solenne*, Smith's primary theme becomes the "A" section, with the unrelenting B-flat sixteenth note pedal. The "B" section, from measures 33-85 has no dominant theme, but instead uses multiple new melodies, all of which eventually succumb to the B-flat pedal again. The "A" section returns in B-flat minor in measure 86, completing the ABA

pattern. Smith could have concluded the second movement here, but instead, ends the section inconclusively on a B-flat seven flat five chord, which sustains into the Sanctus section, the second theme area. The Sanctus section is a relief to the B-flat pedal of the previous section, and bridges the *Andante solemne* with the *Allegro* rondo section. These first two sections serve as the overall exposition of this movement.

In measure 149, the *Allegro* section begins, marking the beginning of the development of the overall sonata form. This development section, like the first movement development section, introduces a new melody. In addition, this development section is its own almost self-contained rondo form. The third theme, as seen previously in figure 4.26, repeats throughout this section as the rondo theme, with episodes in between. The first rondo section begins in measure 149 and concludes in measure 193. An episode with its own melody follows in 194. The rondo theme returns in measure 232. Another episode, with two brief melodies ensues in measure 248.

There is a problem with Smith's rondo development. His rondo theme returns one last time in measure 296, but in measure 270 the *Andante solemne* theme returns, signaling the recapitulation of the overarching sonata form. Following the return of the primary *Andante solemne* theme, the Sanctus returns *forte* in measure 289, which is the climax of the movement. A transition in the piano connects the final rondo with a return of the Sanctus, the primary theme and the quotation from the first movement, which conclude the work.



Because of the interruption by the *Andante solemne* section's return in measure 270, Smith's development section rondo overlaps with the overall sonata form recapitulation. While this presents an analytical problem of structural clarity, the return of the *Andante solemne* and the accompanying B-flat pedal jar the listener, reminding him of the problem that has yet to be resolved. The Sanctus, with its most emphatic statement in measures 289-295 become that solution: the B-flat pedal is reduced to one final fragment in measure 346 before ceasing entirely. The Sanctus melody concludes the work.

The second movement continues Smith's combination of late nineteenth century and early twentieth century practices. Here, form is less crystallized than the first movement, combining three sections with primary themes into an overall sonata form movement. He continues using both modes and key centered tonality, and ties the two movements together by quoting the first movement's primary theme. Both movements conclude in B-flat major, creating a tonal trajectory in each movement, and for the entire sonata.

His manipulation of formal structure, reliance cycle of thirds relationships, and use of both modes and key centered tonal harmonies place his *Sonata for Violoncello and piano, Op. 59* within the context of the changing styles of the early twentieth century. He maintains harmonic relationships typical of late nineteenth century composition, while also incorporating modes, like many twentieth century colleagues. His avoidance of clear formal structure is represented well in both the nineteenth and twentieth centuries, especially in the works of Chopin, Liszt, Brahms, Wagner, Debussy, Ravel, and Ives. His

structural combination of two distinct movements into one has precedent in the opus 5 cello sonatas of Beethoven, but Smith accomplishes his task in a unique way, combining forms by creating an overarching sonata form, and using his Sanctus theme to bind the two movements together. Smith's quotation of tenth century plainchant in the finale is very subtle, and not effectively programmatic, while Charles Ives's use of quotation in the Fourth Violin Sonata is much more dramatic, and structural to the overall work.

### ***THREE POEMS FOR VIOLONCELLO AND PIANO, OP. 97BIS***

David Stanley Smith completed writing the *Three Poems for Violoncello and Piano, Op. 97bis* in 1947, just two years before his death in 1949. It is written in three movements, “Ballade,” “Promenade,” and “Oracle.” Originally, Smith intended to have this work published along with a similar work for violin, *Three Pieces for Violin and Piano, Op. 96*, but it was rejected by G. Schirmer, Inc.<sup>124</sup> It remains in manuscript form today.

The overall tonal plan for the work is I- ♭ VI-i in D. All three movements share a similar tonal plan. Each movement modulates to the submediant, rather than dominant at some point during the movement, a hallmark of the late Romantic “cycle of thirds” tonal plan. Within each movement, this creates a microcosm of the overall tonal plan for the whole piece. In the first movement, the primary and second themes are both stated in D major, but when the primary material returns, Smith initially states the theme in B major (VI), instead of B minor, the traditional vi chord of D major before returning to the initial tonic. In the “Promenade,” the first section begins in B-flat major, ♭ VI of D, and the second section modulates initially to G-flat major, the ♭ VI of B-flat. “Oracle” begins in d minor, the parallel minor of the Ballade’s tonic, D major. Smith’s contrasting second section in “The Oracle,” begins by shifting modes to D major, and then modulates to B major. The piece reaches a final D minor triad before a brief codetta, which closes the piece. Like each movement, Smith’s overall tonal

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<sup>124</sup> Goode, 218.

plan for the *Three Poems* modulates away from tonic to the submediant, before returning to the tonic, with one exception. Instead of returning to the tonic D major, Smith ends the work in the parallel minor.

## **BALLADE**

The Ballade movement is composed in continuous ternary form, with a coda. The tonal plan of the movement is I-VI-I, with modulation from D major to B major, the borrowed VI of d minor, and then a return to tonic D major. The boundaries of the sections are as follows. The first section last 27 measures (1-27), a contrasting section begins in measure 28 and concludes in measure 50, and the return to the first section material occurs at measure 51 and ends with the embellished D major triad at measure 78. A coda, beginning in measure 78, concludes the movement.

The first section begins *Andante* in D major and features a lyrical theme based on a two-phrase period centered on the pitch D. The movement opens with a one-measure introduction in the piano, which presents a chromatic eighth note accompaniment pattern that will recur throughout the movement. The accompaniment begins with two eighth notes followed by a quarter-note rest. The lower voice begins with a diatonic upward ascent that becomes increasingly chromatic throughout the first section. The upper voice of the accompaniment follows with conjunct upward ascent in the inner voices, with a pedal F# in the

uppermost voice. Figure 4.33 illustrates the accompaniment motive at the beginning of the movement.

**Figure 4.33**  
(Measure 1, piano part)



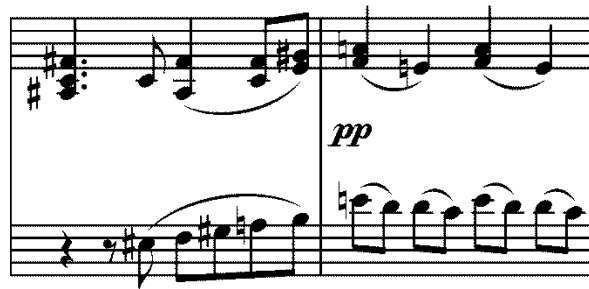
Smith's primary theme, "A," begins with what sounds like a simple, two phrase period lasting eight measures, but as the eighth measure of the themes closes, he avoids conclusion and expands the theme for two additional measures. The "A" theme is centered around a dotted-quarter note followed by an eighth note motive beginning on the third scale degree. Figure 4.34 demonstrates the "A" theme in the cello beginning in measure 2. Throughout the movement, Smith often elides phrases into each other to create overall unity. In measures 13 and following, Smith expands the range of both the cello and the piano, as the cello ascends an octave by measure 17. The dynamic level and the sheer number of notes occurring simultaneously increase until the new register is reached. At this point, the accompaniment motive has been replaced by syncopated eighth and quarter notes in the piano. Cello and piano diminuendo from *fortissimo* to *piano* over measure 18, and return to a restatement of the primary theme, concluding the A section.

**Figure 4.34**  
(Measures 2-11, cello part)

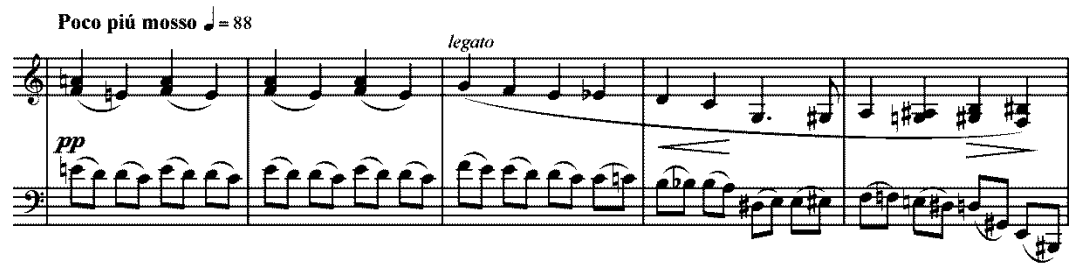
The musical score for the cello part consists of three staves. The first staff, labeled 'first phrase', contains measures 2 through 5. It begins with a piano (*p*) dynamic and features a crescendo leading to measure 4, followed by a decrescendo. The second staff, labeled 'second phrase', contains measures 6 through 8. It starts with a piano (*p*) dynamic, includes a 'poco a poco cresc.' marking, and ends with an 'espress.' marking. The third staff, labeled 'extension', contains measures 9 through 11. It begins with a forte (*f*) dynamic, followed by a 'dim.' marking, a piano (*p*) dynamic, and a 'cresc.' marking.

In measure 19, the piano accompaniment motive returns, but has been reduced to a single statement of two eighth notes per measure, leaping by a fourth each time. The chords in the upper voice descend first by a major second, then by a minor second in the inner voice of the chord, while the outer notes remain the same until measure 21. The overall harmonic motion at this same moment advances in ascending motion by half step from A-flat major through B-flat major. At measure 26, the tempo slows as the dynamic decreases to *ppp*, signaling the end of the first section. Smith transitions between sections without any pause or clear cadence, instead using a chromatic ascending figure to tie the end of the first section and the introduction of the second section together as shown in Figure 4.35. This smooth style of elision, rather than segmented transition between sections is often used among Romantic era composers, especially Chopin, in an effort to create overall unity, instead of clear formal distinctions.

**Figure 4.35**  
(Measures 27-28, piano part)



**Figure 4.36**  
(Measures 28-32)



Smith's use of the sixth scale degree foreshadows his later use of B major, the borrowed VI chord of d minor, to which he modulates in measure 51. It also illustrates at the motivic level the cycle of thirds progression that he uses in this movement, and at the larger level for the tonal plan of the entire piece. Figure 4.37 shows the "B" theme in the cello part. The "B" theme is only one four-measure phrase in length, which contrasts with the two-phrase period that constitutes the primary theme in the first section. The cello and piano switch roles in measure 33, the first time the piano plays a principal theme of this movement. The cello takes over the continuous eighth note accompaniment motive. Beginning in measure 37, Smith repeats the first measure of the theme, but deviates rhythmically each time, and inserts new material, first in measures 38 through 41, and then again in measures 43 through 49.

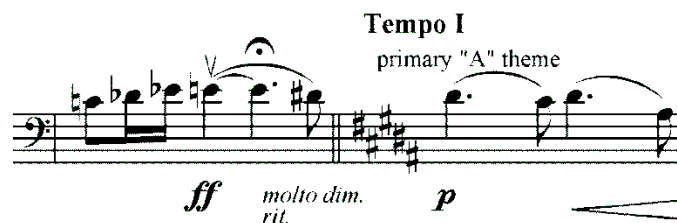
**Figure 4.37**  
(Measures 29-32, cello part)





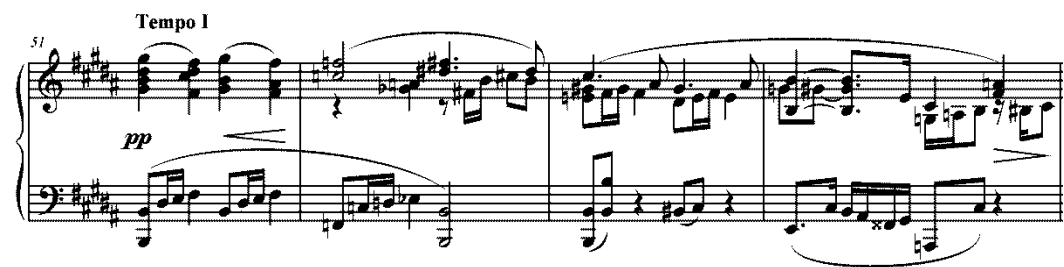
This passage acts as a development of the secondary theme, by fragmenting the theme and then exploring a variety of other harmonies. The piano accompaniment becomes increasingly rhythmically active throughout this section, beginning with descending eighth notes over a dotted quarter and eighth note pedal “F#” in measure 37, underneath the cello quarter note melody. This eventually leads into a sixteenth note arpeggio passage that begins diatonically in C major and evolves into a virtuosic chromatic passage by measure 46 and following. The cello echoes the virtuosity of the piano briefly, ascending two octaves through a C major arpeggio with added chromatic pitches, which elides into the primary “A” theme at measure 51. Again, like the transition between the first and second sections, Smith elides into the third section chromatically, this time using a descending half step out of the cello cadenza-like figure to transition into the primary theme. Figure 4.38 shows the transitional moment in the cello part. Smith emphasizes the shift in sections with a *ritardando* and an extreme *decrescendo* from *fortissimo* to *piano*.

**Figure 4.38**  
(Measures 50-51, cello part)



The first section material returns in measure 51, with a return to the initial *Andante* tempo, but in B major instead of returning to the tonic, D major. Rather than return the original eighth-note first section accompaniment, Smith employs a variant of the second section's accompaniment in the piano. The lower voice of the piano plays a diatonic eighth note and sixteenth note pattern, which comes from the rhythm of the "B" theme, and eventually ascends into the piano's upper voice. The piano's upper voice begins with the oscillating quarter note pattern of the second section's accompaniment motive before it is overtaken by the eighth note and sixteenth note motive. This accompaniment is eventually overtaken by the first section's initial accompaniment pattern in measure 58. Figure 4.39 shows the piano accompaniment at the beginning of this section.

**Figure 4.39**  
(Measures 51-54)



Smith modulates to D major over six measures, finally completing the "A" theme in the original tonic key. In measure 63, Smith completes the primary theme with a sixteenth note passage in the cello part that ascends an octave and a fifth before settling on "F#," similarly to the expanding passages in measures 13 through 17 as mentioned earlier. After a pause, the next four measures act as an episode,

featuring one-measure statements of counterpoint ending on a held “B.” Figure 4.40 shows this passage in cello and piano. At measure 67, the cello ascends an octave and an eight-measure closing figure, similar to measures 18-25 of the first section occurs. After this closing section, Smith reaches a tonic D major chord at measure 78, which ends the closing section, and begins the coda.

The coda features a new theme in the piano first and later in the cello, with an accompaniment that reminds listeners of accompaniment figures from both the first and second sections of the piece. A descending sequence based on diatonic and later chromatic eighth notes forms the piano accompaniment. Figure 4.40 shows the piano “C” theme in the upper voice, with its accompaniment figure in the lower voice. The coda features fragments of earlier sections, specifically the first section’s closing accompaniment in the piano part, measure 85, which occurs in the closing of the first section in measure 24, and the last statement of the primary accompaniment motive’s ascending eighth notes in measures 87 and 88. In measure 24, we see the same rhythmic figure in the piano, which ends the “A” section before a transition to the “B” section. This same rhythmic figure recurs in the piano in measure 85, but this is repeated as part of a longer connective bridge between two phrases. Figure 4.42 shows the complimentary measures 24 and 85.

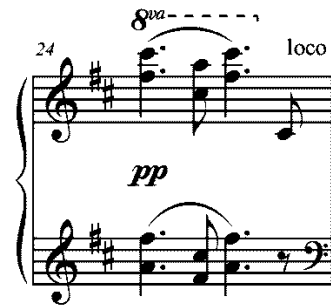
**Figure 4.40**  
(Measures 64-67)

Figure 4.40 shows musical notation for measures 64-67. The score is divided into two systems. The first system (measures 64-65) features a bass clef staff with dynamics *f*, *pizz.*, and *arco*, and a grand staff (treble and bass clefs) with dynamics *f* and *pesante*, and the tempo marking *a tempo*. The second system (measures 66-67) features a bass clef staff with dynamics *f cresc.* and *ff*, and a grand staff with dynamics *f*, *cresc.*, and *ff*. The notation includes various articulations such as accents, slurs, and fingerings (e.g., 3, 6, 3).

**Figure 4.41**  
(Measures 78-81, piano part)

Figure 4.41 shows musical notation for measures 78-81, piano part. The score is divided into two systems. The first system (measures 78-80) features a grand staff (treble and bass clefs) with dynamics *pp* and the tempo marking *quasi adagio*. The second system (measures 80-81) features a bass clef staff with the tempo marking *quasi adagio* and the marking *rit.* The notation includes slurs and accents.

**Figure 4.42**  
(Measure 24, piano part)



(Measure 85, piano part)



In measures 87 and 88, Smith states the opening accompaniment motive for the last time in the piano. In the “A” section, Smith’s accompaniment motive drives the harmonic motion forward, but in measures 87 and 88, it closes the penultimate phrase. Figure 4.43 illustrates the last statement of the first accompaniment motive in the piano. Smith passes the “C” theme and the accompaniment motives between piano and cello until finally reaching a conclusive tonic chord at measure 91, which is held for three measures, concluding the movement.

**Figure 4.43**  
(Measures 87-88, piano part)



The “Ballade” is in continuous ternary form with an added coda. It is noteworthy that both the primary and secondary sections, while contrasting in melodic and rhythmic content, both begin in the tonic key, D major, instead of modulating to a contrasting key. Further, the second section’s accompaniment motive is similar in rhythm to the first section’s accompaniment motive, yet distinct because of the diatonic rather than chromatic harmony, the descending rather than ascending pattern, and the use of continuous eighth notes. Also, the return of the A section, which traditionally<sup>125</sup> is heard in the tonic key, begins in B major rather than tonic D major. Smith does modulate back to the tonic key of D major six measures later, using the second phrase of the primary theme. Lastly, Smith elides through the distinct conclusion of each section in this Ballade, creating an uninterrupted movement from section to section, producing an improvisatory sense for the listener.

The “Ballade” movement is an example of the late Romantic ballade, a nineteenth century character piece. Chopin, Brahms, Faure, and d ’Indy all composed ballades during the Romantic era, usually for the piano. Other Romantic-era ballades have no specific programmatic elements, even though their name suggests reference to the vocal “ballad,” which often is narrative. By the end of the Romantic era, ballade as an instrumental work was simply a short form abstract piece, with no intentional program or narrative.<sup>126</sup> Smith’s “Ballade” does not refer to any specific programmatic elements, but instead is an example of a

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<sup>125</sup> Mozart, Haydn, Clementi, and other high Classical composers often returned to the tonic key at the return of the A section in their ternary form pieces.

<sup>126</sup> Paul Fontaine, *Basic Formal Structures in Music*. (New York: Meredith Corporation, 1967), 203.

short abstract instrumental movement for cello and piano within the larger work. Similar to Brahms's ballades, Smith's "Ballade" is in continuous ternary form. Employing smooth, chromatic transitions between sections rather than distinct, clear cadential motion, Smith's is a unified movement that sounds more like a fantasia rather than a simple specimen of ternary form.

### **PROMENADE**

"Promenade" is a March and trio in B-flat major, in *Allegro moderato*.

The first section is a lively march in B-flat major. The trio is a fast waltz in G-flat major, the  $\flat$  VI of B-flat. The March theme returns in B-flat major, concluding the movement. The major sections are defined as follows. The first section march lasts 34 measures. The trio begins in measure 35 and ends in measure 98 with a transitional phrase leading back to the march. The march is restated in measure 99, and closes the movement.

The first section begins with a two-measure introduction in the piano, which plays a quarter-note march pattern on beats two and four. The cello enters in measure 3 with the theme, as seen in Figure 4.44. Interestingly, the cello reaches the tonic pitch "B-flat" at the end of the six-measure phrase, but the piano responds instead with a G minor triad, which makes the phrase sound inconclusive. The effect is intensified by the breath mark at the end of the measure. The next phrase restates the opening melody, but this time concludes on a G major triad in the piano with the cello playing "B natural." Smith is creating a

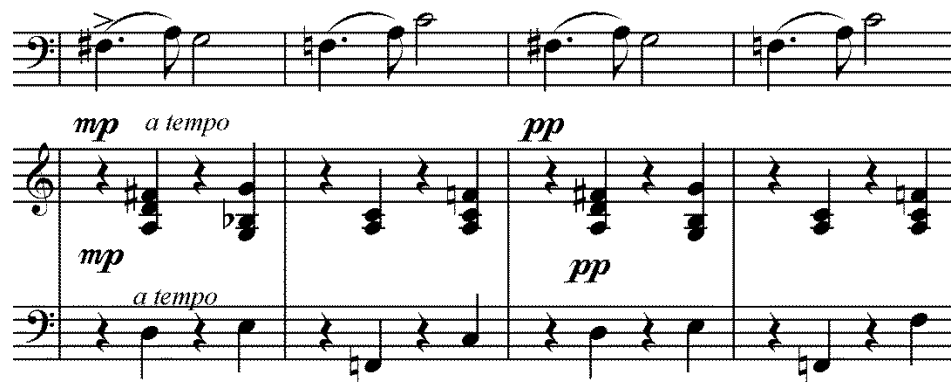
sense of interruption by ending the phrase at six measures and adding the breath mark at the end of each phrase.

**Figure 4.44**  
(Measures 3-8, cello part)



A transitional phrase follows in measures 15-18, oscillating between D major and F major triads. While this phrase simply outlines the two harmonies, Smith uses the rhythmic profile of the theme in the cello in one-measure segments, tying this passage to the original theme. This same motive recurs at the end of the movement. Figure 4.45 illustrates the transition passage.

**Figure 4.45**  
(Measures 15-18)



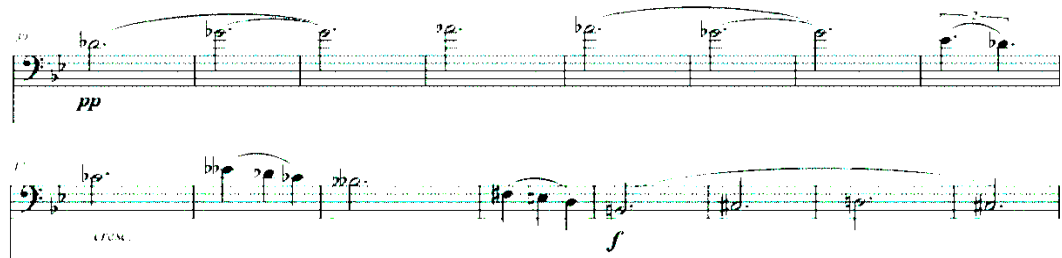


The theme returns in measure 19 and finally reaches a cadence on B-flat major in measure 26. This cadence is weakened by the continuing eighth-note pattern in the piano, and the cello follows onward in beat four of the measure. Ultimately, the first section concludes on a B-flat major chord in measure 34. Smith uses the ascending cello line in measure 34 to modulate from B-flat major to G-flat major, the key of the trio.

The trio section is a waltz in G-flat major, which begins in measure 35. This is an unconventional shift from the *Allegro* march first theme. Beginning in measure 33, Smith's melody sounds as if it is going to return to the primary theme, but instead, a *ritardando*, accompanied by a *diminuendo* in both cello and piano transition into the second section and the introduction of the waltz. In order to firmly establish the triple meter, Smith writes a four-measure introduction in 3/4 time before the cello enters with the second section theme in measure 39. The melody consists of a two-phrase period, each phrase lasting eight measures. It begins with an initial ascent in the first phrase centering on the pitch G-flat. The second phrase descends in mostly scalar motion in two-measure segments, tonicizing other keys before ultimately returning to G-flat major in measure 52. In measure 54, a G-flat seven chord leads into a four-measure bridge before the piano takes over the waltz theme in measure 59. Figure 4.46 shows the waltz theme in the cello at measure 39. The piano and cello switch roles in measures 59 and following, with the piano playing the waltz theme in F major, and the cello accompanying. The cello takes over the melody at the end of the second phrase in measure 71, with the piano returning to the accompaniment pattern.

The waltz accompaniment, first heard in the piano in measure 39, is developed from the rhythmic motive of the March melody.

**Figure 4.46**  
(Measures 39-52, cello part)



In the original March melody, the cello descends by step the distance of a major third over the dotted-quarter, eighth note, quarter-note rhythm. In the accompaniment beginning in measure 39, the piano descends by step. Instead of continuing the descent on the third beat, it remains on the same pitch in a dotted quarter note, eighth note, quarter note pattern. This rhythmic pattern in the piano provides a lilt to the waltz accompaniment underneath the dotted half-note cello melody. Figure 4.47 shows the opening three notes of the March melody in the cello, and the waltz accompaniment in the piano. Using previous melodies to develop accompaniment patterns is a hallmark of late nineteenth century composers, especially Brahms. A bridge passage in measure 75-98 links the end of the waltz with the return of the March. Smith modulates to D major and then tonicizes d minor briefly.

**Figure 4.47**

(Measure 3, cello part) (Measures 39-42, piano part)



Instead of a direct modulation to B-flat major, Smith oscillates between d minor and B-flat major for four measures between measure 87 and 90, foreshadowing the tonic key. Figure 4.48 shows the oscillating passage between cello and piano in measures 87-90. This further demonstrates Smith's use of the cycle of thirds relationship, and its importance to late nineteenth century composers, as previously discussed in the Ballade. The trills in the cello continue, overtaking the accompaniment. The cello plays a solo passage marked *ad libitum* for six measures that concludes the trio section, ultimately returning to the March melody in measure 99.

**Figure 4.48**

(Measures 87-90)

The March theme is restated in B-flat major in the cello, but this time, Smith restates the final statement of the theme (from measures 19-34) in this passage at measure 99. At measure 119, Smith reprises the transitional material heard in the first March section (measures 15-19), this time trading the melodic fragment between cello and piano in dialogue, while oscillating between F major and D major. Figure 4.49 shows the original measures 15-18 in cello and piano, and the same material in dialogue at measures 119-122.

**Figure 4.49**  
(Measures 15-18)

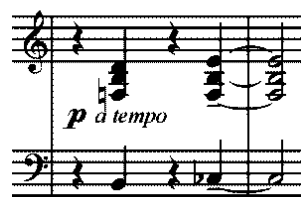
Musical score for measures 15-18. The score is arranged in three staves: Cello (top), Piano (middle), and Cello (bottom). The Cello part features a melodic line with slurs and accents, marked with *mp* and *a tempo*. The Piano part provides harmonic support with chords, marked with *mp* and *pp*. The bottom Cello part mirrors the top Cello part.

(Measures 119-122)

Musical score for measures 119-122. The score is arranged in three staves: Cello (top), Piano (middle), and Cello (bottom). The Cello part features a melodic line with slurs and accents, marked with *p*. The Piano part provides harmonic support with chords, marked with *p*. The bottom Cello part mirrors the top Cello part.

The cello continues this figure for an additional four measures until the texture is interrupted by a surprising restatement of the first three notes of the March theme at measure 127. This statement is quite brief and is interrupted by the piano. Piano and cello play a descending pattern that sounds like a final cadence, but it is again interrupted with a fragment from the March theme in measure 133 by the cello. This time, the fragment is stated in G major, similarly to measure 14 of the opening March. Figure 4.50 shows the two interruptions by the cello in measures 127 and 133. The “Promenade” concludes with a final cadence from  $\flat$  VI – I, a miniature statement of the larger harmonic motion of the movement.

**Figure 4.50**  
(Measure 127)



(Measure 133)



A promenade is a formal dance, usually the opening march of guests at a formal ball.<sup>127</sup> Promenades often occur as incidental music for plays, musical theater, and opera. The most famous instrumental promenade is found in

<sup>127</sup> Webster's New World College Dictionary, 4th ed., s.v. "Promenade."

Mussorgsky's *Pictures at an Exhibition*. Like in theater works, Mussorgsky uses the promenade movement as incidental music as the listener travels from artwork to artwork. While the idea is programmatic, there is no specific program or story conveyed in Mussorgsky's work.

Similarly, Smith's use of the title "Promenade" does not convey a specific story, but rather a general character of movement or dance. Further, Smith uses a March theme, which leads into a lilting formal waltz, similar to the formal ball music heard in upper class salons at the turn of the century. It is interesting that Smith's "Promenade" is the second movement of a set of three character pieces. Perhaps Smith is echoing the promenade's musical use as incidental or scene change music. The "Promenade" bridges the first movement "Ballade," and final movement, "The Oracle." In the larger context of *Three Poems for Violoncello and Piano*, the "Promenade" movement is in B-flat Major, the  $\flat$  VI of D, the opening and closing key of the work. In this movement, the harmonic motion of the entire work is played in miniature in this march and waltz.

## THE ORACLE

"The Oracle" is a ternary form movement in D minor, marked *Andante sostenuto*. It opens with a ten-measure introduction in the piano. The section boundaries are as follows. The first section lasts 54 measures. The second section, in D major, begins in measure 55 and ends in 109. The third section begins in

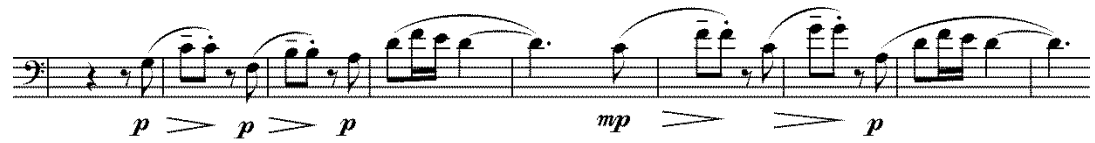
measure 110 with the return of first section material, and concludes the movement. The movement begins with a ten-measure introduction, which features a series of “bell-like” octaves on the note “C” in the piano, with a d minor chord progression in the bass line. Figure 4.51 illustrates the “bell-like” octaves that begin the piece.

**Figure 4.51**  
(Measures 1-2, piano part)



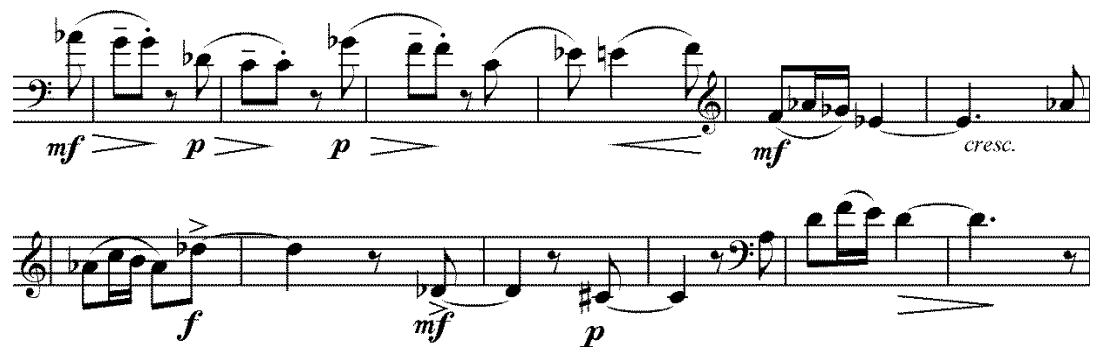
The first section of the movement begins with the cello entrance of the primary theme in the pick-up to measure 11. The theme is a two-phrase period based on an initial phrase of eight measures, and a concluding phrase that lasts ten measures. The first phrase begins with an initial eighth-note leap by a fourth, and the phrase descends in scalar motion until reaching the tonic note, “D.” Figure 4.52 shows the first phrase theme in the cello in measures 10-18. The piano maintains a d minor harmony underneath the theme, with interjections of the “bell-like” octaves at measures 15 and 18. At measure 19, Smith inverts the melodic pattern in the cello, replacing the ascending leaps with descending half steps, as seen in figure 4.53.

**Figure 4.52**  
(Measures 10-14, cello part)



Quarter-note chords in the piano echo each utterance of the theme in the cello, giving the piece a solemn, slow march character. At measure 27, where the melody should end for the sake of symmetry with the eight-measure first phrase, a surprise E-flat seven chord evades conclusion. The closing figure is restated again in measure 28 in d minor, concluding the cello statement of the theme.

**Figure 4.53**  
(Measures 19- 29, cello part)



The piano and cello switch roles in measure 30 as the piano states the theme, with the cello playing a diatonic accompaniment alternating between rolled *pizzicato* chords and *arco* eighth notes in d minor. The cello states the second phrase of the theme, replacing the piano in measure 39, while the piano



descends by linear chromatic harmony in quarter notes. The cello completes the closing phrase, ending initially in G-flat minor in measure 43, then, similarly to the previous statement in measure 27, reemphasizes the closing figure until ultimately concluding in f minor in measure 49. The first section concludes in measure 54 after a modulation from f minor to D major, the parallel major of the opening tonic key.

The second section begins in measure 55 in D major with the cello holding a “D” pedal while the piano plays a new theme. This second theme, shown in figure 4.54, sounds over an ostinato figure in the piano, which features a D major pattern with a borrowed “B” from the relative minor.

**Figure 4.54**  
(Measures 55-63, piano part)



A bridge passage follows, which transitions back to D major as it diminuendos and slows down.

The cello states the second theme in measure 67 in D major, with a D major ostinato in the piano, this time without the borrowed “B.” The piano B minor chord, heard in the treble line in the first beat is emphasized in the second quarter note with an additional “B” sounded at the octave. This intensifies the importance of the previous harmony, tonicizing B minor while the theme and

ostinato remain in D major. Figure 4.55 illustrates the D major theme in the cello and the ostinato figure in the piano's bass line.

**Figure 4.55**  
(Measures 67-74)

The image shows a musical score for measures 67-74. It consists of three staves: a single staff for the cello and two staves for the piano (treble and bass clefs). The key signature is D major (two sharps). The cello part is marked 'cantabile' and 'p a tempo'. The piano part is marked 'p a tempo' and 'accel. e cresc.'. The piano part features a rhythmic ostinato in the bass line, while the upper staves provide harmonic support. The tempo and dynamics markings are clearly visible above the respective staves.

As the cello concludes its statement of the second theme, the tempo accelerates until reaching *Allegro* at measure 75, which begins a bridge passage in E-flat major. The bridge passage is based on an inverted motive from the piano's ostinato from the previous passage. Figure 4.56 shows a comparison between the original piano ostinato passage and the new inverted form in measures 75 and forward. The motive eventually changes into repeated triplets as the passage modulates from E-flat major to B-flat major.

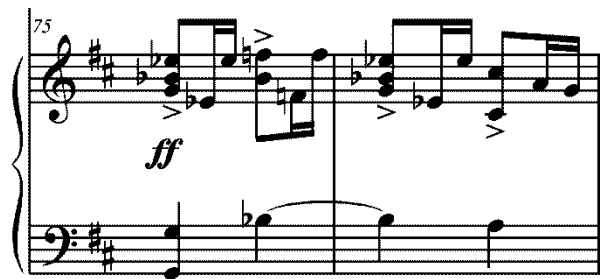
After the bridge passage, the piano restates the second theme in the original tempo over a sextuplet arpeggio in B-flat major, the VI of D minor. After two measures of piano melody, the cello joins the piano with the second theme in measure 85 in B-flat major.

**Figure 4.56**

(Measures 67-68, piano part)



(Measures 75-76, piano part)



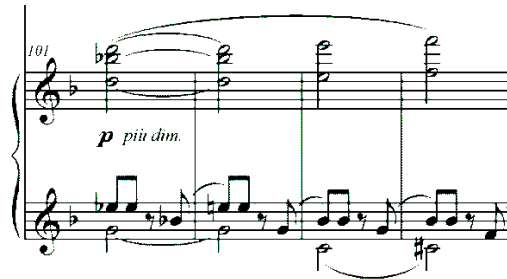
As the theme concludes, Smith modulates back to d minor through alternating thirds, from B-flat to G, then to E-flat, followed by C, finally reaching d minor when the ten-measure introduction recurs in measures 108-118. Again, Smith is emphasizing a cycle of thirds relationship, as he does in the previous movements. The piano foreshadows the return of the first section with a motive from the primary theme in an inner voice in measures 101-104, as shown in figure 4.57.

The return of the introduction begins with the cello restating the “bell-like” figure from the opening, but instead of octaves, Smith uses the fourths from the primary theme, employing the natural harmonics of the cello to create the “bell-like” sound he seeks.

The piano joins in measure 111 with the original d minor chordal introduction that originally occurred in measure 3 of the movement. The piano states the primary theme in measure 119 and is overtaken by the cello in 121.

The cello repeats the primary theme, with brief interjections of the “bell-like” octaves by the piano.

**Figure 4.57**  
(Measures 101-104, piano part)



The second phrase of the theme follows in the cello. As the piece begins to modulate back to d minor, Smith introduces a new piano accompaniment based on a sextuplet arpeggio beginning in measure 131. Smith repeats the conclusion of the melody as an echo, *pianissimo*, in measures 134-138 before finishing the second phrase in measure 140. A bridge section, beginning in measure 141, serves to modulate to C# minor by measure 147. Here, the piano states the first three notes of the primary theme over chords which oscillate between C# minor and C major. Figure 4.58 illustrates this motive, heard over the oscillating chords. The cello then states the same motive over a chordal accompaniment in the piano. The overall dynamic decreases to *pianissimo*.

The “bell-like” octave “C” returns in the piano over a modified form of the introduction chords, with the cello playing a new D minor ostinato. Figure 4.59 shows the ostinato in the cello over the piano’s “bell-like” octaves from the introduction.

**Figure 4.58**  
(Measures 147-150, piano part)

Musical score for Figure 4.58, piano part, measures 147-150. The score is written for two staves: a treble clef staff and a bass clef staff. The key signature has two sharps (F# and C#). The treble staff contains a melodic line with slurs and dynamic markings: *pp* (pianissimo) in measure 147, *p* (piano) in measure 148, and *pp* in measure 149. The bass staff contains a harmonic accompaniment with chords and single notes. The music concludes in measure 150 with a final chord in the bass staff.

**Figure 4.59**  
(Measures 155-158)

Musical score for Figure 4.59, measures 155-158. The score is written for two staves: a bass clef staff and a grand staff (treble and bass clefs). The key signature has two sharps (F# and C#). The bass staff contains a melodic line with slurs and dynamic markings: *pp* (pianissimo) in measure 155, *p* (piano) in measure 156, and *tranne* (tranne) in measure 157. The grand staff contains a harmonic accompaniment with chords and single notes. The music concludes in measure 158 with a final chord in the bass staff.

The movement concludes with *forte* outbursts from both the cello and the piano with references to the primary theme in measure 161, and then the overall dynamic again recedes, as the movement reaches a d minor cadence in measure 167. The cello restates the opening eighth note motive one final time, as an echo, before ending on a harmonic “D.”

An *oracle* is a “divine announcement,” also defined “to speak, pray, or beseech.”<sup>128</sup> While there are no commonly heard classical works called “Oracle,” there are features of this work, which suggest a “divine announcement,” or an important prayer or speech. The movement begins with a ten-measure introduction of “bell-like” octaves. These octaves might suggest a call to worship or an invocation. The opening *Andante* theme is in d minor, which suggests a solemn occasion or a very serious subject. After the initial “oration” by the cello, its second statement of the theme sounds more urgent, intensified by the piano chords that echo each brief utterance by the cello. These chords could perhaps represent a response by those gathered.

“The Oracle” maintains features common in all three movements of Smith’s *Three Poems for Violoncello and Piano*. The movement begins in d minor, the parallel minor of the work’s opening tonic key. After modulating to D major as the initial key of the second theme, Smith uses both b minor and B-flat major prominently in the second section of the movement. This further illustrates the importance of the submediant relationship in each movement. Using a “D” key as tonic in this movement completes the overall harmonic progression of the entire work, I- ♭ VI- i. This overall progression represents the importance of a cycle of thirds relationship, which Smith uses in each movement of the piece.

Smith’s *Three Poems for Violoncello and Piano* features three distinct movements, each of which has important harmonic and stylistic features. Each movement mirrors harmonically the overall progression of the entire work, which

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<sup>128</sup> Webster’s New World College Dictionary, 4th ed., s.v. “Oracle.”

illustrates the cycle of thirds relationship, important to composers of the late nineteenth century as well as David Stanley Smith. In addition to harmonic relationships, Smith's development of accompaniments as well as secondary themes from primary thematic material shows Smith's regard for the style of late nineteenth century composers, most specifically Johannes Brahms. It is striking that this piece, completed in 1947 by an American composer, shows such resemblance to the style of European composers of the late nineteenth century. His subtitles for the movements have subtle programmatic implications for each movement, which create a quasi-tone poem. In contrast, Charles Ives's use of program elements is much more dramatic, and is at the core of his Fourth Violin Sonata's structure.

While the *Three Poems for Violoncello and Piano, Op. 97bis* is a set of three character pieces, form, tonality, and melodic content are much more crystallized in this work, than in his much earlier *Sonata for Violoncello and Piano, Op. 59*. The sonata's unconventional use of form, harmony and melodic content are perhaps why it was published, and *Three Poems* was not. Perhaps by 1947, *Three Poems* was considered too conventional when compared with other, more experimental works of the era by both American and European composers.

## V. ANALYSIS OF VIOLIN SONATA NO. 4 BY CHARLES IVES

The *Fourth Violin Sonata “Children’s Day at the Camp Meeting”* by Charles Ives is an intriguing example of his combination of classical forms and motivic development with his own innovative ideas about tonal relationships, quotation, and *durchkomponiert* or “through-composed” composition. The sonata is written in three movements. Each movement quotes fragments of well-known hymn tunes, which are developed from motives at the beginning of the movement and only become fully realized as the hymn tune in the end. The subtitle, “Children’s Day at the Camp Meeting” refers to the revival meetings that Ives attended as a child with his father in the late nineteenth century in Danbury, Connecticut. The hymn tunes Ives uses were likely performed at these revivals. Ives uses these hymn tunes to create a programmatic work for violin and piano. He describes the program of the work in his endnotes to the score. Ives did not write a sonata for cello and piano, so his Fourth Violin Sonata offers a close comparison within the chamber music genre. Further, the Fourth Violin Sonata was originally composed between 1911 and 1916, and later revised by Ives. Smith’s Cello Sonata was published in 1929, so they were completed within a relatively short period of each other.

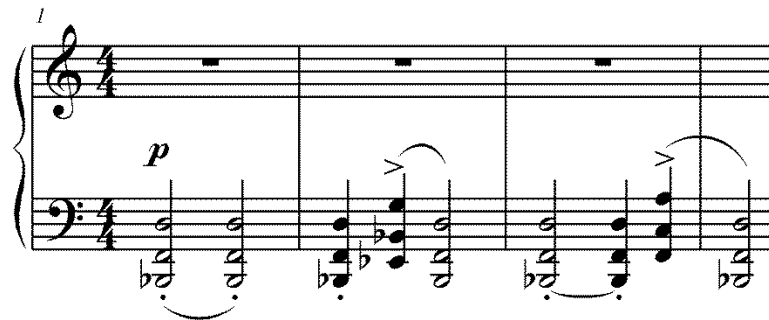


## ALLEGRO

The first movement of Ives's Fourth Violin Sonata is a sonata form movement with cumulative motivic development of two main melodies, both derived from the hymn tune, "Tell me the Old, Old Story." The sectional boundaries of the movement are as follows. The exposition lasts 43 measures. The development begins in measure 44 and concludes in measure 69. The recapitulation begins in measure 70, and concludes the movement.

The exposition begins in B-flat major with a piano introduction, which oscillates between the subdominant and dominant in half notes and quarter notes, returning to B-flat each time. Figure 5.1 shows the piano introduction, which becomes the accompaniment to the primary theme.

**Figure 5.1**  
(Measures 1-4, piano part)



The violin enters in measure 4 with the "a" theme, a motive taken from the end of the refrain from the hymn "Tell Me the Old, Old Story." This motive and a

second motive taken from the same refrain from “Tell Me the Old, Old Story,” are the two main themes of this movement. The first part of the refrain, motive “b,” first appears in the violin in measure 8. By quoting the two fragments and presenting them in reverse order from the original hymn tune, Ives creates original “sketches” of melodies that he develops over the course of the movement eventually into the recognizable refrain from the hymn. Figure 5.2 shows the two motives, as they appear first in the violin part.

**Figure 5.2**  
 (“a” motive, measures 4-6, violin part)



(“b” motive, measures 8-9, violin part)



In a traditional Classical sonata form movement, two themes are presented first in the exposition, and then fragmented and developed. In the recapitulation section, the themes are reprised in their original forms, but in the same key. Here, Ives only presents the full hymn tune once, at the very end of the movement. In the exposition, he has fragmented the hymn tune into two motives, which he uses as themes, as if he is creating an evolution of the quoted hymn tune from his

original motives, and then combines them into the recognizable refrain in the recapitulation. This is an example of what Burkholder calls “cumulative form composition.”<sup>129</sup> In this case, the two motives from “Tell Me the Old, Old Story” become two related, but separate themes that will be the focus of the melodic content of the exposition.

At measure 16, Ives introduces another motive, “c,” in the piano, which is taken from a fully original fugue subject composed by his father, George Ives.<sup>130</sup> This motive, as seen in figure 5.3, will become the basis for a fugue in the development section. This passage is in B major. A modulation begins in measure 10 with the introduction of F-sharp and C-sharp, and tonicizes D major before reaching B major in measure 16. The “a” motive is restated in B major in the violin in measure 18.

**Figure 5.3**  
(Measure 16-19, piano part)



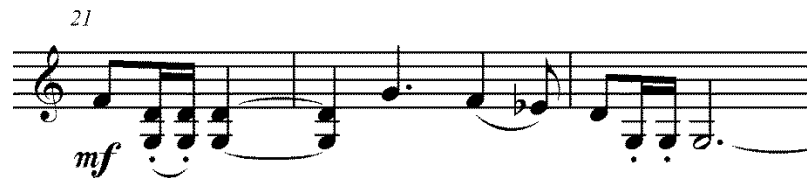
A bridge section follows, beginning in measure 21, with no complete statements of the primary motives. This section modulates from B major to C

<sup>129</sup> J. Peter Burkholder, *All Made of Tunes: Charles Ives and the Uses of Musical Borrowing*. (New Haven: Yale University Press, 1995), 178.

<sup>130</sup> *Ibid.*

major through a series of descending quarter note harmonies beginning in measure 21. The sequence recurs at a fourth higher at the end of the measure, and continues into measure 22 before again ascending by a fourth. C major is ultimately reached at the end of measure 23. The “a” motive from the previous section is concluded at the beginning of this bridge, with an altered ending. This “d” motive recurs in measure 33. Figure 5.4 illustrates the “d” motive in the violin.

**Figure 5.4**  
(Measures 21-23, violin part)



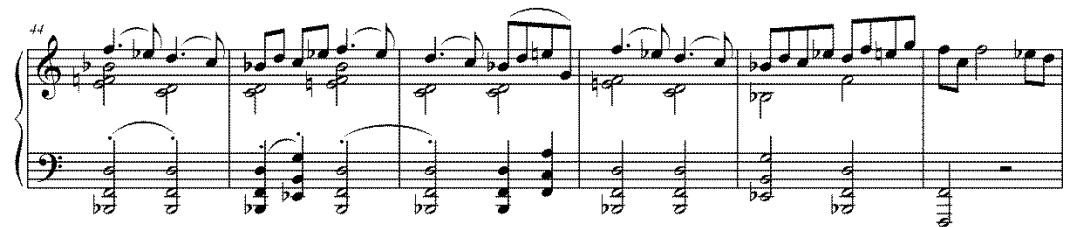
Brief fragments from both the “a” and “b” themes appear in the bridge section, but neither motive returns in its entirety. At measure 24, a brief fragment of the “b” theme occurs in the piano. At measure 26, the first eight notes of the “a” theme return in the piano. This occurs again at measure 31. The violin reiterates a shortened version of the “d” motive in measure 33. A statement from the “b” theme returns in the violin in measures 36-38, concluding the episode. This episode begins the process of continuous development that remains throughout the movement.

The “a” theme returns in C major in measure 39, which begins the closing section of the exposition. This is the only full return of the theme until the

recapitulation. Underneath the melody, the accompaniment features *marcato* half notes in C major, offset rhythmically between the top and bottom voice of the piano by a quarter note. This brief closing section concludes the exposition.

The development sections begins in measure 44 in B-flat major and the “c” motive first presented in measure 16 becomes the fugue subject of this section. This middle theme, as seen in figure 5.5 appears in the piano at measure 44, and is the subject of a fugue, which Ives composes as the primary focus of the development section. The fugue subject lasts three measures, as seen in measures 44-46 of figure 5.5. The violin presents the countersubject in measure 48, which initially sounds like an entry of the “a” theme, but quickly dissolves into a free counterpoint of eighth notes taken from the end of the fugue subject. Figure 5.6 shows the countersubject in the violin part in measures 48-50.

**Figure 5.5**  
(Measures 44-49, piano)



**Figure 5.6**  
(Measures 48-50, violin part)



The fugue subject moves to the bass voice of the piano in measure 50 and juxtaposes with the countersubject in measure 51. A fragment from the “a” theme returns in the piano at measure 52 and the section continues to add layers, which transform from theme fragments into free counterpoint in eighth notes until measure 57.

The development section begins to close at measure 57 in a large scale *crescendo* and general *accelerando*, as the “c” theme fugue subject is fragmented in the piano. The violin and the piano provide a brief three-note accompaniment in between each of the “c” theme fragments. The closing continues to accelerate and grow louder in both violin and piano, making the section sound harried and frantic. In his notes to the sonata, Ives gives his account of the revival camp meetings that occurred in Danbury in the late nineteenth century. These were outdoor meetings held in the summers in farm towns. Ives mentions that one day in particular at each meeting was held specifically for the children.<sup>131</sup> This sonata is his musical recollection of the Children’s day at the camp. The violin plays the role of the boisterous boys marching around the camp at the end of the evening service, getting louder and faster as they get more and more excited. The violin part often seems to get distracted in mid-phrase, as in measures 18-21, where the violin begins the “a” theme, but at the end of measure 21 changes abruptly to the “d” motive. In the development section, the meter changes often to accommodate this sense of chaos and excitement. The meter changes from common time to 2/4 and back again quickly, mimicking the play of the boys at the camp. In the recapitulation, the first time we hear the refrain from “Tell Me the Old, Old

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<sup>131</sup> Charles Ives, “Notes to the Fourth Violin Sonata,” 21.

Story” in its original order, it grows louder and higher, as if the boys are getting increasingly excited. Suddenly in measure 78, a huge drop in dynamic level from *fortissimo* to *pianissimo* indicates the time for exuberant marching has ended.

The piano portrays a young boy who Burkholder suggests is likely Ives, practicing the organ at the end of the service.<sup>132</sup> The piano begins what sounds like a harmonic exercise, oscillating between the subdominant and dominant and then returning to tonic in B-flat major. As the violin enters with the “a” theme, the piano follows, trying to keep up with the violin (the boys). The development section fugue is striking because it both conveys compositionally the young student’s organ practice at “fugaticks” as Ives suggests<sup>133</sup> as well as the growing commotion of the boys marching and singing after the service. Ives includes added pitches throughout the movement to suggest the out of tune singing by many of the “loudest voices.”<sup>134</sup>

This movement, while using traditional elements like sonata form and through-composed motivic development, is unconventional and imaginative. Ives quotes a theme, but rather than quote the theme in the beginning and fragment it over the course of the movement, he states the theme fully only at the end of the movement. He creates motives from fragments of the quoted hymn tune and uses them as themes, which he develops in sonata form. The result is a motivic development with a pre-conceived quotation as the culmination of the compositional process.

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<sup>132</sup> Burkholder, 180.

<sup>133</sup> Ives, “Notes to the Fourth Violin Sonata,” 21.

<sup>134</sup> *Ibid.*

The closing section beginning in measure 57 accelerates and *crescendos*, which reflects Ives's comment in the notes that "the boys' march [reaches] almost a 'Main Street Quick-step.'"<sup>135</sup> During this general *accelerando*, fragments from the "b" theme return. In measure 60, the first "b" theme returns briefly, but is not fully realized before a three-note descending quarter note passage interrupts the theme. The violin restates the theme a second time, beginning in measure 64, but again it does not fully return. This time the theme grows louder, but it does not conclude. Throughout this section, the accompaniment consists of free counterpoint that begins as fragments of the fugue subject and countersubject. The passage modulates through a passing dominant chord to B-flat, returning to the tonic key and marking the end of the development section.

The recapitulation section begins in measure 70 in B-flat major. Here, the "b" theme from the exposition returns first, which creates the first fully recognizable statement of the refrain from "Tell Me the Old, Old Story." Figure 5.7 shows the recapitulated version of the "b" theme with the "c" theme used along with B-flat major chords as accompaniment in the piano. After this full statement of the refrain, Smith repeats the "a" theme from the exposition *pianissimo* in the violin in measure 78, and the "c" theme is replaced by the oscillating accompaniment motive from the piano introduction. The accompaniment pattern continues and the violin holds a B-flat, concluding the movement.

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<sup>135</sup> Charles Ives, "Notes on the Fourth Violin Sonata." (New York: Associated Music Publishers, Inc., 1942), 21.



**Figure 5.7**  
(Measures 70-77)

The image displays a musical score for measures 70-77. The tempo is marked "Allegro molto" with the instruction "(in octaves, ad lib.)". The dynamics are marked "ff" (fortissimo). The score is written for a single melodic line (treble clef) and a piano accompaniment (grand staff). The piano part consists of a right-hand line with complex rhythmic patterns and a left-hand line with a steady bass line. The melodic line features a series of eighth and sixteenth notes, often beamed together, with some longer note values. The key signature has one flat (B-flat major or D minor). The score is divided into two systems: the first system covers measures 70-74, and the second system covers measures 75-77. Measure numbers 70, 75, and 77 are clearly marked at the beginning of their respective lines.

This movement is an example of *durchkomponiert* or “through-composed” composition. Ives uses two motives drawn from the hymn “Tell Me the Old, Old Story,” and develops them over the course of the movement. This makes the recapitulation more than just a return of the two themes in the tonic key, but the culmination of this overall development is the refrain from “Tell Me the Old, Old Story.”

In addition to the compositional direction created by the two motives, Ives uses the process of continuous development of his themes. Beginning in measure 21 of the exposition, Ives starts to fragment and manipulate statements of the two themes. Traditionally, most fragmentation and development of thematic material

occurs in the development section. Because Ives has already begun the process of development of the two themes in the exposition, he introduces a new middle theme in the development. Here, he uses this new middle theme as the subject for a fugue and intersperses fragments of the two themes throughout the fugue section.

Tonally, the exposition is in B-flat major. Both the “a” theme and the “b” theme appear in B-flat major. When Ives first introduces the “c” motive, it is in B major, a modulation of a minor second. The development fugue returns to B-flat major. The fugue modulates to F major before returning to B-flat major at the recapitulation. While other examples of Ives’s composition are less clear tonally, this example is very straightforward. Many of the passages include non-chord tones, which represent the out of tune singing of the boys at the camp. Ives even notes that at the camp, “the loudest singers and also those with the best voices, as is often the case, would sing most of the wrong notes.”<sup>136</sup>

## LARGO

The second movement of the Fourth Violin Sonata is a ternary form movement that follows the same principle of “cumulative development” as the previous movement. Here, Ives takes material from the refrain of “Jesus Loves Me,” and creates two themes, one an almost exact quote from the refrain, and the

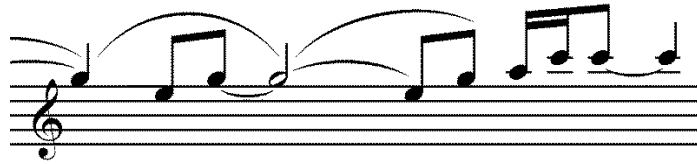
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<sup>136</sup> Ibid.



The second motive, “b” begins on the tied quarter note that ends the previous motive. The second motive, as shown in figure 5.9 is a direct quotation of the refrain from “Jesus Loves Me.”

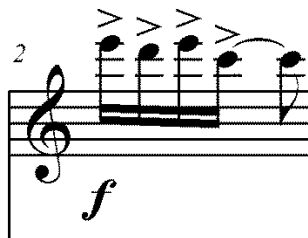
**Figure 5.9**  
(Measure 1, piano, “b” motive)



The first section is freely tonal. The two melodic motives presented in measure one are both in C major, but the tonality of the harmony does not support the melody.

In measure 2, the piano presents a third motive, “c.” This “c” motive becomes the middle theme in the second section. Figure 5.10 illustrates the “c” motive in the piano.

**Figure 5.10**  
(Measure 2, piano, “c” motive)



The violin enters in c major with the “b” theme fragment from “Jesus Loves Me” in measure 2, but the harmony in the piano is still based on stacked fifths beginning on F. The piano reasserts the “c” motive. By then end of the second measure, the violin states a paraphrase of the “b” theme clearly in D major, but the harmony underneath centers around G chords, the subdominant of D major. As the “b” theme continues into measure 3 in the violin, quintuplet arpeggios descend chromatically, following the contour of the melody in measures 3 and 4 replacing the half note chords of the previous measure in the piano. The accompaniment becomes more harmonically recognizable, but the harmonies do not match the tonal structure of the melody, continuing his subdominant accompaniment.

Measures 5 through 8 conclude the first section. The harmony crystallizes into E major. The “b” theme is presented clearly in the violin in E major. The piano accompaniment continues the quintuplet arpeggios, but here they oscillate between E major and the subdominant, A major. Additional notes are added to the arpeggios, which come from the “b” theme itself. The conclusion of the section is clear because of a general *ritardando* that is interrupted in measure 9 by the new *Allegro* tempo and a 3/8 meter.

The second section begins with changes in meter, tempo, texture, and thematic material. The *Allegro (conslugarocko)* is in 3/8 time, and features the “c” motive from the first section developed into a theme. Ives marks the theme “faster and with action.” This section is much more accented than the previous section’s general sustain, with accent and *marcato* symbols over many of the melodic notes

and the syncopated notes of the accompaniment. Figure 5.11 shows the “c” theme as seen in measures 9-12 of the piano part. The term “conslugarocko” is Ives’s invention. He is referring literally to his peers at the revival camps leaving prayer services to skip stones in the nearby pond.<sup>137</sup>

**Figure 5.11**  
(Measures 9-12, piano part)

*Allegro (conslugarocko)*  
*Faster and with action*

The musical score for measures 9-12 is presented in two staves. The top staff is in treble clef and the bottom staff is in bass clef. The music is in 3/8 time. Above the staves, the tempo and character are indicated as *Allegro (conslugarocko)* and *Faster and with action*. A dynamic marking of *f* (forte) is placed below the first measure of the bass staff. The notation includes various rhythmic values such as eighth and sixteenth notes, as well as rests. Accents (>) are placed above several notes in both staves. The key signature consists of one flat (B-flat) and one sharp (F-sharp).

This character indication encourages the performers to create a carefree, exuberant tone for this section. Perhaps the abrupt shift from the smooth, lyrical hymn melody to the boisterous, accented *Allegro (conslugarocko)* implies the boys releasing pent up energy along the rocks as a recess from the worship service.

In addition to changes in tempo and meter, the tonality shifts from freely tonal and later E major in the first section to a “C” based freely tonal harmony and whole tone scales in the second section. The harmony centers on the repeated “C”

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<sup>137</sup> *ibid.*

in the bass of the piano part beginning in measure 9, which continues until measure 24. Many accidentals and chromatic neighbor tones avoid reference to a tonal key centered on C, and even the melody features a “C-sharp” at the end of each phrase that clashes with the accompaniment “C.” In measure 26, as the dynamic level increases, and a largely whole tone scale, with alterations, leads to fragmentation of the “c” theme, as seen in figure 5.12.

**Figure 5.12**  
(Measure 26, piano part)



The fragments of the “c” theme continue for three measures and conclude the section. The “C” in the bass line of the piano returns and a decrescendo at the end of measure 29 prepares the listener for the concluding section. Interestingly, the second section does not include the violin. Perhaps Ives wanted to reserve the violin for the more lyrical “a” and “b” themes taken from “Jesus Loves Me.” In the first section, the violin only states the “c” motive once, in measure 2, and the

piano echoes the motive. After that, the “c” motive and later the theme only appear in the piano.

The third section begins in measure 30 with a change in texture and the end of the “c” motive. Here, Ives layers the “a” and “b” themes in the violin and piano in D major. The accompaniment in the piano is in G major, the subdominant of D. The accompaniment is a descending pattern of sixteenth and thirty-second note septuplets. While the “a” and “b” themes have returned, this section is metered in 8/8, unlike the unmetered first section of the movement. The “b” theme, the recognizable refrain from the hymn tune is presented by the piano in measure 30, while the “a” theme paraphrase becomes an *obbligato* passage in the violin. Here, tonic and subdominant harmonies are juxtaposed, where in the first section, the accompaniment oscillated between tonic and subdominant. The juxtaposition of tonic and subdominant suggest an allusion to a plagal cadence, which in Christian hymn music often concludes with the text, “Amen.”

At measure 34, the accompaniment thins, creating a clearer homophonic texture and the tonality crystalizes in A major. The piano continues the “b” theme, and the violin continues its *obbligato* “a” theme, but with quintuplet sixteenth notes in A major in the accompaniment as seen in figure 5.13. The violin and piano switch roles as the tempo slows and the dynamic decreases at measure 38. Here, the “b” refrain is simply stated in the violin, and the piano states the paraphrased “a” theme. The accompaniment pattern oscillates again between tonic E major, and the subdominant A major in sixteenth note arpeggios. Both parts



*diminuendo* gradually, until the final measure becomes almost inaudible. The piano states a final plagal cadence in E major, a clear “Amen.”

The second movement follows the same cumulative form idea as the first movement. Two main themes are drawn from motives from the hymn tune “Jesus Loves Me.” Throughout the movement, Ives develops these themes, presenting them first individually, before ultimately becoming recognizable as the refrain of the hymn tune in the final section.

**Figure 5.13**  
(Measures 34-37)

The musical score for measures 34-37 is titled "Adagio cantabile" and "arco". It consists of two systems of music. The first system covers measures 34-35, and the second system covers measures 36-37. The score is written for a violin and piano. The violin part starts in measure 34 with a *pp* dynamic and features a melodic line with a triplet in measure 35. The piano part also begins in measure 34 with a *pp* dynamic and *legato* marking, featuring a bass line with repeated chords marked with a "5" (quintuplet). In measure 36, the violin part has a *ten.* (tension) marking and the piano part has a *poco rit.* (poco ritardando) marking. The score concludes in measure 37 with a final cadence in E major.

In this movement, instead of combining two parts of the same refrain into a final melodic statement of the quoted material, Ives uses the “a” theme, which is a paraphrase of “Jesus Loves Me,” as an *obbligato* passage heard simultaneously with the recognizable “b” theme refrain.

The tonal structure and meter of the movement are interesting features of the cumulative form design. The first section is the least key-centered section of the movement. Here, Ives presents the “a” and “b” themes, both in C major, but the accompaniment harmony does not match C major. Instead, stacked fifths form the basis of the accompaniment in the piano. This creates vagueness in the tonal structure of the first section. A lack of consistent meter in the first section exaggerates the overall vagueness. The first section has no written meter signature; the measures are unequal lengths, and follow the length of phrases, rather than a central rhythmic structure. At the end of the first section, the tonal center focuses on E major, and becomes more recognizable in a key centered structure. The second section reiterates the beginning vagueness of key centered tonality, with the repeated note, “C” in the piano accompaniment, but no recognizable harmonic progression throughout the beginning of this section. The meter has become regular, marked first in 3/8 time, but over the course of the section, many meter changes to 4/8, 3/8, and 5/8 time create an improvisatory sense to the section.

The final section is the culmination of key and meter. The “a” and “b” themes return, but this time in a clear 8/8 meter, and the theme is presented first in D major, and later in A major, with accompaniment in the subdominant key.

Ives's use of the subdominant key correlates with his choice of hymn quotation. Many hymn tunes conclude with a plagal cadence, a progression from the subdominant returning to the tonic chord, rather than an authentic cadence. Ives is drawing attention to the plagal cadence throughout the movement, with his juxtaposition of the subdominant and tonic keys. Perhaps his use of juxtaposed harmonies in the final section refers to the "Amens" heard from the congregation during the sermon or at other times in worship services, as they often would "ring out as a trumpet call from a pew or from an old 'Amen-seat.'"<sup>138</sup> The second movement is Ives's recollection of prayer services at the camp meetings.

Like the first movement, and the sonata as a whole, Ives's second movement is programmatic. Here, he is relating a scene from an evening prayer service at the camp. In his note, Ives mentions that the movement centers around "a rather quiet but old favorite Hymn of the children."<sup>139</sup> Behind the "Jesus Loves Me" refrain, the accompaniment "[tries] to reflect the out-door sounds of nature on those Summer days."<sup>140</sup> The "c" motive, first heard briefly in measure two is that evocation of the sounds of nature. The "c" motive becomes the livelier theme of the second section. The second section reflects the boys at the camp "[throwing] stones on the rocks in the brook! (Allegro con slugarocko!)"<sup>141</sup> The descending sixteenth note pattern perhaps suggests the stone bouncing as it falls down the rocks into the brook. Ives mentions that at the end of the movement "a

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<sup>138</sup> Ibid.

<sup>139</sup> Ibid.

<sup>140</sup> Ibid.

<sup>141</sup> Ibid.

distant Amen is heard.”<sup>142</sup> This is most recognizable in the last two chords of the movement in the piano, but is further suggested throughout the movement by Ives’s use of both oscillating and juxtaposed tonic and subdominant harmonies.

The second movement of the Fourth Violin sonata continues Ives’s use of cumulative form to “develop” motives into a quotation from a well-known hymn tune. In addition to quotation, Ives focuses on the subdominant and tonic key relationships, as well as creates a memorable meditation on the prayer services from his youth at the revival camps.

### **ALLEGRO**

The third movement of the sonata is a three-section cumulative form movement in E-flat major. Ives uses two quotations from the hymn, “Shall We Gather at the River” as the two themes of the movement. The “a” theme comes from the verse of the hymn, and the “b” theme comes from the refrain. The final section of the movement combines the two themes back together as part of a full quotation of the hymn. The section boundaries are as follows. The first section lasts 18 measures. The second section begins in measure 19 and concludes in measure 36. The final section encompasses the full statement of the “At the River,” and begins in measure 37 and concludes the sonata.

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<sup>142</sup> Ibid.

The first section presents two main motivic ideas, derived from the verse and refrain of the hymn tune, “At the River.” Interestingly, the motives are paraphrases of the verse and refrain, altered each time they return, as if developing into the hymn’s quotation. The section begins with a four-measure introduction in E-flat major. While the chords in the introduction do not recognizably suggest E-flat major, the sustained B-flat heard in the bass line, which resolves in measure 5 to E-flat, makes the B-flat a dominant pedal, and indicates E-flat major as the tonic key. The introduction states two fragments paraphrased from the “a” motive in measure 1 and 3. The violin enters in measure 5, and states a paraphrase of the “a” motive as seen in figure 5.14. The “a” motive comes from the verse of “At the River.”

**Figure 5.14**  
(Measures 5-7, violin part)



The “b” motive, which first appears in the violin in measure 9, comes from the refrain of the hymn tune. Figure 5.15 illustrates the “b” motive in the violin. The violin completes the “b” theme in measure 14, which could conclude the section, but a four-measure extension, which repeats the introduction piano material, extends the section until measure 18.

**Figure 5.15**  
(Measures 9-10, violin part)



The violin sustains the final pitch “E-flat” from measure 14-17, which further confirms E-flat major. A final quote from the “b” motive concludes the section in measure 18 as the tempo slows.

The second section begins in measure 19 in E-flat major with a new countermelody, “c,” which derives from the first two notes of the “a” motive, but develops quite distinctly from the “a” motive. In the new “c” motive in the violin, as shown in figure 5.16, the first two notes, which descend by step like the “a” motive, are repeated, before leaping a sixth into the next octave of the violin, where the “a” motive retains the close structure of the verse from “At the River.”

**Figure 5.16**  
(Measure 19-22, violin part)



The “b” motive returns in the violin in measure 27, foreshadowing the full quotation of the “At the River” in the final section. Throughout the second section, the accompaniment does not always fit with the melodic line. Here again, as in the two previous movements, Ives is perhaps writing clashing harmonies,

with added notes, or simply chords that do not fit with the melodic line to represent the “untrained” and “enthusiastic” singing of the boys and the grown men at the camp meetings.

The “b” motive continues in measures 29 and following, completely overtaking the countermelody. In measure 33, the violin reaches returns to the pitch “E-flat” and sustains it for four measures. Underneath the sustained E-flat, the extension passage first heard in measures 15-18 recurs, with minor alterations. This extension transitions into the final section, which begins in measure 37.

The final section presents the hymn tune “At the River” in its entirety in E-flat major, beginning in measure 37. The “a” motive becomes the verse section of the hymn, and the “b” motive is the refrain. The verse section begins in measure 37 in the violin with the piano accompaniment in E-flat major, with added note chords throughout the accompaniment. The verse concludes in measure 44, before a one-measure extension in measure 45. At measure 46, the “b” motive becomes the refrain of the hymn, and the tempo increases. The movement ends with a fragment of the “b” motive, which ends abruptly, as an invitation, “Shall We Gather?” Ives creates the open sounding harmony by shifting tonality from E-flat major to E-flat mixolydian mode in measure 55, and concludes the movement.

The form of the finale to the Fourth Violin Sonata is cumulative, like the previous movements before. Two motives, “a” and “b” derived from the hymn tune “At the River,” culminate in a complete quotation of the hymn. J. Peter Burkholder argues that the final movement is “just a song setting and reworking

of the hymn tune, not a cumulative setting, for only the brief introduction precedes the tune itself.”<sup>143</sup> The culminating section is a setting of the hymn tune itself; however, this does not negate the cumulative motivic development of the entirety of the movement. Ives begins the movement with paraphrases that foreshadow the hymn tune. As in previous movements, these motives are developed until the logical conclusion of the development is the recognizable quotation from the hymn tune itself. In both previous movements, Ives uses the hymn quotation as the culmination of the movement. Here, Ives still uses the quoted material in the final section, and adds the rest of the hymn. Where in previous movements, he implies the hymn, in this final movement, the hymn is the final section.

The final movement maintains E-flat major throughout the movement. While added note chords and progressions found in the opening measures blur the tonality, E-flat major is the dominant key of the “a” and “b” motives, and the “c” countermelody. The only shift in tonality in the movement occurs in the very end, when Ives shifts from an E-flat major tonality to E-flat mixolydian mode. He accomplishes this shift to a mode through descending conjunct dotted quarter notes, beginning with an F-sharp major chord, that ultimately reach the final statement of the “b” motive three measures before the end of the movement. The modal ending provides Ives with an open sounding harmony, that does not end on a conclusive E-flat triad as the listener might expect. Instead, the final chord seems to conclude the piece with a question, “Shall We Gather?”

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<sup>143</sup> Burkholder, 194.



The program of the final movement illustrates the end of a camp meeting, where like the first movement, “the boys get marching again.”<sup>144</sup> The movement begins *Allegro*, and increases to *Allegro molto* in the final section, matching the growing excitement of the boys as the march around outside. Ives also notes that the boys and grown men would “sing what they felt,” which is illustrated by the fragments of the hymn tune heard throughout the movement, as well as the added note chords, which represent the cacophonous singing of those gathered. The ending, as previously mentioned, concludes with the verse section of the hymn, where the text of the hymn reads, “Shall We Gather at the River.” Ives ends this movement with a non-cadential chord, suggesting an invitation, “Shall we Gather?” Ives states that this movement references the boys and grown men marching and singing, and ultimately “[gathering] at the river.”<sup>145</sup>

Charles Ives’s Fourth Violin Sonata is an example of how Ives uses traditional classical forms, introducing unconventional and distinctive elements of quotation, tonality, and program in his compositions. Ives’s use of quotation is central to the structure and the program of his sonata. He creates each theme from some element of the quoted material. His colleague David Stanley Smith’s use of quotation in his *Sonata for Violoncello and Piano, Op. 59* is much more subtle, and only serves as one of the themes, not the basis for each theme, like in Ives’s music. The Fourth Violin Sonata is in three movements, each of which is in a “cumulative” form. Ives develops motives that culminate in quotations from well-known hymn tunes, while relating his memories of revival camp meetings in his

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<sup>144</sup> Ives, *Notes on the Fourth Violin Sonata*.

<sup>145</sup> *Ibid.*

hometown, Danbury, in the late nineteenth century. His music often uses added note harmonies, as well as free tonality, which add to the unvarnished, yet compositionally complex nature of his works. Ives's music is popular today, and well studied for his use of quotation, interesting tonal choices, and programmatic elements, where Smith's is largely forgotten to history. This subject is discussed in further detail in chapters 6 and 7. Ives's Fourth Violin Sonata is a clear example of his mastery of classical style, and his unique perspective on that style.

## VI. COMPOSITIONAL COMPARISON OF SMITH AND IVES

David Stanley Smith and Charles Ives both incorporate traditional formal elements with their own unconventional adaptations to create wholly original compositions. In addition, both use quoted material, Ives more frequently than Smith. While they share common traits, it is remarkable how different their compositional styles are, especially when considering they studied in the same studio at the same time with the same professor, Horatio Parker, at Yale. There are remarkable differences in their use of tonality, their use of quoted materials, and their approach to motivic and thematic development. While both men cultivate new ideas using traditional methods, Ives reaches much further than Smith does in terms of innovation, especially with regard to tonality, and his use of quoted material.

In David Stanley Smith's *Cello Sonata, Op. 59* and his *Three Poems for Violoncello and Piano, Op. 97bis* as well as Charles Ives's *Fourth Violin Sonata*, both composers employ Classical-era forms, including ternary, sonata, and sonata-rondo designs. What is interesting is the way in which both men use these forms in unconventional ways to create unique and memorable pieces of music. It is not unique that Smith and Ives adapt Classical forms or alter them to fit their needs. Most noteworthy examples of formal design in music are remarkable because of the instances where the composer "breaks" a traditional facet of the

prototypical form. What is unique in both Smith's and Ives's works is the individual stylistic choices they make with regard to form.

The first movement of Smith's *Cello Sonata, Op. 59*, is modeled on sonata-rondo form with significant departures. The movement is a hybrid of the sonata-allegro principle and the rondo form. Sonata-rondo movements are common among the Classical era works of Mozart, Haydn, and Beethoven. Typically, in sonata-rondo form, two contrasting themes are presented with a "rondo" theme in between them, or alternatively, the rondo theme acts as the principal theme and the first episode material acts as the second theme. In the first movement of Smith's sonata, the first theme occurs following a slow introduction. An episode, which develops the previous theme, follows, and foreshadows the coming second theme. The second theme area follows the episode. This is a departure from the traditional model. Instead of a rondo theme linking two contrasting theme areas, the intervening section begins the process of continuous development for both of the principal themes. Smith's development of themes immediately following their initial presentation in a movement links him with the organic development of thematic material typical in both the symphonic and chamber works of Johannes Brahms, including his First Symphony and the *Intermezzo in A* for piano. Charles Ives also exhibits continuous developments of motives and themes over the course of entire movements. His motives develop into larger themes, which only become recognizable as a full theme at the conclusion of the movement, where Smith's themes are quite lengthy at their initial presentation, rather than building motives into a longer theme.

Since Smith develops his themes throughout the entirety of the movement rather than chiefly in the development section of the movement, this enables him to present and develop a new “hymn-like” theme in the development section. The incorporation of a new “development” theme is not new. Beethoven’s “Eroica” Symphony features a new theme in its development in the sonata form first movement. In addition to his new “hymn-like” theme, Smith interjects fragments from the first and second themes around the middle theme. This creates continuity throughout the movement.

The finale of Smith’s sonata also combines sonata and rondo design elements. The movement begins with an almost self-contained *Largo* introduction. This introduction will return in the final section of the movement. A Sanctus from a tenth-century plainchant mass for Easter Day follows before the *Allegro* rondo section. Each of these three major sections could have become complete movements, but Smith combines the three sections into an overarching sonata form by using the *Largo* introduction as the primary theme, the Sanctus quotation section as the second theme, and the *Allegro* rondo as the development section. His incorporation of a new theme in the development is a perpetuation of the same feature of the first movement. While this combination of three major theme areas is complex, his focus on melody and seamlessness makes the movement flow effortlessly for the listener, without any section breaks or pauses. The introduction ends on a pivot chord that becomes the opening drone of the Sanctus. The cadenza that concludes the Sanctus section develops into the introduction of the *Allegro* section. After the introduction material returns to

signal the recapitulation, Smith reprises the *Allegro* theme before ultimately completing the work with the Sanctus melody. In his finale, Smith presents three themes, and recapitulates all three themes in the final section of his finale. Charles Ives use his motives, which repeat in the conclusion like Smith, to go beyond simple reprise. Instead, they blend into a synthesis of motives, which eventually become recognizable hymn quotations.

In his Fourth Violin Sonata, Charles Ives writes a sonata form first movement, which ends in a cumulative development of two principal themes. These themes, when presented together in the conclusion form part of a hymn quotation in the recapitulation. This is a significant departure from Classical sonata design. In a traditional sonata form movement, the exposition features themes that generally contrast in key, contour, range, or some other significant way. A development section follows where the composer typically fragments the two themes, altering them from their original form, often by employing new and distant key relationships, inversions, fragmentation, as well as other compositional manipulations. The final recapitulation section reprises the two main themes in their original form with the exception that the second theme will be in the same key as the primary theme, thus providing a sense of harmonic resolution for the two theme areas. Typically, the two themes contrast, and other than sharing a common key in the recapitulation, there is usually no other culminating fusion of the two themes. This is not the case with Ives's themes in the first movement. Ives presents two main motives, both of which are quotations from the hymn tune, "Tell Me the Old, Old Story." The purpose of this sonata

form movement is the cumulative development throughout the movement of the fully recognizable refrain from “Tell Me the Old, Old Story” in the recapitulation, which is built from the two exposition motives. Therefore, the entire movement takes the form of an overarching development towards the resulting quotation. This is a developmental step further beyond the harmonic resolution that is typical of sonata form movements. Like Smith’s first movement of his Cello Sonata, Op. 59, Ives develops the motives almost immediately and he inserts a new theme in the development section, which becomes the subject of a fugue. The three-measure fugue subject, originally composed by his father, George Ives, is stated first in the piano. The violin states a countersubject, which incorporates the first four notes of the primary theme. The subject and countersubject are restated frequently in both violin and piano throughout the development section. The final section of the movement is the synthesis of the primary and second themes; they become part of the recognizable quotation of the refrain from the hymn, “Tell Me the Old, Old Story,” with the fugue subject as the accompaniment.

Ives continues his overarching development of motives drawn from a hymn quotation in the other two movements of his sonata. The second movement takes a motive quoted from the hymn tune, “Jesus Loves Me,” along with a paraphrase of the hymn tune as the two exposition themes. In the final section, the first motive becomes the quotation of “Jesus Loves Me,” and the second motive ultimately becomes an *obbligato* accompaniment to the hymn tune. The third movement presents a quote from the refrain of “At the River,” and ends in a full interpretation of the hymn.

While both composers' works reflect a thorough understanding of Classical form and technical skill, Ives's cumulative development idea is less rooted in nineteenth century traditional development techniques than Smith's. Smith's method of presenting theme and then immediately developing it is interesting, but maintains close ties with the late Romantic era style of Brahms. Brahms's second and additional themes often derive from earlier themes in the movement. In Smith's first movement, he foreshadows the second theme in the episode following the first theme area, where the initial development of the first theme occurs. In contrast, Ives follows sonata form procedure, but rather than developing new themes from the initial theme, he creates themes from the quotation of hymn tunes, and the quoted material only appears in its entirety at the conclusion of the movement. In the finale of his Cello Sonata, Op. 59, Smith introduces the "Sanctus" melody from a tenth century plainchant as his second theme. He then incorporates this theme into the larger structure of the movement. He fragments and manipulates the theme using techniques rooted in nineteenth century abstract composition. Ives, on the other hand, creates original motives and themes, drawn from quoted material. In essence, Ives uses his original motives as hypothetical sketches that evolve into the quoted material. This is a reverse of the Romantic trend of subsequent themes organically developing from initial motives and themes. While Smith quotes material and then develops it continuously over the course of the finale in his sonata, Ives reverses the process. Ives presents the quoted material at the end of the movement, as the culmination of the continuous



development process of his original motives, when in fact, the motives themselves are the result of his development of the quoted material.

In their representative works, Smith and Ives differ greatly in their tonal choices. Smith's music tends to be much more conservative with regard to tonal relationships when compared with Ives. In his *Sonata for Violoncello and Piano, Op. 59*, Smith combines cycle of thirds tonal relationships with sections of modal harmony. His *Three Poems for Violoncello and Piano, Op. 97bis*, is much more conventional, relying on cycle of thirds relationships throughout each movement, but the work as a whole is noteworthy for its overall key relationship, I-  $\flat$  VI-i, because the same relationship in miniature occurs within each movement. While both composers incorporate interesting and unconventional tonal ideas into their representative works, Smith is more reserved, clearly maintaining stylistic traditions of the late Romantic era, while Ives combines clear and effective tonal relationships, but also incorporates experimental harmonic choices, both in the small-scale with his use of unconventional harmonies, and in his juxtaposition of keys within his works. Smith's use of cycle of thirds relationships throughout his Cello Sonata, Op. 59 and his *Three Poems for Violoncello and Piano, Op. 97bis* possibly reflects his interest in maintaining compositional practices common to late nineteenth century composers. Conversely, Ives's melodies are not always supported harmonically by their accompaniment, which reflects his experimentation with tonality and harmonic relationships. This probably evolved out of lessons learned from his father, George Ives's experiments with tonality

and tonal relationships. Ives often questioned what he believed were arbitrary rules about tonal relationships.<sup>146</sup>

Smith's *Sonata for Violoncello and Piano, Op. 59* begins in C Dorian mode, and eventually concludes in B-flat major. This is a noteworthy phenomenon. During the early twentieth century, one result of the decline of tonal relationships as the chief feature defining compositional structure is that composers were free to use less common harmonic devices in their works, since other features like motive and even dynamic and articulation could define structure. Composers of this era incorporated pentatonic, octatonic scales, and modes and non-Western scales into their works. These scales and systems were previously neglected by Classical and Romantic composers, who relied on key relationships as the foundation of the structure of their compositions. While Smith incorporates both modes and key centered tonality, he maintains key relationships as a primary means of defining structure.

The first movement of Smith's *Sonata for Violoncello and Piano, Op. 59* begins in C Dorian mode. He then transitions to B-flat major, a key centered tonality. After B-flat major, he alternates modulation by thirds or fifths, first from B-flat major to D major in the second theme area, a major third away. Then he modulates to A major, a perfect fifth away from D major. The development breaks the trend. He begins in E-flat major, then modulates to A-flat major. The development of most sonata form movements beginning in the Classical era through the twentieth century often modulate to distantly related keys, so his break with his cyclic tonal relationships in the development is noteworthy, but not

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<sup>146</sup> Henry Cowell, *Charles Ives and His Music*, (New York: Da Capo Press, 1983), 132.

uncommon. The recapitulation begins in C-flat major, a major third away from E-flat major, and the “wrong key,” since the first theme was initially stated in B-flat major. He eventually does modulate to B-flat major and the rest of the recapitulation remains in B-flat major, except one brief transition in B minor. While Smith creates harmonic interest by using modal harmony in his introduction, Ives’s Fourth Violin Sonata uses harmonies that do not at first glance support the eventual tonal center of the movement. By example, in his third movement, which is in E-flat major, the first few measures are not in E-flat. A dominant pedal is implied by Ives’s incorporation of “B-flat” in the accompaniment, which eventually resolves to E-flat major in measure five of the movement.

The finale of Smith’s Cello Sonata continues his use of a mixture of both key centered tonality and modes. He begins in B-flat minor, the parallel minor of the previous movement’s closing key, B-flat major. B-flat minor is the principal key of the *Largo* section, with the exception of one transitional episode from measures 67-85 in E-flat major, a perfect fourth away, which inverted becomes a perfect fifth relationship. The Sanctus section is stated in F Dorian mode, which reintroduces the mixture of key centered tonality and modes in the finale. His use of a mode is especially suitable for the plainchant theme because the original mass was set in a mode rather than a key centered tonality. The *Allegro* section begins in F major, a perfect fifth from B-flat minor, the original tonic key of the movement. The development of the *Allegro* section begins in D major, a third away from F major, and the recapitulation returns to B-flat minor, the original

tonic key. The finale closes in B-flat major, the parallel major of B-flat minor, and the overall tonic key of the entire sonata. While each of Smith's sections in his finale involves a harmonic modulation, which delineates each section, Ives's sectional divisions are less reliant on tonal center; instead, they are structured around a central motive. Some of Ives's sectional divisions seem less clearly concluded than Smith's do. Ives's sectional divisions often seem more abrupt and unvarnished than Smith's carefully planned harmonic modulations. By example, in the second movement of his Fourth Violin Sonata, the *Allegro (conslugarocko)* section begins abruptly out of the first section. The accented entrance of the piano melody interrupts the violin to start the section.

The *Three Poems for Violoncello and Piano, Op. 97bis* continues Smith's preference for cycle of thirds key relationships. The "Ballade" is in D major. The "Promenade" is in B-flat major, a major third away from D major. The final movement, "The Oracle," is in D minor, the parallel minor of D major. Therefore, the overall tonal progression is I- $\flat$  VI-i in D major. Smith mirrors the overall harmonic progression of the work within each of the three movements, with one alteration. The only major change from this overall structure is that in each movement, rather than concluding in a parallel key to the initial tonic, the progression returns to the initial key. In the "Ballade," D major begins and concludes the movement. In the "Promenade," B-flat major begins and ends the movement. "The Oracle," begins in D minor and returns to D minor in the conclusion. Within each movement, the "B" section modulates to a form of the VI chord. In the first movement, the "A" section is in D major and the "B" section is

in B major, the borrowed VI from D minor. In the Ballade, the “A” section is in B-flat major and the “B” section is in G-flat major, the borrowed  $\flat$  VI of B-flat minor. “The Oracle” is the exception to Smith’s overall structure. Here, the “A” section is in D minor and the “B” section is in D major, the parallel major of D minor. Smith delays the progression to VI in the “B” section. The return to the “A” section modulates to B-flat major, the  $\flat$  VI of D minor. Here, as with his earlier sonata, Smith’s focus is on a logical presentation of structure, which is often dependent on harmonic progressions. Conversely, Ives seems less concerned with clear harmonic progression in his Fourth Violin Sonata, and more concerned with cumulative development of motive, and the extra musical program.

Smith’s *Three Poems for Violoncello and Piano, Op. 97bis* is more harmonically conservative than the *Sonata for Violoncello and Piano, Op. 59*, because it relies chiefly on cycle of thirds relationships, where the Sonata uses cycle of thirds relationships as well as a mixture of key centered tonality and modal harmony. This is remarkable since the *Three Poems* is a much later work by Smith, completed in 1947, two years before his death. The sonata was written in the early 1920s and published in 1923. Perhaps in his later years Smith became more conservative, and more interested in preserving the tonal relationships prevalent at the end of the Romantic era, in spite of the growing experimentation with freely tonal and atonality happening around him both in the United States and Europe by the 1940s and 1950s. In contrast, Charles Ives, who also was

extensively trained in late nineteenth century compositional practices, became increasingly experimental over the course of his lifetime.

In his Fourth Violin Sonata, Charles Ives uses tonality as a programmatic element rather than a structural element. He does not present tonal contrast for the principal themes in his exposition sections by cycle of fifths or cycle of thirds modulations. In fact, in all three movements the same key accompanies both the primary theme and the second theme. Ives uses far fewer key areas than Smith does in his Cello Sonata, but rather uses tonality and non-chord tones to portray his recollections of the “Children’s Day” at the camp meetings of his youth. This also shows a further contrast between Smith and Ives. Smith was a champion of abstract themes in his chamber music, as is the case with his Cello Sonata, while many of Ives’s works have programmatic elements, or as in the case of his Fourth Violin Sonata, a concrete program for each movement. Ives relates his program for each of the sonata’s movements in his notes to the sonata, which are included at the end of the score.

The first movement of Ives’s sonata is in B-flat major. Both the primary and the second theme first appear in the tonic key. A “c” motive, drawn from a fugue subject originally written by George Ives, is first presented in B major, along with the primary theme. The development section returns to B-flat major, and then modulates to F major, a modulation by fifth. The recapitulation re-establishes B-flat major. Tonally, this movement is straightforward, with few modulations. What makes the movement remarkable is his use of added non-chord tones, especially 2nds, which represent the unrehearsed, spontaneous

singing of the boys as they marched around the campgrounds after a worship service. Ives comments on this in his notes to the score, noting, “the loudest singers... would sing most of the wrong notes.”<sup>147</sup>

The second movement of the Fourth Violin sonata is the most tonally remarkable, because in it Ives juxtaposes key areas, and sometimes accompanies melodies in a different key than the melodic structure implies. The first section begins ambiguously, with no meter or key signature indicated in the score. This creates for the listener an effect of improvisation by the performers that eventually crystallizes in both key and meter in the second section. It also echoes the outdoor sounds of nature, according to Ives.<sup>148</sup> Ives reflects in the second movement “the out-doors sounds of nature on those Summer days—the west wind in the pines and oaks, the running brook—sometimes quite loudly.”<sup>149</sup> The two principal themes are both presented in C major, but the accompaniment is based on stacked fifths and open harmonies, rather than a C major progression. Ives is known for writing polytonal works, where a different key is used for his accompaniment than the melody, as is the case here. The second section begins in E major and the meter shifts back and forth between 4/8, 3/8, and 5/8 time, while the melody is a quotation from the hymn, “Jesus Loves Me.” The final section presents the two themes as melody and *obbligato* in D major, and then in A major. Underneath the melody, the accompaniment is in the subdominant key. This key juxtaposition correlates with the program of the movement. Ives notes that this movement features “sometimes a distant Amen,” which in musical harmony is a plagal

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<sup>147</sup> Ives, Notes on the Fourth Violin Sonata, 21.

<sup>148</sup> *Ibid.*

<sup>149</sup> *Ibid.*

cadence, resolution from subdominant to tonic.<sup>150</sup> His juxtaposition creates the effect of a long held “Amen” over the course of the final section of the movement.

The final movement begins in E-flat major and never modulates away from the tonic key. This is an unconventional occurrence in tonal music. The focus of this movement is a complete quotation of the refrain from the hymn tune, “At the River.” This movement reprises Ives’s use of non-chord tones added to harmonies and melodies, which reflect the boisterous singing of the boys running around the camp along with the ministers and adults who care for them. The most intriguing tonal figure of the movement is that it does not conclude on a resolved chord in E-flat major. In the very end of the movement, Ives modulates to E-flat mixolydian mode, the only time he uses a mode in the entire sonata. He concludes on an unresolved chord, which leaves the listener with the question, “Shall We Gather?”

Smith and Ives use tonality in quite different ways. Smith maintains close links with the previous era by employing mainly cycle of thirds modulations throughout his works. In addition, his formal structures are emphasized by modulation and tonality. The most remarkable tonal feature of his Cello Sonata, Op. 59 is his mixture of both key centered tonality and modal harmonies. This is characteristic of early twentieth century composition. Ives is much more progressive. Ives’s use of tonality is less aligned with formal structure than Smith’s, and more affiliated with the program of his Fourth Violin Sonata. He uses non-chord tones to portray out of tune singing, as well as juxtaposes a subdominant accompaniment with a melody to imply to the listener a plagal,

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<sup>150</sup> Ibid.



“Amen.” This further suggests that Smith and Ives are both highly technically skilled, and both men write unconventional and remarkable works. Smith, however, is much more reserved in tonality like he is in form, when compared with the work of his Yale colleague, Charles Ives.

Quoting themes from other sources is common among late nineteenth century and early twentieth century composers. Many composers of this era use indigenous and composed music as an instantly recognizable theme in nationalistic works. In the United States, Aaron Copland famously used the shaker hymn, “Simple Gifts” in his *Appalachian Spring*. Charles Ives often quotes hymn tunes as well as American song melodies in his compositions. David Stanley Smith and Charles Ives both quote melodies from outside sources, but incorporate the quoted material in far different ways in their respective sonatas. Their use of quoted material and development of quoted material is the most striking difference between the compositional styles of the two composers.

In his *Sonata for Violoncello and Piano, Op. 59*, David Stanley Smith quotes the “Sanctus” from a tenth century plainsong Mass for Easter Day. The use of Mass material does not imply any correlation to American music. Smith uses the theme as the second principal theme of his finale. He incorporates the quote initially as its own section, even indicating in the score a section entitled, “Sanctus.” It begins as a melody in the cello, with a drone accompaniment in F Dorian in the piano. He then expands upon the quoted material with a simple countermelody in the piano during its restatement of the theme. This incorporation of a countermelody against a cantus firmus chant echoes the

development of polyphonic chant music of the twelfth century composers Léonin and Pérotin, who often wrote new material against previously composed chant melodies. After these two statements of the chant melody, Smith writes a cello cadenza based on the quotation, which leads into the *Allegro* section. The Sanctus theme is woven into the recapitulation of the sonata form movement. Smith combines the theme with the *Largo* section theme and the primary theme from the first movement in the final measures of the sonata.

Throughout his sonata, Smith's focus is on lengthy melodies rather than motives like Ives. Smith states a theme and after its initial statement, immediately begins developing it. Many of his themes are asymmetrical. His principal theme in the first movement consists of two phrases: the first lasts five measures, and the second phrase concludes seventeen measures later. His developments in both the first movement and the finale lack much motivic development or even fragmentation of the principal themes, common in development sections of typical sonata form movements. In the development sections of both movements, Smith introduces a new theme, which becomes the focus of the section. In the first movement, Smith does incorporate both of his exposition themes into the development by stating each theme in between statements of the development section's theme. The development section of the finale is quite unconventional. Instead of a bridge passage that links the development to the recapitulation, Smith uses three short phrases, all of which feature new melodies, which link the end of the development with the recapitulation section. His use of asymmetrical melodies and focus on organic development throughout the entirety of each

movement connects Smith stylistically with the late Romantic composers, especially the nocturnes of Chopin and the First Symphony of Brahms.

Quotation of hymn tunes is a central feature of Charles Ives's musical output and certainly his Fourth Violin Sonata. In each of the three movements, Ives quotes a popular hymn tune commonly heard in American worship culture. The first movement's motives come from the refrain of the hymn, "Tell Me the Old, Old Story." The second movement features a quotation from "Jesus Loves Me." The final movement contains the refrain from "Shall We Gather at the River." Each of these hymn quotations appear most clearly in the end of the movement, as the culmination of motivic development. Conversely, most composers, including David Stanley Smith, begin with a quotation, and then use that as the principal theme of a movement. Often they put the quotation through compositional devices, like modulation, fragmentation, inversion, and other methods, as they would an original theme or motive. In Smith's Cello Sonata, he directly presents the quoted material, first as a recitation, and then incorporates the "Sanctus" theme as one of the principal themes of his finale.

Ives prefers to use the quotation as the final summit of his motivic development throughout a movement. Smith, on the other hand, uses the quoted material as the initial statement of a theme he intends to manipulate and develop. Ives draws motives from the quotation, develops them over the course of the movement, and ultimately the motives become part of the recognizable hymn quotation. In the first movement of his Fourth Violin Sonata, Ives creates two principal motives, each drawn from the refrain of "Tell Me the Old, Old Story."

They sound relatively familiar, but not recognizable as the original hymn tune in the opening measures. It is after Ives develops these motives over the course of the movement that they eventually merge into the recognizable refrain. The second movement features a motive directly from the hymn, “Jesus Loves Me,” along with a second motive, which is a paraphrase of the same hymn tune, created by Ives. After developing these two themes, they merge. The direct quotation becomes the melody and the paraphrase motive becomes an *obbligato* accompaniment to the main theme in the final section of the movement. The third movement begins with an introduction based on two quotations from the hymn, “Shall We Gather at the River.” The first quotation, drawn from the verse of the hymn becomes the principal theme. The second quotation, drawn from the refrain of the hymn, becomes the contrasting theme. After development, these two themes become part of the final section, which is a full statement of the hymn tune. This is the only time in the score where Ives intentionally indicates the hymn tune. Ives quotes hymn tunes throughout each of the movements of his Fourth Violin Sonata. The intriguing element of Ives’s use of quoted materials is the unconventional way in which he uses original motives, which develop over the course of each movement into the quotation, rather than the quotation being the principal theme, which is developed. Conversely, Smith uses tenth century plainchant as a vehicle for development, stating the initial quotation as a recitation with a drone accompaniment, then writing a new counterpoint against the quoted melody, and then manipulating the quoted material for the remainder of the movement.

David Stanley Smith wrote mainly abstract pieces throughout his career. While the *Three Poems for Violoncello and Piano, Op. 97bis* features character titles for each movement, the majority of his legacy features absolute music. Smith's preference for absolute music associates him with the late Romantic era traditionalists, and especially the chamber music and symphonies of Johannes Brahms. This further continues Smith's tendency to be viewed as a conservative member of the establishment of European art tradition, rather than experimental and progressive, like Ives.

The *Three Poems for Violoncello and Piano, Op. 97bis* however, is an example of a tone poem, a work that describes something concrete musically, but does not have to have a definitive program or story or multiple movements, like a program symphony. Tone poems were a mainstay of many late nineteenth and early twentieth century composers. Smetana's *Ma Vlast*, Liszt's *Totentanz*, Schoenberg's *Verklärte Nacht*, and Strauss's *Ein Heldenleben* are symphonic examples of the genre. Each one of these works is based on extra musical elements. *Ma Vlast* is a set of individual symphonic sketches of different elements of Smetana's homeland, including its countryside, history, and mythology. *Totentanz* is an allegory about death. *Verklärte Nacht* is directly inspired by a poem written by Richard Dehmel. *Ein Heldenleben* is an original programmatic story written by Strauss. Tone poems are a diverse genre of composition, with many examples from both symphonic music and chamber music. While no source for the poetry to which Smith refers to exists, the final two movements especially evoke imagery associated with each movement's title.

The first movement, “Ballade,” refers to the nineteenth century instrumental Ballade. These compositions have no specific program and are most often abstract, short pieces for the piano. Smith’s “Ballade” uses smooth transitions, with no clear cadential points, making the work sound like a fantasia or a prelude, rather than a dance or vocal song. The second movement, “Promenade,” is most often incidental music used between movements of an opera or musical theater piece. Promenades are walkways and corridors in salons. Here, Smith uses a march tune as the “Promenade’s” first theme, and the second theme is a formal waltz. His march and waltz melodies suggest a formal evening event, with the march tune as the entrance and exit music to a formal ball. The third movement, “The Oracle,” begins with a series of “bell-like” octaves in the piano, which suggest a call to attention. The cello states the primary theme, which becomes increasingly emphatic with each restatement. Eventually, a chord in the piano accompaniment interjects each phrase of the theme, which could be a collective response by those gathered. While there is no specific narrative to the *Three Poems for Violoncello and Piano, Op. 97bis*, Smith musically evokes moods and characteristics that fit with each movement’s descriptive title. This differs greatly with Ives, who wrote a number of programmatic works in multiple genres, including his song cycles, string quartets, and his Fourth Violin Sonata.

Smith’s *Three Poems* implies narrative elements, and conversely Charles Ives’s Fourth Violin Sonata musically depicts a specific event from Ives’s youth. The three movements of the sonata each describe a scene from the summer revival camp meetings that Ives attended with his father in Connecticut as a child.

The first movement depicts a young man practicing his “organicks of canonicks, fugaticks, harmonicks and melodicks,” while the other boys march around the room singing “Tell Me the Old, Old Story.”<sup>151</sup> Ives recreates this sound by beginning with a simple harmony, oscillating between tonic, subdominant and dominant harmonies. As the piece grows more boisterous, the tempo increases, reflecting the boys marching faster and faster, and Ives writes non-chord tones around the harmony, which imitate the out of tune singing of the boys. The second movement describes an evening prayer service, where those gathered sing “Jesus Loves Me,” in the company of nature sounds. Ives implies the nature imagery with gentle interjections by the piano around the main theme in the violin. He also writes a number of arpeggio thirty-second note passages, which reflect the gentle movement of a brook near the campsite. The second section of this movement depicts the boys taking a break from the service to “throw stones down on the rocks by the brook (*Allegro conslugarocko*).”<sup>152</sup> Here, the tempo is much quicker, and a falling pattern of sixteenth notes reflects the stones bouncing on the rocks as they enter the water. The movement ends with a plagal cadence, which suggests a tranquil “Amen” at the close of the service. The third movement is similar to the first. It portrays the boys getting more and more excited as they march around singing the hymn, “Shall We Gather at the River.” Over the course movement, the tempo continually increases, reflecting the faster marching pace. Here again, Ives writes many non-chord tones around the harmony and melody, reflecting the well-intentioned, but off key singing of the boys and the men

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<sup>151</sup> *ibid.*

<sup>152</sup> *ibid.*

marching. It is clear then that Ives's Fourth Violin Sonata has a much more specific program than Smith's *Three Poems*. The methods Ives uses—polytonality, unresolved dissonances, and the culminating quotation at the end of each movement reflect his unconventional, progressive manner, which relates directly to his unvarnished, experimental compositional style. This stands in contrast to Smith's much more restrained effort at tone poetry, and his more conservative and traditional use of tonality and harmonic language in his *Three Poems for Violoncello and Piano, Op. 97bis*, which is more subtle as compared to Ives's Fourth Violin Sonata.

Both David Stanley Smith and Charles Ives offer unique and highly skilled compositions, well worth study and performance. Both men are extremely proficient in technique and innovation. With his mixture of key centered tonality and modes, and his unconventional adaptations to traditional forms, David Stanley Smith is clearly distinctive. His preference for cycle of thirds key relationships, absolute music, and his conventional use of quotation as the principal theme of the finale of his sonata maintain strong ties with late Romantic-era composition. Ives, while extremely knowledgeable in traditional harmony and form, as evidenced by his Fourth Violin Sonata, reaches further than Smith does in innovation. He creates motives from quotations, then develops them to the point that they culminate in the original quoted material. Further, he employs polytonal and freely tonal harmonic technique, and writes semi-autobiographical programs into his compositions. While both composers display unconventional methods and novelty in their respective works, Ives innovation is more



experimental and further reaching than Smith, and is much more progressive. This is in keeping with the general state of classical composition in the early and middle twentieth century. Smith knew that his music was much less experimental than much of his contemporaries, and commented that “the public is led to believe that [experiments in music are] always successful,” and that the “experimenter,” or composer, “feels injured if he is adversely criticized.”<sup>153</sup> Smith viewed experimental music as a trend, and argued for “a sincere, independent naturalness,” and “an indifference to the dictates of fashion in music.”<sup>154</sup> David Stanley Smith and Charles Ives, two men with similar training and education at Yale, pursued very dissimilar, contrasting artistic agendas, and composed music that feature radically different manifestations of the same formal and structural principles found in late nineteenth century compositions, while both men’s works place them well outside the musical trends of their time.

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<sup>153</sup> David Stanley Smith, “The Attitude of the Teacher Toward Modern Music,” *The Musician* 31, August, 1926, 30.

<sup>154</sup> Chloe Arnold, “Says American Music Must be Composite,” *The Sun*, 26, May 1918. MSS 31, The David Stanley Smith Papers in the Irving S. Gilmore Music Library of Yale University.

## VII. COMPARISON OF SMITH'S AND IVES'S CAREERS

David Stanley Smith and Charles Ives began their careers together at Yale University at the end of the nineteenth century. Smith entered Yale and attended the composition classes of Horatio Parker in 1895, one year behind his colleague Charles Ives, who came to the university and studied with Parker beginning in 1894. While Smith and Ives both exhibit highly polished technical skill in composition, their careers and their musical style followed divergent paths. Smith followed the guidance and mentorship of his teacher, Horatio Parker, while Ives became a very important figure in the insurance industry, which helped finance his musical endeavors. During their lives, Smith became a member of the musical establishment, garnering prominent appointments, well-received performances, publication, and prestigious awards. Ives remained on the periphery of the establishment. Composers, critics, and performers shunned his works, and during his composing years, he never found a place within the canon of American classical music. Even his friend and colleague, David Stanley Smith, criticized Ives's work, commenting on a draft of Ives's *Abide with Me*, for organ and chorus, "Why do you take a good tune like that and spoil it with a lot of burlesque?"<sup>155</sup> Now, Ives's music is frequently performed, as well as researched and written about. Smith's music is largely unknown by today's audiences and performers, but deserves more attention and research because of his interesting

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<sup>155</sup> Charles Ives, *Charles E. Ives, Memos*. John Kirkpatrick, ed. (New York: W.W. Norton and Company, Inc., 1972), 119.

use of traditional materials, like combining sonata and rondo form principles in creating wholly original works, as well. While his compositional style does not align with the more progressive styles of twentieth century composition, it is technically solid, and offers his unique ideas and perspectives, which are vested in the compositional practices of the late nineteenth century.

David Stanley Smith began studies with Horatio Parker in the fall of 1895. He did not intend to make music a career; it was at first a secondary interest to studies in Greek and classical language.<sup>156</sup> Parker cultivated Smith's musical skills, and composition eventually became his profession. Smith was Parker's prize student, known as "Professor Parker's Pride."<sup>157</sup> Throughout his time at Yale, Smith garnered much support and attention from his teacher. Many of his student compositions were performed in local venues, including his *Romanza for Violin*, which was performed for the Connecticut Music Teachers' Association during his first year.<sup>158</sup> His *Ode for Commencement Day, Op. 4*, performed at his 1900 commencement with Parker conducting the chorus and orchestra, was the first performance of a student's work at commencement exercises in the history of Yale University.<sup>159</sup>

Upon completing his studies at Yale, Smith remained in New Haven to continue studying with Horatio Parker. Parker was not only a mentor, but also a close friend.<sup>160</sup> Smith remained in close contact with his teacher throughout his career until Parker's death in 1919. In 1901, Smith traveled to Europe, taking a

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<sup>156</sup> Goode, 25.

<sup>157</sup> *Ibid.*

<sup>158</sup> *Ibid.*, 26.

<sup>159</sup> *Ibid.*, 28.

<sup>160</sup> *Ibid.*, 74.

post-graduation “Grand Tour” of Europe, a tradition among upper-class society. Smith traveled to London, Paris, and Munich over the next year and a half, studying most notably with Charles Widor. Throughout his time in Europe and particularly France, Smith remained in contact with Parker, writing letters to inform his teacher of his studies and progress. He began studies with Charles Widor at the Paris Conservatoire, as an auditor and later in private lessons. He writes Parker about the start of his studies in a letter from 16 December 1902:

My Dear Mr. Parker,

It is not lack of enterprise that has kept me from answering your kind letter before, but the lack of anything particularly interesting to tell you. I have been waiting for things to happen. In the first place - my father had sent me a letter to Alex Guilmant. It took some time to find him and a still longer time to get him to give an appointment. I was relying upon him to give me an introduction to Widor, as my friends told me it is hardly worth while [sic] to try to approach a Frenchman without one. Accordingly, Guilmant volunteered to give me one also for d 'Indy whom he recommended particularly for orchestration. Well, I immediately searched for Widor and after several unsuccessful attempts to find him at times and places where he should have been [sic] I wrote him and received an appointment. Then it was necessary to come again a few days later to show him my symphony--poor battered thing, I have made two of the movements over four or five times each. He evidently considered it a lesson for he immediately sat me down and went thro' two movements without any comments, but offering numerous novel and useful suggestions in the instrumentation. As I am anxious to make a specialty this year of the details of this branch, I took great interest in what he had to say. His suggestions were so new to me and so practical and his manner so enthusiastic and cordial that I decided to go to him from time to time. He has set me at work making a sketch of an overture in a conventional simple style which [sic] I am to orchestrate and receive lessons upon. I think I have found a good man. He doubtless will not let me do some things that I would like to, but that won't hurt me.

He has also given me permission to attend his classes at the Conservatoire "*comme 'auditeur'*," in order to pick up what I can in composition and study their methods of teaching these subjects.

I also attend the rehearsals of a beautiful but not large orchestra of his. He is really a most vigorous leader and not stiff. So I hope to get a good deal of

benefit from knowing him. I have not presented Guilmant's letter to d 'Indy for fear that I should have to take lessons of him. The wording of the note would indicate that I want to. It would be rather difficult and mystifying to have two teachers in the same subjects. I should like to see d 'Indy though and probably shall before long. I am at work at a trio for piano, fiddle and cello also, a sort of experiment in form. I don't know how it will come out.<sup>161</sup>

Smith was concerned about taking on too many different ideas about composition at one time, and set out on a logical study, focusing on orchestral writing and form, while working with Widor. In a letter to Horatio Parker from 9 February 1903, Smith discusses his progress with Widor and his apprehension about studying with Vincent d 'Indy:

I have finished the second edition of my overture for M. Widor. It's conventional and all that but I think it is a good piece. I dare say that when he sees it [sic] it will require another handing over. He put a speedy stop to my unnecessary prolongation of the first part and makes me jump right into the second theme as Beethoven does. The first movement of my symphony errs badly in that respect and I may alter it before going home, tho' people are used to it nowadays.

I am making another sketch on an overture in a gay mood as a sort of sequel to the other which is serious. I'll think of your scheme for organ and orchestra. If it does not work out here your orchestra could play the overture as it is not technically difficult or hard to understand.

Yours sincerely,

David S. Smith

P.S. My brother was misinformed when he told you that I am with d 'Indy too. Mr. Guilmant's letter stated distinctly that I wanted to study with him so I have not dared to present it. Of course it would be impossible to work with an ancient and a modern at the same time. I

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<sup>161</sup> D.S. Smith to Horatio Parker, 9 February 1902, MSS 31, The David Stanley Smith Papers in the Irving S. Gilmore Music Library of Yale University.

like the little music of d 'Indy's that I have heard but think Widor is better for me.<sup>162</sup>

Upon his return to New Haven in 1903, Smith became an instructor on the faculty of Yale University, serving with his former teacher, Horatio Parker.

During his time on the faculty at Yale, Smith advanced within the university and the larger classical music establishment quite efficiently. He was promoted in 1909 to the rank of Assistant Professor, and in 1916 to full professor.<sup>163</sup> After the death of his mentor, Horatio Parker, Smith was named dean of the School of Music in 1920.<sup>164</sup> In addition to his work within Yale University, Smith was also honored and respected by other American composers of his teacher's generation, including: Arthur Foote, George Chadwick, and Smith's contemporary, Daniel Gregory Mason. He replaced the ailing Arthur Foote in the summer school courses at the University of California in 1914.<sup>165</sup>

In addition to university teaching, Smith was sought after for lecture series and magazine articles for his views on music and music education in the United States. He spoke at the Fogg Museum in Boston before the Division of Music of Harvard University in 1912, offering his views on the "Ideals of Music."<sup>166</sup> In a 1918 article for *The Sun*, Smith commented that composers must be "sincere," and not be subject to "the dictates of fashion in music."<sup>167</sup> He proposed that

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<sup>162</sup> D.S. Smith to Horatio Parker, 9 February 1903, MSS 31, The David Stanley Smith Papers in the Irving S. Gilmore Music Library of Yale University.

<sup>163</sup> Goode, 49.

<sup>164</sup> *Ibid.*, 75.

<sup>165</sup> *Ibid.*, 61.

<sup>166</sup> *Ibid.*, 60.

<sup>167</sup> Chloe Arnold, "Says American Music Must Be Composite," from *The Sun*, 26 May 1918. MSS 31, The David Stanley Smith Papers in the Irving S. Gilmore Music Library of Yale University.

“natural expression” should be at the center of composition, resulting in a “breaking away from European models and traditions.”<sup>168</sup> Based on study of his compositions, Smith suggests that tradition itself should not dictate music, but that one’s own personality and style can permeate through European formal and tonal traditions, leading to innovation away from European models and traditions, rather than a total abandonment of European principles. His music certainly fits within the larger canon of traditionalist absolute music of the late Romantic era. While serving as dean of the Yale School of Music, Smith commented on the teacher’s perspective on “modern” music, advocating a discerning taste towards experimental music:

Much modern music is frankly experimental. But the public is led to believe that these experiments are always successful, and the experimenter feels injured if he is adversely criticized. People who live near chemical laboratories, however, know better. They often hear strange rumblings, and now and then they see the laboratory carelessly blow itself up, so perilous is its existence with a band of raw students inside mixing they know not what ingredients.<sup>169</sup>

As his teaching and lecturing career advanced, Smith also gained frequent performances of his work. The St. Louis Symphony performed Smith’s Symphonic Ballad, Op. 24 in 1909.<sup>170</sup> He also conducted a performance of his own works with the New York Philharmonic Society in 1912.<sup>171</sup> Smith’s works were performed in Chicago and Cincinnati Symphony Orchestras in the 1912-

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<sup>168</sup> Ibid.

<sup>169</sup> David Stanley Smith in “The Attitude of the Teacher Toward Modern Music,” *The Musician* 31, August 1926, 30.

<sup>170</sup> Goode, 70.

<sup>171</sup> Ibid., 57-58.

1913 season.<sup>172</sup> Smith became only the third American composer published by the English firm Novello of London, and his works gained publication from G. Schirmer, Inc., and Carl Fischer, Inc., as well.<sup>173</sup> In addition to performances and publication, Smith garnered other awards and honors for his works. He won the Paderewski Prize in 1910 for his work, *The Fallen Star* for chorus and orchestra; an award adjudicated by a panel including Frank Vander Stucken, Horatio Parker, and George W. Chadwick.<sup>174</sup> He was elected unanimously into the National Institute of Arts and Letters in 1910.<sup>175</sup>

David Stanley Smith was a favored student of Horatio Parker and followed his teacher's guidance beyond graduation. Parker was the single greatest musical influence on Smith throughout his career. Smith traveled to Europe, and continued his studies in the European tradition, a common pattern of the educational path of American composers a generation earlier. He became a close friend and colleague of many of the late nineteenth and early twentieth century American composers who held important academic positions in the United States, including Parker, Arthur Foote, George W. Chadwick, and Daniel Gregory Mason. This led him along a path toward acceptance into the classical musical "establishment," which offered him plenty of performance and publication opportunities, as well as a position on a prestigious music faculty. In his lifetime, Smith was a prominent figure among American classical musicians, and well regarded by performers, conductors, and fellow composers.

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<sup>172</sup> *Ibid.*, 71.

<sup>173</sup> "Musical Matters" in Elizabeth Ann Goode, *David Stanley Smith and His Music*, (Ph.D. diss., University of Cincinnati, 1978), 70.

<sup>174</sup> *Ibid.*, 70.

<sup>175</sup> *Ibid.*



Charles Ives began studies with Horatio Parker at Yale in 1894, one year prior to Smith's arrival. Ives was a socially popular member of his class at Yale; he was a member of HéBoulé, Delta Kappa Epsilon, and Wolf's Head.<sup>176</sup> Ives found Parker's classes too rudimentary, and that most of the class material reviewed topics in composition that he had first learned from his father, George Ives.<sup>177</sup> He found Parker's lessons repetitive and limiting:

Father had kept me on Bach and taught me harmony and counterpoint from a child until I went to college, and there with Parker I went over the same things even with the same harmony and counterpoint textbooks, and I think that I got a little fed up with class-room contrapuntal exercise<sup>178</sup>

Ives realized the value of his father's lessons while studying with Parker at Yale.

He remarked:

[Parker's course] made me feel more and more what a remarkable background and start Father had given me in music. Parker was a composer and Father was not; but from every other standpoint, I should say that Father was by far the greater man.<sup>179</sup>

Before entering Yale, Ives studied music with his father beginning at a very early age. George Ives helped his son to study compositional technique by first making sure that he fully understood the underlying principles of form, harmony, texture, and counterpoint before experimenting with "breaking" the rules. Ives watched as his father often experimented with new sounds and new methods.

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<sup>176</sup> Henry Cowell, *Charles Ives and His Music*, (New York: Da Capo Press, 1983), 35.

<sup>177</sup> *Ibid.*, 33.

<sup>178</sup> *Ibid.*, 32.

<sup>179</sup> *Ibid.*, 33.

My father had a weakness for quarter-tones—in fact he didn't stop with them. He rigged up a contrivance to stretch 24 or more violin strings and tuned them up to suit the dictates of his own curiosity.<sup>180</sup>

Curiosity was at the core of George Ives's musical aesthetic, and he passed this aesthetic on to his son, Charles. Charles Ives brought his father experimental sketches of his own compositions, but his father would stop him, telling him to focus first on understanding fundamental principles before expanding upon them.

Experiment, he told his son, could come later. He must first learn the rudiments thoroughly, so that when the time came to try out ideas of his own, his experiments would have some sense to them.<sup>181</sup>

When Ives brought experimental compositions to Parker at Yale, his teacher often disregarded them. Henry Cowell, one of Ives's advocates stated, "In Horatio Parker's classes at Yale, ideas of a musically exploratory nature were not so much suppressed as ignored."<sup>182</sup> Ives commented on his exploratory work and how it stood at odds with Parker's lessons at Yale:

I did sometimes do things that got me in wrong: for instance, a couple of fugues, with the theme in four different keys... To show how reasonable an unreasonable thing in music can be: Look at a fugue! It is, to a great extent, a rule-made thing. So if the first statement of the theme is in a certain key, and the second statement is in a key a fifth higher, why cannot (musically speaking) the third entrance sometimes go another fifth higher? And the fourth entrance another fifth higher?<sup>183</sup>

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<sup>180</sup> *Ibid.*, 26.

<sup>181</sup> *Ibid.*

<sup>182</sup> *Ibid.*, 31.

<sup>183</sup> *Ibid.*, 32.

Ives continued to experiment, though largely outside of school.<sup>184</sup>

Upon graduation, Ives did not pursue further musical education like David Stanley Smith. Instead, he sought a career in business. He was concerned that music as a profession would not earn him a living that could support a family. His concern for supporting a family came directly from his father:

Assuming a man lives by himself and with no dependents, no one to feed but himself, and is willing to live as simply as Thoreau, he might write music that no one would play prettily or buy. But—but if he has a nice wife and some nice children, how can he let the children starve on his dissonances?<sup>185</sup>

He also felt a need to keep his musical endeavors more personally pleasing, and less motivated by the public or even classical establishment's taste. This belief also came from his father. Ives said, "Father felt that a man could keep his music interest stronger, cleaner, bigger and freer if he didn't try to make a living out of it."<sup>186</sup> With his professional career outside of music, Ives was free to write for himself, and not be concerned with publication and performances for his financial welfare.

Ives went into business in the insurance industry. He became a clerk in the actuary department at The Mutual Life Insurance Company in 1898.<sup>187</sup> A few years later, in 1907 he partnered in business with Julian Myrick to form Ives and Myrick, a highly successful life insurance company that Ives retired from in

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<sup>184</sup> *Ibid.*

<sup>185</sup> *Ibid.*, 37.

<sup>186</sup> *Ibid.*

<sup>187</sup> *Ibid.*, 38.

1930.<sup>188</sup> While he was working in the insurance industry, Ives continued to compose music as an avocation. Ives composed much of his works at night, while working for the company during the day.<sup>189</sup> His single most famous work from this period is the *Concord Sonata*, and the accompanying preface, *Essays Before a Sonata*.<sup>190</sup> During this time he also composed *General Booth's Entrance into Heaven, Three Pieces in New England*, his Second String Quartet, and the Second, Third, and Fourth Violin Sonatas.<sup>191</sup> These pieces were not performed during this time; in fact, because Ives knew that the chance of performance for these works was unlikely, many of them went through constant revision, and were only fully completed years later.<sup>192</sup>

Unlike Smith, Ives faced considerable difficulty in getting his works performed. Often, conductors, performers, and other musicians criticized Ives's progressive ideas about rhythm and tonality. Edward Stowell, upon reading the score to Ives's *Fourth of July*, commented, "This is the best joke I have seen for a long time! Do you really think anybody would be fool enough to try to play a thing like that?"<sup>193</sup> He also said that Ives put "too many ideas too close together," in his Second Violin Sonata.<sup>194</sup> Walter Damrosch told Ives that he would have to "make up [his] mind... Which do you want, a rhythm of two or a rhythm of three?" when faced with a hemiola in a reading session of Ives's First

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<sup>188</sup> *Ibid.*

<sup>189</sup> *Ibid.*, 53.

<sup>190</sup> *Ibid.*

<sup>191</sup> *Ibid.*, 65-66.

<sup>192</sup> *Ibid.*, 64.

<sup>193</sup> *Ibid.*, 69.

<sup>194</sup> *Ibid.*

Symphony.<sup>195</sup> As previously mentioned, even his friend and Yale colleague David Stanley Smith called his *Abide with Me*, full of “a lot of burlesque.”<sup>196</sup> Henry Cowell notes, “Ives never had a major orchestra work played for an audience as he wrote it until long after he had [stopped] composing.”<sup>197</sup>

As a result, Ives remained on the periphery of the musical establishment, seeking to distance himself from the traditionalists and the Romanticists like Smith. Ives remarked, “I began to feel that if I wanted to write music that was worth while [sic] (that is, to me), I must keep away from musicians.”<sup>198</sup> This sentiment echoes the musical aesthetic expressed by his father commenting on the singing of “Old John Bell” (a stonemason who often sang off-key at camp meetings):

Old John is a supreme musician. Look into his face and hear the music of the ages. Don't pay too much attention to the sounds. If you do, you may miss the music. You won't get a heroic ride to Heaven on pretty little sounds!<sup>199</sup>

Ives even became critical of Smith and the education offered by the Yale School of Music.

Reber [Johnson] et al. preach the gospel that “Music crawled into Brahms's coffin and died.” They wouldn't think of saying that in so many words, but that is exactly what their attitude toward music is. (Their motto –“All things have a right to live and grow, even babies and music schools, but *not* music!”)

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<sup>195</sup> *Ibid.*, 68.

<sup>196</sup> Charles Ives, *Charles E. Ives, Memos*. John Kirkpatrick, ed. (New York: W.W. Norton and Company, Inc., 1972), 119.

<sup>197</sup> Henry Cowell, *Charles Ives and His Music*, (New York: Da Capo Press, 1983), 12.

<sup>198</sup> *Ibid.*, 74.

<sup>199</sup> *Ibid.*, 24.

The same state of (mind?) is seen in some music professors in colleges –for instance, Dave Smith. His stand is exactly that of a Professor of Transportation who teaches up through the steam engine, and refuses to admit that any such things exist as electricity, combustion engines, automobiles, or aeroplanes. And his students would become Bachelors of Transportation knowing about as much about transportation as Dave Smith does about music.<sup>200</sup>

After retiring from active composing in 1919, Ives focused his attention on distributing his music out to the wider public. Instead of seeking publication through any traditional publishing companies, Ives decided to “make the world a free gift of whatever it could use in his more ‘accessible music.’”<sup>201</sup> He privately published his *Concord Sonata*, the *114 Songs*, and *Essays Before a Sonata*, and offered them without copyright to libraries, musicians, and anyone who asked for copies.<sup>202</sup> Ives did receive requests from admirers, including music students, requesting copies of his music.

During his active composing period, and even afterward, Ives was not well received by the musical establishment or the avant-garde. The generation after Ives had equal difficulty with his music. Wolfgang Rathert notes:

Leading composers of the generation following Ives either criticized his lack of compositional craft (as did Aaron Copland, Virgil Thomson, and Elliot Carter) or considered his approach too dependent on traditional (European) formal concepts (as did John Cage), thus questioning his place in the autonomous avant-garde.<sup>203</sup>

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<sup>200</sup> Charles Ives, *Charles E. Ives, Memos*. John Kirkpatrick, ed. (New York: W.W. Norton and Company, Inc., 1972), 122.

<sup>201</sup> Henry Cowell, *Charles Ives and His Music*, (New York: Da Capo Press, 1983), 77.

<sup>202</sup> *Ibid.*

<sup>203</sup> Wolfgang Rathert, “The Idea of Potentiality in the Music of Charles Ives,” in *Ives Studies*, Philip Lambert, ed. (Cambridge, U.K.: Cambridge University Press, 1997), 105.

Ives was left outside the conservative establishment, and at the same time, not progressive enough to fit with the later avant-garde composers of mid-century American composition.

The progressive experimentalist composers of the 1920s and 1930s, most notably Henry Cowell and John Kirkpatrick, became advocates for Ives's music. These composers and historians, while promoting different ideas than those found in the works of Ives, saw him as the fountainhead of experimentalism. His ideas about polytonality, free tonality, as well as form and rhythm, resonated with their views and departure from Romanticism, towards a more individualistic and experimental style of composition. The first advocate for Ives's music was Henry Bellamann, who wrote about Ives's *Concord Sonata* as early as 1919.<sup>204</sup> In addition to Bellaman, the French pianist E. Robert Schmitz began touring America, performing Ives's works, and eventually formed the Franco-American Music Society, which later became Pro Musica.<sup>205</sup> Eventually, Henry Cowell, an advocate of twentieth-century music brought together John Becker, Wallingford Riegger, Carl Ruggles, Otto Luening and Nicolas Slonimsky, who championed Ives's works, having faced similar audience and professional criticism of their work.<sup>206</sup> Nicolas Slonimsky, introduced to Ives by Cowell, arranged for the first performance of *Three Pieces in New England* by the Chamber Orchestra of Boston in 1930.<sup>207</sup> The American pianist John Kirkpatrick studied and rehearsed the *Concord Sonata* and gave a New York performance in 1939 that resulted in “a

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<sup>204</sup> Henry Cowell, *Charles Ives and His Music*, (New York: Da Capo Press, 1983), 99.

<sup>205</sup> *Ibid.*, 101.

<sup>206</sup> *Ibid.*, 103.

<sup>207</sup> *Ibid.*, 106.

riot of enthusiasm” from the audience.<sup>208</sup> Cowell and Kirkpatrick collected letters, essays, and other information about Ives, and each has published a number of books, articles, and essays on Ives and his music. In the more recent past, J. Peter Burkholder among others has written extensively on Ives’s music, specifically his use of quoted material, and his formal and harmonic ideas.

The critical reception of Smith’s and Ives’s works parallels the story of their careers; David Stanley Smith, a member of the musical establishment, was well received by most critics. Even when critics are less enthusiastic about his works, they still regard him as well trained, and a fine product of Yale University. Charles Ives, however, faced ridicule constantly in the beginning of musical career, and only years after he stopped composing found respect and admiration from critics and musicians.

A 1935 review of Smith’s *Epic Poem* for orchestra notes that Smith “achieved a vigorous performance, and was received well,” even though the critic notes that the work’s ideas are not “significant.”<sup>209</sup> A review of a performance of Smith’s Second String Quartet by the Kneisel Quartet in 1915 notes, “The quartet is a work of seriousness and sincerity. Mr. Smith writes effectively for the stringed instruments in the expression of his thoughts.”<sup>210</sup> The critic further states, “However the quartet may impress the listener, it is seen to be the work of one who is equipped with ample skill and technical resource.”<sup>211</sup> Richard Aldrich, in a 1913 article promoting the works of new American composers states, “It is all the

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<sup>208</sup> *Ibid.*, 112.

<sup>209</sup> Boston Symphony Orchestra Review, *Daily Boston Globe*, 13 April, 1935.

<sup>210</sup> “A New Composition by David Stanley Smith Played,” *The New York Times*, 8 December, 1915.

<sup>211</sup> *Ibid.*



more gratifying to see that in the particular concerts now referred to,” discussing concerts featuring works by American composers, “David Stanley Smith’s symphony is to be repeated next month—as it should be.”<sup>212</sup> Aldrich gives his most encouraging support of Smith in a review from November 8, 1919, of Smith’s “*Prince Hal*,” *Overture*.

[The “*Prince Hal*” *Overture*”] is first of all a well-written, engrossing piece of music, with one theme, at least, of striking individuality sufficient to carry it through a process of free and ingenious development and to hold water all the way. There is fresh and vigorous treatment in the orchestration, and the music is sustained in interest throughout. It is a work, on the whole, that reflects credit on American musicianship.<sup>213</sup>

In summarizing Smith’s contributions to classical music, David Ewen notes the importance of Smith’s skills, noting, “It can be said that his best works are distinguished by a very fine dramatic sense and superb craftsmanship.”<sup>214</sup>

Reviews of works by Ives are less flattering, often mean-spirited and dismissive. In his 1921 review entitled, “A Pseudo-Literary Sonata!!!” A. Walter Kramer says of Ives’s *Concord Sonata*, “It is dedicated to us and yet we are not so proud of the dedication.”<sup>215</sup> He further states, “It is full of literary meaning, assuredly; the composer says so, anyway,” and that it is “without doubt the most startling conglomeration of meaningless notes that we have ever seen engraved on

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<sup>212</sup> Richard Aldrich, “The American Composer—His Opportunities for a Hearing and the Complaint of His Neglect—The Value of ‘American’ Concerts,” *The New York Times*, 9 February 1913.

<sup>213</sup> Richard Aldrich, “Music,” *The New York Times*, 8 November, 1919.

<sup>214</sup> David Ewen, *American Composers Today*. (New York: H.W. Wilson and Company, 1949), 230.

<sup>215</sup> A. Walter Kramer, “A Pseudo-Literary Sonata!!!” *Musical America* 33, No. 23, in *Charles Ives and His World*, J. Peter Burkholder, ed., (Princeton, N.J.: Princeton University Press, 1996), 278.

white paper.”<sup>216</sup> A 1921 review of the *Concord Sonata* from the *Musical Courier* is no less scathing:

Only occasionally, and as a patronizing concession, does he write a time signature or a bar. (These latter, indeed, are merely dropped in every page or two, apparently to mark the spot where the composer stopped composing while he knocked off for luncheon or dinner.)<sup>217</sup>

In a review from 1922 of his *114 Songs*, the critic states, “Ives is the American Satie, joker par excellence. He adds and appends facetious comments upon his own work which, alone, make the book worthwhile.”<sup>218</sup> The critic further comments that Ives’s book “[offers] an opportunity for evading a question... ‘why do you write so much, which no one ever sees?’ There are several good reasons, none of which are worth recording.”<sup>219</sup>

During the later 1930s and 1940s, reviews become significantly more positive, as a result of the efforts of Cowell, Kirkpatrick and other experimentalist advocates. Paul Rosenfeld reviewed Ives’s *Concord Sonata* in 1939, following a performance in Greenwich, Connecticut by John Kirkpatrick. His review in *Modern Music* is the polar opposite of Kramer’s earlier review for the same work in *Musical America* in 1921:

Sonorities frequently unique in character and finely veiled, penetrating with a curious sensuous spirituality in which the

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<sup>216</sup> Ibid.

<sup>217</sup> “Concord Unconquered,” from *Musical Courier* 82, No. 17, in *Charles Ives and His World*, J. Peter Burkholder, ed., (Princeton, N.J.: Princeton University Press, 1996), 279.

<sup>218</sup> “Ives,” from *Musical Courier* 85, No. 12, in *Charles Ives and His World*, J. Peter Burkholder, ed., (Princeton, N.J.: Princeton University Press, 1996), 288-290.

<sup>219</sup> Ibid., 289.

secretive soul of Puritanism would seem again to have materialized itself, constitute much of [The *Concord Sonata*'s] medium. The structure is Beethoven-like in breadth of conception and cyclic, oftentimes in the grand style, elevated in mood and pitch, stirring rhythmical, melodious with a subtlety not incomparable to that of Debussy or Schönberg [sic]; and one of those in which every note during entire pages is rhapsodically alive, tremulously expressive, fraught with special poetic emphasis and meaning.<sup>220</sup>

A review from 1942 of Joseph Szigeti's performance of Ives's Fourth Violin Sonata is also enthusiastic, noting its "general sturdiness," and that it "is set forth in terms of fiddling rather than violinism."<sup>221</sup>

Today, Charles Ives is a much more recognized composer than his Yale colleague, David Stanley Smith, and his music is performed much more frequently than Smith's music. Though both composers began studying with Horatio Parker at Yale, Smith continued under Parker's guidance, becoming a member of the musical establishment, and perhaps wished to protect that institution and traditionalism, as seen through the music of Johannes Brahms and other late Romantic composers of absolute music. Charles Ives studied with Parker and thought of him as a good man and a composer, but his musical influence was not from Parker and late Romanticism, but rather the experimental works and lessons of his father, George Ives. Ives said of his father, "One thing I am certain of, that if I have done anything good in music, it was, first, because of my father, and second because of my wife."<sup>222</sup>

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<sup>220</sup> Paul Rosenfeld, "Ives' Concord Sonata," in *Modern Music*, 16, in *Charles Ives and His World*, J. Peter Burkholder, ed., (Princeton, N.J.: Princeton University Press, 1996), 314.

<sup>221</sup> Robert A. Simon, "in *The New Yorker*, 18, No. 3, in *Charles Ives and His World*, J. Peter Burkholder, ed., (Princeton, N.J.: Princeton University Press, 1996), 338.

<sup>222</sup> Henry Cowell, *Charles Ives and His Music*, (New York: Da Capo Press, 1983), 29.

The reason that Ives became respected and remembered, and Smith is largely forgotten even by musicians, is largely due to differences in innovation and advocacy. Both Smith and Ives created music inspired by Classical formal structure, and Classical tonality. Both men incorporated their own personalities and musical ideals into their works. However, Ives's music is much more experimental than Smith's. This is certainly due to the influence of George Ives on his son, Charles. He encouraged his son to first learn strict harmonic principles, and then experiment with breaking with tradition in a "manner that makes sense."<sup>223</sup> Smith instead became a part of the accepted musical establishment of composers who followed the traditions of Romanticism and absolute music, in line with the works of European composers like Johannes Brahms and Giuseppe Verdi. His music featured continuous thematic development, cycle of thirds harmonic relationships, and a focus on absolute music, fitting within the accepted musical establishment, with less reason to break away from the tradition of European late Romanticism.

Smith's work found encouragement and advocacy in his mentor and friend Horatio Parker, whom he remained connected with until his teacher's death in 1919. In addition to Parker, Smith was encouraged by Arthur Foote, George W. Chadwick, and his contemporary, Daniel Gregory Mason. All of these composers had academic positions, as did Smith. In addition to this support, Smith earned numerous honors and awards, as well as publication of his scores and performances of his works throughout his career. With a career defined by the

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<sup>223</sup> Henry Cowell, *Charles Ives and His Music*, (New York: Da Capo Press, 1983), 26.

establishment, Smith fit well, and advocated traditionalism and respect for nineteenth century absolute music in his music and his lectures at Yale.

Charles Ives found little advocacy in his composing years. Unlike Smith, Ives eschewed further education from professional musicians. Instead, Ives went into business, while composing and performing for church services on Sundays.<sup>224</sup> He remained on the periphery of the musical establishment. This afforded Ives the ability to write music that pleased him, even if it was not widely accepted by the musical community. His experiments included polytonality, micro tonality, free tonality, and other extended techniques. His works are full of personal meaning, as is evidenced in his Fourth Violin Sonata, which is a recollection of camp meetings from his youth. Because of this experimentation, Ives's music was not well regarded during his active compositional years, nor was it widely published or distributed. Ives privately published many of his works and gave the scores to anyone who would take them.

While Ives lacked advocacy in the early years of the twentieth century, the experimental composers of the 1920s and 1930s eventually adopted him as their predecessor. His music was researched, written about and performed extensively beginning in the 1920s and 1930s, and since has become increasingly popular, and more frequently performed. In the years since his death in 1954, Ives has been widely researched. Many books, articles, and essays chronicle his life, his music, and his ideas. It is because of this advocacy that Ives's music is known today.

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<sup>224</sup> Jan Swafford, *Charles Ives: A Life with Music*, (New York: W.W. Norton and Co., 1996) 143.

After Smith's death in 1949, other than the work of Burnet Tuthill and Elizabeth Goode, very little is written about David Stanley Smith. His music, while regularly performed and positively reviewed in his own lifetime, has been largely lost to history. Many of his later works, including the *Three Poems for Violoncello and Piano, Op. 97bis*, remain in manuscript form today.

Beyond innovation and advocacy, general social and cultural change affected Smith's music and notoriety as well. Smith was a part of elite society. Upon his graduation, he embarked on a "Grand Tour" throughout Europe, as many wealthy and upper class young adults did at the end of the nineteenth century, and beginning of the twentieth century. He followed the path of his teacher, Parker to a career of stature within the nineteenth century model of success, gaining a prestigious academic position, lecturing, writing, and performing, while maintaining the traditions of late Romanticism. The twentieth century saw sweeping cultural changes in the United States, especially after World War I. A rising middle class, changes in labor policies, the First World War, and other historical events created a shift from a class driven society, toward a more progressive society. Musically, composers shifted away from traditionalism and Romanticism. Spurred on by the efforts of Wagner's linear chromatic harmonies and later the work of Schoenberg with atonality, and Debussy and Ravel with Impressionism, classical music became much more experimental in the early twentieth century. While not all of these experiments survived their composer's lives, traditionalism and the nineteenth century musical establishment ceased to be the only method of composition. This is perhaps why

Smith's *Three Poems*, written in 1947, seems like a work out of time, a work more stylistically connected with 1897 than 1947. This could be why, even though it is an interesting work and worthy of performance and study, Smith's *Three Poems for Violoncello and Piano, Op. 97bis* failed to be published or publicly performed. The logic and stylistic expression of Smith's work is still valuable. It should garner further interest and research than it has in the past even though it is not in keeping with what emerged as the pluralistic performance and compositional techniques of the twentieth century.

## VIII. CONCLUSION

David Stanley Smith was a very prominent composer of the early twentieth century in the United States, and remained so throughout his lifetime. His music was well represented in performances throughout the United States, including performances by the New York Philharmonic Society, the Chicago Symphony Orchestra, the Cincinnati Symphony Orchestra, the St. Louis Symphony, the Kneisel Quartet, and many others. His music was critically acclaimed and he became a leading figure of American music education at Yale University. However, since his death in 1949, his music has been largely forgotten by the public and musicians alike. His Yale colleague, Charles Ives, has eclipsed him in recent decades, both in performances of his works, and in research about his musical ideals. This is stunning considering the way Smith and Ives were viewed in their own lifetimes. David Stanley Smith is an important example of late nineteenth and early twentieth century American Romanticism, traditionalism, and absolute music composition. His cello works offer compelling examples of compositional technique inspired by European Romanticism, while infused with Smith's own stylistic innovations and ideals.

This document posed a comparison between David Stanley Smith and Charles Ives, using Smith's cello works and the Fourth Violin Sonata by Ives to compare and contrast their compositional style and their careers. It is an effort to explain why two composers, both trained in the same studio at the same time,



could become so different stylistically, and why Ives so completely overshadows Smith now. The reasons why Smith and Ives differ so greatly have to do with their musical influences and advocacy of their works beyond their lives. While both composers studied with Horatio Parker, David Stanley Smith viewed Parker as his mentor and his chief musical influence. He followed Parker through his years at Yale, travelled (on Parker's suggestion) to Europe to further his education with European composers, and returned to become Parker's protégé on the faculty of the Yale School of Music. This brought about honors, awards, publications, and prominence within the musical establishment for Smith. Charles Ives, while appreciative of Parker's compositions, did not view him as his most important musical influence. His father, George Ives, was the single greatest influence on Ives's musical style and its development. Ives remained on the periphery of classical music throughout his composing years, and privately published most of his works. Dismissed and maligned with the musical establishment during his active career as a composer, Ives experimented freely with harmony and form, and was not overly concerned with tradition. Smith on the other hand, chose to protect and continue the traditions of his teacher and the previous generation.

Smith and Ives differed greatly in those who advocated for their music. Smith had his teacher as advocate following his graduation, which led to his position at Yale and his prominence during his lifetime. After Smith's death in 1949, he no longer had any advocate for his music, and so he has been largely lost to history. Smith was part of a minority of composers still writing mainly in the tradition of late Romanticism. The majority of composers by 1949 had moved on

from those traditions, as did Ives. With Smith no longer composing, that minority continued to shrink, and much more attention was given to the current century's compositional style. Ives had little advocacy from the musical elite in his early career. It was not until after he stopped composing music actively that he found advocacy in the experimentalists of the 1920s and 1930s. Those composers, historians, and musicians carried forth Ives's legacy beyond his death in 1954. The result of that effort continues today with the many performances, lectures, books, and essays produced concerning the music of Charles Ives.

This research does not comprehensively compare the work of David Stanley Smith with his colleague, Charles Ives. It uses two works written for cello and piano by Smith and the Fourth Violin Sonata by Ives as representative works for purposes of comparison. Further research is needed, which hopefully will find additional aspects of comparison between the two composers, and spark further interest in Smith's music. Some possible research aspects that could be valuable include a larger comparison between the chamber music of David Stanley Smith and Charles Ives, comparison of their symphonic works, and comparison of their choral works. Research comparing Smith to the work of more prominently known American composers of the late nineteenth and early twentieth century could note why Smith is less known than some of his predecessors, including his teacher Horatio Parker, as well as Arthur Foote and Daniel Gregory Mason.

Even though Smith's music is traditional, and somewhat conservative for his era, it is very finely crafted, and worthy of further research and performance. Smith's music embodies the style of late Romanticism, especially the style of

Johannes Brahms. His music employs Classical forms, but with interesting and noteworthy alterations and innovations, such as: his combination of sonata and rondo principles, while deviating from the sonata-rondo form model, his incorporation of modal harmony, and his continuous development of quoted material. The materials of his music are not noteworthy to modern listeners, but the way in which Smith uses those traditional materials remains unique and remarkable. From this research, it is clear that David Stanley Smith was a very highly skilled and expressive composer of absolute music, especially as seen through his chamber music, and specifically his two major works for violoncello and piano. The skill and expression of his works for cello and piano should garner advocacy for his canon of works, their publication, as well as increased research and performances of those works.

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