BEYOND VIRTUOSITY: A PEFORMER'S PERSPECTIVE ON HYBRIDITY, VIRTUAL AGENCY, AND MEANING IN THREE CONCERT ETUDES FOR SAXOPHONE BY CHRISTIAN LAUBA

by

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(Under the Direction of Connie Frigo)

ABSTRACT

This document develops an analytical methodology which can be used in preparation for the performance of Christian Lauba's saxophone etudes. This methodology is then applied to three of Lauba's concert etudes: *Worksong* (2010), *Flamenco* (2013), and *Steady Study on the Boogie* (1995). Despite the prominence of Lauba's concert etudes in saxophone repertoire, no such document exists which identifies and analyzes their key musical aspects of style/genre manipulation and expression. To examine these aspects, this document develops a bipartite methodology by synthesizing Bruno Alcalde's framework for the analysis of musical hybridity and Robert S. Hatten's theories of virtual agency in Western art music. The analytical insights using this methodology are aimed to help saxophonists in their preparation of Lauba's works. In Chapter 1, Lauba's concert etudes are contextualized within the overall development of saxophone repertoire, then their important musical aspects are explained. In Chapter 2, the concert etude's history is explored using the development of concert piano etudes as a genre exemplar. The influence of Lauba's concert etudes on saxophone repertoire is compared to the impact of Chopin, Liszt, and Ligeti's etudes on piano repertoire. Chapters 3 and 4 outline

important background information and the methodologies used to analyze the works in the Chapter 6. In Chapter 3, important concepts of style, genre, paratext, and the concert etude as a genre are discussed, followed by an outline of Alcalde's framework for analyzing musical hybridity. This is followed by an explanation of how Lauba's works are situated in this genre. In Chapter 4, different perspectives on musical agency are discussed, highlighting those of Hatten. Chapter 5 outlines the document's methodology and explains the need for a synthesized framework to analyze Lauba's concert etudes. In Chapter 6, the document culminates in three analyses using the methodology and considerations outlined in the previous chapters. Although grounded to music theory, this document intends for the methodology and analyses contained therein to be utilized by saxophonists in their performance preparations for any of Lauba's concert etudes which include musical hybridity. Virtual agency as an analytical tool foregrounds this usage.

INDEX WORDS: saxophone; Christian Lauba; concert etude; Flamenco; Worksong; Steady Study on the Boogie; musical hybridity; music theory; virtual agency; Bruno Alcalde; Robert S. Hatten

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INTRODUCTION

Since I began playing music, I have been fascinated by virtuosic performances. As a young saxophonist, practically anything past the notes of "Hot Cross Buns" in concert B♭ signified a virtuoso to me—when my beginning group lesson teacher played the "exam" melody from the last page in Yamaha Band Student Book One, I was astounded by the ease with which he played such a complicated piece of music. As a novice, seeing this transpire in front of me was like watching a magic act. This fascination with musical fluency expanded beyond the music I played in band class when I picked up the guitar, finding myself drawn to metal music due to its bombastic instrumental gymnastics. Although I certainly felt more at home in the styles and genres in which I was enculturated, my appreciation of virtuosity pushed me to experience and appreciate music from a variety of different styles and genres. The combination of these two, virtuosity and the vastness of musical style, is what interests me in Christian Lauba's many concert etudes for saxophone. This paper will examine how Lauba's etudes are inscribed in and reference the concert etude as a genre, how styles and genres (including the concert etude) are manipulated for expression, and how this expression may be embodied by listeners as they inhabit the virtual-musical worlds created by his concert etudes.

Christian Lauba's concert etudes are popular pieces for advanced saxophonists. Because of their considerable use of extended techniques, they are often used to hone techniques such as circular breathing, multiphonics, and slap tonguing. Lauba's implementation of these techniques has arguably influenced most, if not *all,* music written for saxophone composed after his concert etudes—perhaps his works are so popularly used to acquire and hone these techniques *because*

their initial popularity led to their pervasive emergence in the saxophone's repertoire. However, the preparation of Lauba's works are not only practical solutions for developing mastery of extended techniques. They are concert etudes meant for the stage in the manner of other celebrated concert etude composers who preceded him such as Frédéric Chopin, Franz Liszt, and György Ligeti. Because of this, expressive meaning in Lauba's works can delve deeper into how his works "perform" the genre of the concert etude, and how the concert etude is manipulated as one of the many genres contained in each etude. Although *Worksong*, *Flamenco*, and *Steady Study on the Boogie* all contain different styles and genres, the concert etude genre is the one unifying generic aspect between all of them. Placement of Lauba's works within a concert etude intertext illuminates musical meaning within each work and potential commonalities between all his concert etudes for saxophone.

The prevalent difficulty of Lauba's concert etudes may lead those practicing and performing them to be intensely focused on their execution, sometimes at the expense of their expression. This is not surprising, given Lauba's designation of his works as concert *etudes*. In this genre designation alone, Lauba implies that there is some pragmatic end inherent in the study of his works. But in light of the hybrid musical space that Lauba's concert etudes occupy, their worth and expressive meaning exist in a place outside the physical realm of saxophone technique. Although impressive, Lauba's works are not merely gargantuan feats of musical athleticism meant to be performed for onlookers to stare at in amazement. Besides, for the performer, the difficulty of these feats should not be readily apparent to the audience. There is an emotional core to Lauba's music which can be accessed through the analysis of its treatment of style and genre, and through the virtual musical world projected by the listener.

The aim of this document, therefore, is to delve deeper into the musical meaning behind Lauba's concert etudes: beyond practice, beyond execution, and beyond virtuosity to render the expressive power in his music more comprehensible for those studying his music. To accomplish this, I am proposing a bipartite framework to analyze select etudes of Lauba's that combines Bruno Alcalde's mixture strategies for hybrid music and Robert S. Hatten's theories of virtual agency to demonstrate how style and genre are manipulated for expressive ends. Musical hybridity is the combination of two or more discrete musical styles or genres. Musical agency is the ascription of intention and action to certain musical events, thereby transforming them into anthropomorphized agents. My aim in combining these two analytical methods is to create a framework that is flexible enough to be readily applied to any of Lauba's concert etudes containing musical hybridity. My experience as a saxophonist has informed my theoretical interpretations, and it is my goal for these analytical interpretations to offer new insight into the study and performance of Lauba's music that features musical hybridity.

Chapter 1 provides background on the development of saxophone music. It accounts how the saxophone entered the avant-garde concert music space through saxophonist Jean-Marie Londeix and composer Edison Denisov's collaborative efforts on Denisov's 1970 *Sonate*, then contextualizes Christian Lauba's work with the saxophone community. Chapter 2 gives historical context for the concert etude, privileging piano etudes by Frédéric Chopin, Franz Liszt, and György Ligeti. A brief history of saxophone etudes is given, culminating in Lauba's works in the later stages of this history. Chapter 3 explores style, genre, and hybridity. The importance of these concepts in saxophone music scholarship is explained, followed by examinations of the three terms. Bruno Alcalde's four mixture strategies for analyzing musical hybridity are detailed and musical examples are taken from the analyzed works in the final chapter, foreshadowing

their appearance in Lauba's music. Chapter 4 discusses the study of agency in music theory scholarship. Five perspectives are discussed, but Robert S. Hatten's theories of virtual agency in Western art music are privileged, as it forms one half of the bipartite framework I construct in the ensuing chapter. Chapter 5 outlines the combined methodology of Alcalde and Hatten's frameworks which I use to analyze the works in Chapter 6. Chapter 6 utilizes this framework in analyses of three of Lauba's concert etudes for saxophone: *Worksong*, *Flamenco*, and *Steady Study on the Boogie*.

CHAPTER 1

THE SAXOPHONE AND MODERN MUSIC

Concert etudes have been crucial to the development of select instruments' repertoires. Techniques initially only playable by virtuoso performers are utilized in concert etudes, expanding the realms of possibility for new compositions for the instrument. The publication and spread of works using these techniques forced subsequent performers (i.e. not just the most elite virtuosi) to refine and expand their skills to even greater levels, thereby increasing the technical abilities of all performers until the technique is normalized as a part of the sonic vocabulary of each instrument. Expanded sonic palettes for composers and the increased abilities of performers then opened new avenues of creativity for later works. For instruments such as the violin and piano, this knowledge of instrumental technique came from concert etude composers' dual identity as performer-composers who had intimate knowledge of their instrument. In the nineteenth century, two landmark sets of concert etudes were published which changed the violin and piano repertoires: Paganini's *24 Caprices* for violin, published between 1802 and 1817, and Chopin's first set of etudes, *Etudes*, Op. 10 for piano, published in 1833. These concert etude sets influenced the writing for each instrument so greatly that they clearly divided works in their repertoire as occurring "before" and "after" their works. Chopin's etudes were the first piano etudes to gain a foothold in the concert repertory, and they spurred greater development of the genre by composer-performers like Liszt, Alkan, and Debussy. Although concert etudes were more popular for the piano than the violin, Paganini's works revolutionized violin technique: "[b]efore Paganini, the existing technique was firmly embedded in the French school…as might

be expected, these two currents did not react positively with Paganini's showmanship and technical innovations, which, in essence, we have to thank for the complete exploration of violin technique."[1] This parallels the development of technical demands in saxophone music. The source of possible techniques and sounds largely relied on the cultivation of existing technique as determined by the pedagogies of the French school led by Marcel Mule, and the school of Sigurd Raschèr.

The development of an "idiomatic" saxophone music, especially repertoire utilizing extended techniques, occurred much later than idiomatic music for the violin and piano. This belated development can be traced back to three primary factors in the saxophone's early history: its relatively late invention (first patented in 1846), Adolphe Sax's legal battles spurred by the patent, and the political issues surrounding its use in the orchestra.[2] Much has been written about the backlash against Sax's invention and his attempts to spread the use of his instrument.[3] Sax had to find both saxophone players and composers to write its repertoire. His appointment as professor of saxophone at the Paris Conservatory in 1857 helped him achieve both goals, but his tenure, ending in 1870, was too short to have as substantial of an impact on the world of saxophone pedagogy or repertoire as later saxophonists did. The first substantial development in the saxophone's place in the concert music world was led by the commissioning and pedagogical activities of Sigurd Raschèr and Marcel Mule.

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[1] Domagoj Ivanović, "Development of Violin Virtuosity from the Baroque Period to the Modern Era" (DMA diss., University of Miami, 2006), 40.

[2] The fact that the saxophone was "invented" is already quite different from other instruments, which evolved from predecessors (e.g. the modern clarinet from the chalumeau).

[3] For example: Frederick Hemke, "The Early History of the Saxophone" (DMA diss., The University of Wisconsin – Madison, 1975); Thomas Liley, "Invention and Development," in *The Cambridge Companion to the Saxophone*, ed. Richard Ingham (Cambridge: Cambridge University Press, 1998), 1–19; Michael Segell, *The Devil's Horn* (New York: Picador, 2005).

Marcel Mule, saxophone soloist with the *Garde républicaine* and leader of the Mule Quartet, was appointed saxophone professor of the Paris Conservatory in 1944, seventy-four years after Sax's termination. Raschèr began his career as a saxophone soloist in Europe in the 1930s. He formed the Raschèr Quartet in 1969, taught as a permanent faculty member at the Juilliard and Manhattan Schools of Music, and gave workshops at a number of different universities in the United States and Europe. Several landmark pieces which are still commonly played today were dedicated to Raschèr or Mule. For Rascher, these include Alexander Glazunov's *Concerto*, Op. 109 (1934), Lars-Erik Larsson's *Concerto* (1934), Jacques Ibert's *Concertino da camera* (1935), *Concerto* by Ingolf Dahl (1949), and *Elegie et rondeau* by Karel Husa (1960). For Mule, these include Eugène Bozza's *Andante et scherzo* (1938; for the Mule Quartet), Fernande Decruck's *Sonate en C-sharp* (1943), Heitor Villa-Lobos' *Fantasia*, W. 490 (1948), Paul Bonneau's *Caprice en forme de valse* (1950), and Paule Maurice's *Tableaux de Provence* (1958). In the realm of pedagogy, Mule published several etude collections drawing from French violin and flute etude repertoire, and Raschèr published *Top Tones* (first edition in 1942), a seminal study book for the production and refinement of the altissimo register. While important for the development of saxophone technique and expectations for the saxophonist, Mule's sound concept and pedagogy were modeled after the French schools of violin and flute teaching and avoided the altissimo register. In his commissioning and pedagogical activities, Raschèr sought to explore the altissimo register, but his tastes were limited according to his students.[4] Apart from Raschèr's use of altissimo (now often considered a "standard" technique)[5]

[4] Michael Segell, *The Devil's Horn* (New York: Picador, 2005), 247.

[5] Altissimo deserves special treatment, as the pieces dedicated to Raschèr always utilized it in some way, suggesting that his abilities were in part defined by his mastery of the register. Raschèr evangelized the altissimo register, but he did not discover it. Gail Levinsky (1997) mentions discussion of the altissimo register by Sax's contemporaries and its inclusion in Gustav Bumcke's 1926 method book *Saxophon Schule*. The widespread categorization of altissimo as an extended technique is partially an artifact of Marcel Mule's vociferous avoidance of the register, and the "jingoistic pride" (Segell 2005, 245) of Mule and Raschèr's students.

and occasional slap tongue, extended techniques or those idiomatic to the saxophone were not developed until much later.

Modern Saxophone Music: Jean-Marie Londeix and Edison Denisov

It was not until the commissioning activities of Jean-Marie Londeix, a former student of Mule, that the saxophone's sonic capabilities were explored to a greater extent through the use of extended techniques in the avant-garde repertoire. Extended techniques as an expressive device in saxophone writing were introduced most notably in 1970 in Edison Denisov's *Sonate* for alto saxophone and piano. While previous pieces (e.g. Lars-Erik Larsson's *Concerto* (1934; advanced altissismo, slap tongue), Jacques Ibert's *Concertino da camera* (1935; altissimo, slap tongue), among others) occasionally utilized extended techniques for the saxophone, Denisov's *Sonate* was the first piece for saxophone to include slap tongue, glissando, multiphonics, and demanding altissimo work in one composition.[6] Without a substantial number of works from which Denisov could draw to create an avant-garde sonic palette, Denisov relied primarily on his collaborative efforts with Londeix.

Londeix and Denisov first met while Londeix toured Russia in 1970. There, he gave several concerto and recital performances of traditional saxophone repertoire like Debussy's *Rapsodie* L. 98 (1919), Creston's *Sonata*, Op. 19 (1939), and Bauzin's *Poème*, Op. 20 (1960). He also performed transcriptions of select movements from Bach's cello suites as an encore in several concerts.[7] Saxophonists and music critics were impressed by Londeix's virtuosity and expressivity. He was also invited to give a presentation at the House of Composers in Moscow,

[6] Robert Edward Beeson, "The Saxophone Sonata in Twentieth Century America: Chronology and Development of Select Repertoire" (DMA diss., University of Maryland College Park, 2011), 13.
[7] James Umble, *Jean-Marie Londeix, Master of the Modern Saxophone* (Cherry Hill, NJ: Roncorp Publications, 2000), 99.

where Denisov and other Russian composers like Sofia Gubdaidulina and Alfred Schnittke were in attendance. At the event, Londeix presented many idiomatic contemporary techniques such as quarter tones, multiphonics, and timbre trills. Denisov was fascinated by these sounds and Londeix's mastery of them. He requested more details from Londeix on these contemporary techniques, to which Londeix responded by sending him a tape of him performing various techniques along with suggestions for their notation.[8] Denisov incorporated many of the techniques Londeix demonstrated on the tape in his *Sonate*. The *Sonate*'s 1970 premiere was a turning point in Londeix's career and for saxophone repertoire at large.

Denisov and Londeix's relationship established during the writing and premiere of the *Sonate* was symbiotic: Londeix was an artist who sought to constantly grow and explore new territory, while Denisov was frustrated that no one wanted to play his avant-garde music in the "stifled and suppressed" artistic environment of the Soviet Union.[9] With hardly any performance venues or performers outside of insulated academic music circles in the Soviet Union, Denisov was excited by the prospect of having his piece performed by a Western artist of such high quality, and by its publication by Alphone Leduc, a major French publisher. Londeix premiered Denisov's *Sonate* at the Second World Saxophone Congress in Chicago in 1970. It was met with great enthusiasm from the saxophone community, spurring a long standing ovation immediately after its conclusion and several requests from students who wished to study with Londeix in France.[10] After Denisov's piece that explored "unique idiomatic possibilities of the saxophone" was introduced, many musicians began to "reconsider the role of the saxophone in modern

[8] Ibid, 101.
[9] Londeix quoted in Ibid, 101.
[10] Ibid, 102.

music."[11] Future saxophone commissioning efforts, especially those by Londeix, favored the avant-garde sonic palette which Denisov used so artistically in his *Sonate*.

Importantly, such a landmark piece happened because of the collaborative process between Londeix, a virtuoso performer who had an intimate relationship with the sounds his instrument could make, and Denisov, a composer writing with an avant-garde musical language who constantly sought out such unique sounds. The extended techniques which Denisov utilized in the *Sonate* were not totally undiscovered—after all, Londeix was the saxophonist who introduced him to them. However, they were not used so commonly to such an extent until after Londeix and Denisov's "meeting of the minds" in 1970. This event in the saxophone's repertoire reflects the interplay between compositional impetus and knowledge of technique, although other older and more popular concert music instruments relied on composer-performers such as Paganini and Ysaÿe for the violin, and Chopin and Liszt for the piano. For Londeix and Denisov, one supplied the knowledge of the saxophone's capabilities, while another put it to use. While Denisov's *Sonate* opened the door for new sonic possibilities in saxophone music, Christian Lauba's concert etudes blew the door off its hinges less than twenty years later with his concert etudes that expanded the virtuosity of saxophonists worldwide and continues to influence saxophone music today, over thirty years later.

Christian Lauba

Christian Lauba was born in Sfax, Tunisia in 1952. Growing up in a Mediterranean port city, with its mixture of languages and European and North African cultures, Lauba was exposed to cultural hybridity, or mixture, from a young age.[12] After studying composition with Francisco

[11] Ibid, 102–103.
[12] The term "hybridity" will be more clearly defined in Chapter 3.

Guerrero and György Ligeti, Lauba began formal studies at the Bordeaux Conservatory under Michel Fusté-Lambezat.[13] Fusté-Lambezat founded the "School of Bordeaux" group of composers, which includes others who wrote important contemporary saxophone works such as Thierry Alla, Christophe Havel, and François Rossé.[14]

After hearing a piece of Lauba's on a concert organized by Fusté-Lambezat in 1983, Londeix (now the Bordeaux Conservatory saxophone professor) requested that Lauba write a piece for the Bordeaux Saxophone Ensemble, which resulted in *La forêt perdue* for twelve saxophones. As the rapport between Londeix and Lauba strengthened, Lauba became a frequent visitor to Londeix's saxophone class, where he worked with Londeix's students to create new works.[15] Early works for Londeix's students include *Hard* (1988) for solo tenor saxophone (dedicated to Jean-Michel Goury), *Sud* (1989) for alto saxophone and piano (dedicated to Manuel Mijan), and another saxophone ensemble piece, *Les sept Îles* (1988), for the Bordeaux Saxophone Ensemble.[16] In part due to their teacher's attitudes towards the saxophone and the creation of new repertoire for it, Londeix's students were virtuosic players who were dedicated to the commissioning of new works and engaging with modernity.[17] Lauba was given "free reign" by Londeix to experiment with "hidden" sonorities in the instrument he aimed to uncover, and these frequent collaborations guided by Londeix and his virtuoso students allowed him to realize possibilities in writing for the saxophone that had yet to be written. Nine years after his initial collaboration with Londeix's studio, he produced his first set of etudes, *Neuf études*, published in four sets in 1992, 1993, and 1994.

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[13] "LAUBA Christian," Centre de documentation de la musique contemporaine, accessed November 17, 2023, http://www.cdmc.asso.fr/en/ressources/compositeurs/biographies/lauba-christian-1952.
[14] Po-Yuan Ku, "Four Recitals and an Essay: *Christian Lauba and His Saxophone Etudes: From an Historical Perspective*" (DM diss., University of Alberta, 2009), 59.
[15] Umble, *Jean-Marie Londeix* 104.
[16] Centre de documentation de la musique contemporaine, "LAUBA Christian."
[17] Umble, *Jean-Marie Londeix*, 104

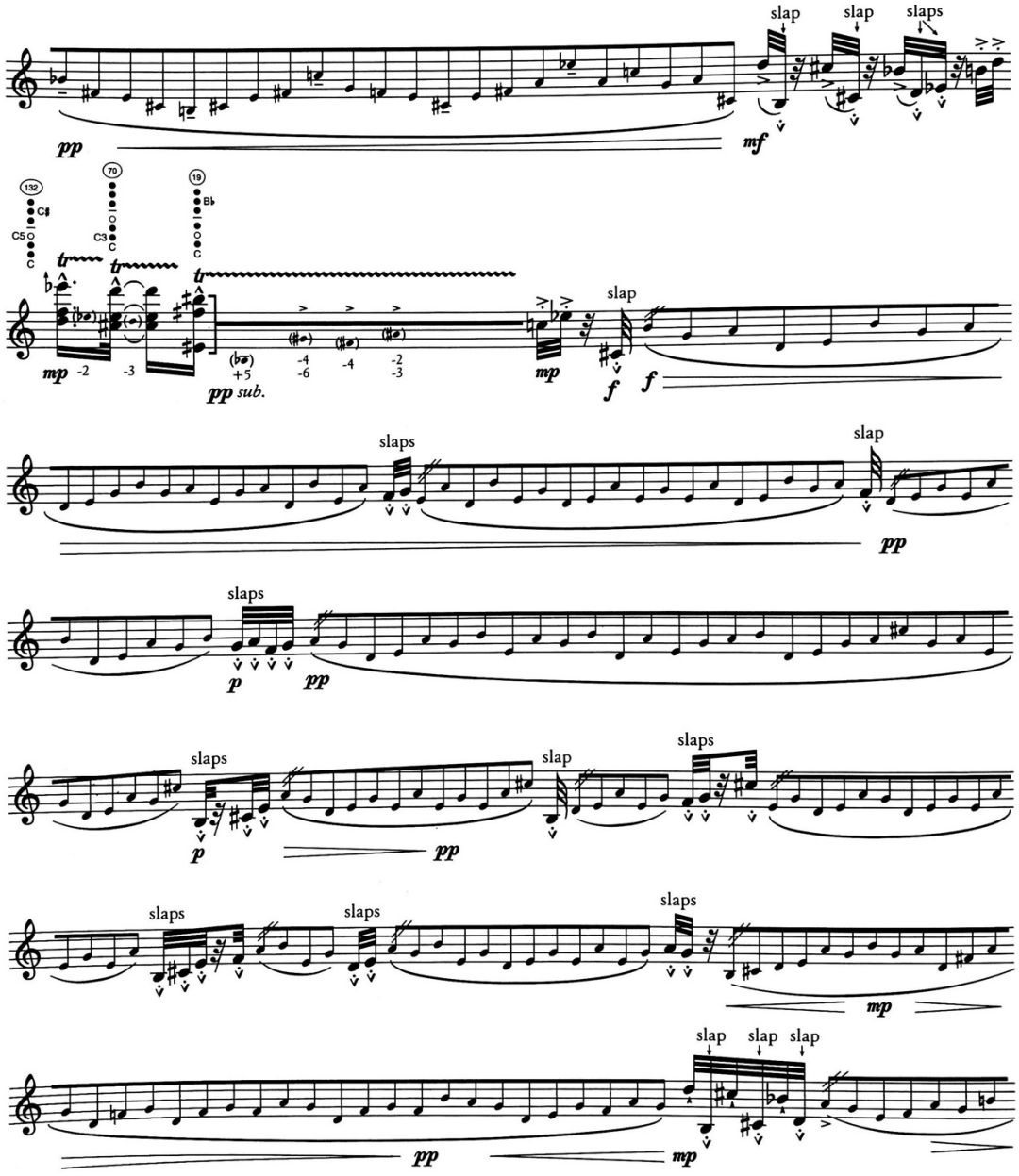
Lauba's first nine etudes are landmark compositions in the saxophone's repertoire. In describing the etudes generally, Londeix draws a distinction between etudes meant purely for the musical development of the student and those meant to "artistically display an instrument's often unknown idiomatic characteristics," often used as concert repertoire.[18] Londeix considers Lauba's etudes to belong to this latter category, alongside renowned piano etude composers such as Claude Debussy and Frédéric Chopin. For Londeix, Lauba's etudes are substantial enough to stand alongside other well-known composers' works in the concert music canon as exemplary works displaying the "depth, amazing flexibility, and incomparable beauty" of the saxophone. To summarize the effects of Lauba's writing for the saxophone on its repertoire, "one might say that there was a saxophone before and after Lauba, just as there was the piano before and after Chopin."[19]

Lauba's etudes explore idiomatic saxophone techniques throughout the course of each work to an extent far beyond his predecessors. In alphabetical order, these include *bisbigliando*, circular breathing, extreme dynamic contrasts, flutter tongue, multiphonics, quarter tones, slap tongue, subtone, and timbral variation. It is important to note that these techniques are not included a few times through the course of an etude—they permeate the musical texture. For example, his third study *Jungle*, integrates slap tonguing, legato phrasing, and multiphonics into a nearly constant stream of notes (see Example 1-1). This contrasts with previous avant-garde composers' works (like Denisov's 1970 *Sonate*) which include such effects in a more limited capacity throughout a much more technically normative saxophone part. Londeix indicates other nuanced treatment of extended techniques such as the necessary pitch accuracy of multiphonics in *Savane*, the "rhythmization" of *bisbigliando*, and the constant change between techniques in

[18] Ibid, 257.
[19] Ibid, 257.

Vir.[20] Lauba's nuanced use of extended techniques is reflected in his notational practice, which seeks to provide as much information as possible so that his works are performed with accuracy and simplicity.[21] Lauba's use of extended saxophone techniques is not arbitrary or simply audacious, but instead written into the score with a clear sonic picture and expressive end in mind.

[20] Ibid, 258–259.
[21] Ku, "Four Recitals and an Essay," 61.



Example 1-1. Lauba, *Jungle*, second page.

Hybridity and Style in Lauba's Music

Style and genre are important elements in Lauba's music, and will play a significant role in the analyses of *Worksong*, *Flamenco*, and *Steady Study on the Boogie* in Chapter 6. Lauba

obliquely references musical hybridity when he says that he "seeks a synthesis of styles."[22] In this statement, he also refers to Ligeti as a model, who, according to Lauba, successfully synthesized elements of Hungarian and Romanian traditional music in his works. Importantly, Lauba does not reference "genre" as a unifying element of his writing process, but this could potentially be a result of musical studies' preference to use the term "style" over "genre" when discussing the subject, or using them practically interchangeably.[23] He does more directly reference style as a "manner of discourse" when he states that he "[strives] to reconnect with the melodic line" and claims "to be close to the French tradition, with its clarity and colours."[24] These seemingly opposing statements, one referring to a synthesis of styles, and another referring to his connection to a single style can be separated and made more intelligible if one allows "genre" to stand in for "style" in the first quote.[25]

As mentioned previously, Lauba's upbringing is one of cultural hybridity, and it informs his hybrid compositional style. His biography states that "divided between North Africa and Martinique, the first 18 years of his life greatly contributed to fashioning his musical language."[26] This environment of various musical styles including Arab, European, Jewish, and American music shaped this language, and he describes his compositional style as "the result of all the influences 'that cradled [his] childhood.'"[27] In these descriptions of Lauba's musical upbringing, it is clear that he views his music as an intersection between several different styles of music, and that his music can be included as part of a greater intertext between these varied musical elements and as part of an intertext of musical hybridity. Lauba sees the manipulation of

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[22] Centre de documentation de la musique contemporaine, "LAUBA Christian."
[23] Allan F. Moore, "Categorical Conventions in Music Discourse: Style and Genre," *Music & Letters* 82, no. 3 (2001): 433.
[24] Centre de documentation de la musique contemporaine, "LAUBA Christian."
[25] The difference between style and genre is examined more closely in Chapter 3.
[26] Ibid.
[27] Ibid.

style as inherent to his musical language, maintaining that "one should notice a propensity for a style that advances through synthesis while remaining open to different types of traditional music and a predilection for certain modes of play (dynamics, tone-colours, attacks, rhythms)."[28] It is important to note that Lauba views his musical language as a synthesis of styles, not as a collection of references to styles which exist outside the medium in which he is composing, i.e. contemporary, composed (that is, not improvised) concert music. His work does not include a collection of various styles which he has chosen indexically in a given piece, but rather a musical language which uses stylistic manipulation as a manner of its discourse. The musics he heard in his childhood do not manifest themselves in each piece as pastiche recreations. Instead, his experience with such a variety of styles in his upbringing has led him to conclude that stylistic manipulation is his unique mode of *expression*, which he places above all musical elements.[29] For Lauba, all musical elements are subservient to expressive qualities, though it is apparent that his expression is informed by the manipulation of style and genre.

Despite Lauba's enduring popularity in the saxophone world, there is little music theory or musicology scholarship on him or his music. Po Yuan-Ku has examined Lauba's first twelve etudes from an historical perspective, considering previous saxophone etudes and the intersection between those of other instruments.[30] There are two extant pieces of music theory scholarship on Lauba's music: a conference paper analyzing his etude *Stan*[31] and a short analysis of *Hard*.[32] The

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[28] Ibid.
[29] Ibid.
[30] Po-Yuan Ku, "Four Recitals and an Essay: *Christian Lauba and His Saxophone Etudes: From an Historical Perspective*," DM diss., University of Alberta, 2009.
[31] Nikolaos and Costas Tsougras, "Timbral and Textural Evolution as Determinant Factors of Auditory Streaming Segregation in Christian Lauba's Stan" in *Proceedings of 12th International Music Conference on Music Perception and the 8th Triennial Conference of the European Society for the Cognitive Sciences of Music*, ed. E. Cambouropoulos, C. Tsougras, P. Mavromatis, K. Pastiadis, (Thessaloniki: 2012), 254–262.
[32] Charles Bruce Stolte, "Genre and Context in William Albright's *Sonata for Alto Saxophone and Piano* and Christian Lauba's *Hard*" (DM diss., Northwestern University, 2002).

former does not consider style an important part of the musical discourse, but the latter does. As evidenced by his composer biography, style, genre, and emotional expression are important elements in Lauba's music. In the analysis of his music, the synergy of these attributes demands a synthesis of frameworks which consider these qualities, namely those of musical hybridity and agency, both of which will be discussed in depth in Chapters 3 and 4, respectively.

CHAPTER 2

CONCERT ETUDE HISTORY

The etude, from the French word for "study," *étude*, is a piece of usually somewhat difficult music meant for the improvement of a specific technique which pervades its fabric. Musical interest is a particular aspect of etudes, distinguishing them from "exercises," which tend towards repetitive figures transposed to cover other ranges of the instrument and key areas with no regard for creating a musical phrase.[33] That is, exercises are concentrated almost purely on improving technical facility, while etudes aim to improve technical facility for the ultimate purpose of using it in a musically interesting way. Because etudes are specific to the technique of any given instrument, it is impossible to make sweeping generalizations about the history of the etude at large, but important to the background and analytical framework of this study is the history of the concert etude, which developed most significantly in piano repertoire.

Writing in *Grove Music Online*, Howard Ferguson describes the popularity of the piano etude in his article "Study." He delineates three primary periods in the history of the etude: pre-nineteenth century etudes and studies, the rise of the concert etude in the nineteenth century, and "later" concert etudes. According to Ferguson, the use of the term was loose in the first period. Francesco Durante composed etudes meant as exercises in counterpoint, Domenico Scarlatti's were practically indistinguishable from his 525 sonatas, and J.S. Bach's four-volume *Clavier-Übung* (1731–41) contained prominent harpsichord pieces such as the Italian Concerto, French Overture, six partitas, and the Goldberg Variations alongside large-scale organ works. Common

[33] The use of the term "musical interest" is relative and relates to the play of stylistic rules and strategies. See the "Style" section of Chapter 3.

between these three composers' etudes, and those of other composers of the time, are their didactic purpose. Some works explicitly stated this, beginning with a preface addressed to the composers' students (or students of the instrument in general). Others' initial identities as etudes were ultimately usurped by their publishing under another name, as in the case of J.S. Bach's *Clavier-Büchlein vor Wilhelm Friedemann Bach* (1720; written for the instruction of his son), whose etudes later appeared as eleven of the twenty-four preludes in *The Well-Tempered Clavier*.[34] Although *The Well-Tempered Clavier*, written "for the profit and use of the musical youth desirous of learning, and especially for the pastime of those already skilled in this study," was originally a didactic publication, its current performance practice demonstrates a distortion of the boundaries between educational material and concert repertoire. These boundaries would become blurrier in the nineteenth century.

The early nineteenth century saw an explosion of pedagogical material for the piano aimed at amateurs and neophyte professionals due to its popularity as a home instrument. Collections of etudes at this time were graded, and often focused on the cultivation of technical skills at the expense of musical interest. Noted composers of etudes at this stage are J.B. Cramer, Ignaz Moscheles, and Carl Czerny.[35] Czerny, whose most well-known pupil was Beethoven, was particularly active in composing etudes for the piano, publishing 861 works with opus numbers, many of which were etudes or collections of etudes. Czerny's etudes also marked a shift in the purpose of the etude, as he composed each etude as a dense technical exercise within an engaging musical fabric. For Czerny, "[while] a composition was provided primarily for physical

[34] Howard Ferguson, "Study," *Grove Music Online/Oxford Music Online*, Oxford University Press, January 20, 2001.
[35] Ibid.

challenges, it also served as possible performance material."[36] The use of etudes as performance material was codified more substantially with Frédéric Chopin's two sets of etudes, opp. 10 and 25 (1833 and 1837), which resolved a tension between the usefulness of a technical exercise and musical inventiveness equal to that of other subgenres in concert music.[37] Ferguson notes that it was Chopin's harmonic language that both enhanced the musical interest of his etudes and increased their difficulty, as departures to distant keys forced the hands into awkward positions. Although harmonically inventive and "excessively difficult" to some pianists such as Moscheles, Chopin's etudes still prioritize the improvement of technique above musical characteristics, a hierarchy which Franz Liszt would invert in his *Transcendental Etudes*, S. 139 (1852).

Liszt's set of etudes marked a drastic change in the budding genre of the concert etude first firmly established by Chopin. Liszt changed titling conventions from simple numbers within an opus to evocative titles such as *Paysage* (Landscape) and *Harmonies du soir* (Evening Harmonies). The *Transcendental Etudes* also expanded the technical scope of the concert etude. For Liszt, concert etudes were not constrained to harmonically interesting pedagogical works aimed at the improvement of a specific technique in the manner of Chopin, but virtuosic character works which required precision and dexterity across all domains of technique to play effectively. Ferguson notes that "the didactic element of the pieces (other than their pervasive technical difficulty) was almost completely lost."[38] The character of the piano concert etude completely changed after Franz Liszt, and the genre-defining characteristics of concert etudes

[36] Patricia Marie Gray, "The Pedagogical Concepts of Carl Czerny: An Analytical Study" (DMA diss., The University of Cincinnati, 1977), 63
[37] Howard Ferguson, "Study," *Grove Music Online/Oxford Music Online*, Oxford University Press, January 20, 2001.
[38] Ibid.

became more generalized. From Liszt onwards, concert etudes were essentially extremely difficult character pieces.

Concert etudes in the piano repertoire continued (and continue) to be written, adhering to the elements established by Liszt. His contemporary Charles-Valentin Alkan wrote two sets of etudes which are on an even grander scale than Liszt's, including a three-movement symphony and three-movement concerto for solo piano in *12 Etudes in All the Minor Keys*, Op. 39 (1857). Early twentieth-century composers of piano etudes include Alexander Scriabin, Sergei Rachmaninoff, Claude Debussy, Béla Bartók, and Olivier Messiaen. The piano etudes of György Ligeti, published in three books in 1985, 1994, and 2001, are of particular note because of their engagement with the genre as established by Chopin and Liszt updated to a new, avant-garde musical language. Ligeti's musical language is different from his contemporaries: he never attempted to establish a "school" of composition (the Second Viennese School and Darmstadt School being two examples in the twentieth century), opting instead for what Denys Bouliane calls a "syncretic" approach to composition, using techniques from various avant-garde compositional schools and aspects from musics around the world (especially rhythm) in an idiosyncratic manner.[39] Despite his musical idiolect, Ligeti still chose to engage with a genre established by his instrumental and compositional predecessors. Titles are given to etudes in the manner of Liszt, and Bouliane notes the use of piano techniques found by previous renowned piano etudes composers such as Chopin, Liszt, Debussy, and Bartók.

[39] Denys Bouliane, "Ligeti's 'Six Etudes Pour Piano': The Fine Art of Composing Using Cultural Referents," *Theory and Practice* 31 (2006), 165–166.

Lauba's Work and Saxophone Etude History

As with Ligeti, engagement with the etude's past and the manipulation of style and genre are important factors in Lauba's concert etudes. Lauba engages with the genre as historical and social practice in his designation of his pieces for saxophone as "etudes," primarily in the paratext (title, subtitle, dedication) of each piece and in clearly bounded "etude" references in his hybrid works (explained in the analyses in Chapter 6). Furthermore, Lauba's style is syncretic, choosing from a palette of styles and genres as expressed through the voice of the saxophone in his own compositional idiolect. In order to understand Lauba's etudes' position within the concert saxophone space, and how his etudes engaged with the genre of etude at large in a saxophone idiomatic way, a brief history of the saxophone etude is necessary.[40]

Unlike the piano, the saxophone has a much less storied history of its etudes. There are few concert etudes written before Lauba's; most pre-Lauba etudes were purely didactic like those preceding Chopin's in the piano repertoire. In his historical examination of Lauba's concert etudes, Po-Yuan Ku divides the history of the saxophone etude into five distinct periods, 1840–1900, 1900–1930, 1930–1970, 1970–1990, and post-1990. Stylistic differences between periods is largely a reflection of the evolution of style in concert music at each point in time, but differences in the purpose of saxophone etudes (pedagogical vs. performance) do not necessarily align with change in style. This disconnect reflects the pressing need for didactic materials for the saxophone in its early stages which spurred more substantial developments in repertoire after this need was fulfilled, as the next paragraphs detail.

[40] An in-depth history of the saxophone etude is outside the scope of this study. For a contextualization of Lauba's concert saxophone etudes within the history of the saxophone etude, see Po-Yuan Ku, "Four Recitals and an Essay: *Christian Lauba and His Saxophone Etudes: From an Historical Perspective*" (DM diss., University of Alberta, 2009).

Because the saxophone was in its infancy, the first period's publications (1840–1900) were primarily focused on establishing a complete method for learning to play the saxophone as a beginner. Notable early methods include those by Georges Kastner (1847) and Louis-Adolphe Mayeur (1868–1878). Mechanical *exercises* (i.e. not etudes) were also published during this time such as *25 Daily Exercises* by Hyacinthe Klosé (1881), a book which is still used today. Jules Demersseman published what is likely the first saxophone etude book in 1866, *12 Études melodiques dans toutes les tonalités*. The second period (1900–1930) saw the publication of more method books such as those by Rudy Wiedoeft (1928). Some of these method books also addressed the altissimo register, such as those by David J. Bolduc (1922) and L. Lyon (1922). This period also saw the publication of Sigfrid Karg-Elert's *25 Capricen und Sonate*, op. 153a (1929), which is likely the first set of concert etudes written for the saxophone, although they were rarely performed in concert. Ku characterizes the third period (1930–1970) as "the first mature stage of saxophone music where the etude is generally short, technical and expressive."[41] Marcel Mule greatly contributed to this newfound maturity, publishing ten sets of etudes between 1942 and 1950, although many of these etudes were transcriptions of material for other instruments such as the violin, flute, and oboe. Mule notably popularized Ferling's 1840 set of oboe etudes, expanding the set to sixty with his own compositions. Another important set of concert etudes, Eugène Bozza's *12 Études-Caprices* (1944), were published during this period. These are more used more commonly as concert repertoire than Karg-Elert's set, especially the *Improvisation et caprice*.

Music in the fourth period (1970–1990) began to incorporate contemporary musical language and extended techniques for the saxophone, paralleling the solo repertoire's evolution

[41] Ku, "Four Recitals and an Essay," 36.

after Denisov's 1970 *Sonate*. Method books focusing on extended techniques such as *Circular Breathing* by Trent Kynaston (1978), and exhaustive multiphonic fingering charts like *Les Sons multiples aux saxophones* (1981) by Daniel Kientzy and *Hello! Mr. Sax* (1989) by Jean-Marie Londeix were published during this period. Londeix published several sets of etudes and exercises, including *Nouvelle études variées* (1983), a set of etudes utilizing the altissimo register which were transcribed from the violin etude repertoire. Guy Lacour's etudes, such as *28 Études sur les modes à transpositions limitées d'Olivier Messiaen* (1971) and *24 Études atonales faciles* (1975) more substantially incorporated post-tonal musical language in the etude repertoire. This period also saw etudes which were written for the express purpose of improving contemporary techniques like Ronald Caravan's *Preliminary Exercises and Etudes in Contemporary Techniques for Saxophone* (1980) and Étienne Rolin's *10 piéces courtes à caractère pédagogique, Livre I* (1982–1983). Ku asserts that Rolin's work likely influenced Lauba's conceptualization of saxophone multiphonics, as the two studied together in Bordeaux. Notable concert etudes during this period include Pierre-Max Dubois' *Sonate d'Étude* (1970) and Rolin's *Étude en bleu* (1981). Despite an increase in the number of saxophone etudes which included contemporary techniques in this period, Ku states that "we have not seen any composer produce a series of concert etudes thoroughly exploring and lifting this genre to a higher artistic level" until the works of Christian Lauba.[42,43]

Lauba's works dominate the fifth period (post-1990) of saxophone etudes and mark a turning point in saxophone etude history. They include extended techniques to an extent not previously seen by his predecessors and, because of his compositional goal of stylistic synthesis, engage intertextually with the idea of the concert etude as a genre. The use of other styles and

[42] Ibid, 51.
[43] Ibid, 20–51.

genres in his works (especially his later works such as *Worksong* (2010) and *Flamenco* (2013), both analyzed in Chapter 6) reflects his self-proclaimed influence by Ligeti and musically hybrid trends in concert music most clearly established by polystylistic composers. Thus, Lauba's concert etudes go far beyond the scope of the saxophone etude established by his predecessors—they are in a musically hybrid idiolect inspired by Ligeti (another noted concert etude composer), and, through this, inscribe his saxophone concert etudes within the concert etude genre. To understand how Lauba arranges his works within the genre of the concert etude at large, a discussion of style, genre, and hybridity is necessary, which follows next in Chapter 3.

CHAPTER 3

STYLE, GENRE, AND HYBRIDITY

Lauba's musically hybrid concert etudes contain a variety of styles and genres throughout. However, there is a general overarching genre which informs stylistic and generic analysis of all of them: the concert etude. Despite the utilization of several different styles and genres in each work—referencing musical identities which are, for the most part, disconnected from the stylistic and social practices of Western concert music—Lauba makes overt and covert references to the concert etude as a genre in the three works analyzed in Chapter 6. These references are found in the text (through a more explicitly "virtuosic" texture and by references to his earlier concert etudes) and paratext (explained below) of his etudes. Because of the cultural and stylistic disconnects between the concert etude and the other genres found in each of Lauba's concert etudes, an emergent virtual subjectivity emerges from the expressive friction between multiple styles and genres in each work.[44]

The Importance of Style and Genre in Saxophone Repertoire

The saxophone was conceptualized by its creator, Adolphe Sax, as a "hybrid" instrument which could bridge the gap between woodwinds and brass in orchestral ensembles and military bands. Sax's friend Georges Kastner describes how once, when Sax was meandering throughout his instrument-making workshop, he saw pieces of wood and brass lying around in piles. This seemingly mundane setting led to a sudden flash of inspiration for Sax, who wished to create an

[44] For virtual subjectivity, see Chapter 4.

instrument which could marry the positive qualities of brass, woodwind, and string instruments. He goes on to describe how, "by bringing together strength and softness," Sax's "new instrument would not by [sic] overwhelmed by one voice and would not overwhelm the others. It is, in a word, a perfect instrument."[45] Kastner's description of the saxophone as a "perfect instrument" is due to its flexibility in fulfilling any demands in ensemble or soloistic playing in an orchestra or military band—flexibility which allowed the saxophone to flourish in genres not foreseen by its creator.

Through the 20th century and even today, the saxophone's popular cultural image is not tied to concert music in the same manner as other instruments, but instead tied to the world of popular music. Musical institutions such as the Oxford University Press serve to relegate the instrument to a perceived "lower" class of music: it is featured prominently on the cover of the *Oxford Companion to Popular Music*, suggesting that it is an unambiguous symbol of popular music.[46] Given the asymmetric valuation of these spheres of culture when compared to the "high" art of concert music, the saxophone is, in a sense, a token of musical hybridity when used in concert music. Composers for whom style and genre are important musical discursive devices have utilized this hybrid cultural image in their works. Edison Denisov's *Sonate*, noted earlier for its pivotal influence on the creation of idiomatic saxophone music, incorporates elements of serialism and jazz in the piece's third movement. The movement's melodic and harmonic language is derived from the tone row established in the first movement, but, according to its dedicatee Jean-Marie Londeix, "is in fact a jazz trio for saxophone, piano, and string bass, with the piano assuming the latter two roles."[47] In creating an idiomatic avant-garde work for the

[45] Kastner quoted in Fred L. Hemke, "The Early History of the Saxophone" (DMA diss., University of Wisconsin-Madison, 1975), 12–13.
[46] Stolte, "Genre and Context," 233.
[47] Umble, *Jean-Marie Londeix*, 224.

saxophone, Denisov clearly saw the instrument as occupying a hybrid cultural space, which he exploits for expressive effect in the work by combining stylistic markers of serialism and jazz.

Other important works utilizing the saxophone's flexibility to evoke multiple stylistic associations are those of Ryo Noda. Notably, Noda does not rely on the saxophone's cultural associations, but on its timbral flexibility and idiomatic contemporary techniques to imitate the *shakuhachi*, a Japanese wooden flute. Saxophonist James Bunte notes the importance of understanding Noda's saxophone compositions through this lens, writing a document whose stated purpose "is to provide a model to integrate traditional *shakuhachi* techniques within a contemporary saxophone composition for a *culturally informed* interpretation."[48] Here, Bunte's description clearly refers to a sense of musical hybridity: Noda's works exist in a contemporary music space where their expressive goals can be most effectively realized through the integration of Japanese and contemporary music aesthetics.

The Analysis of Musical Hybridity in Saxophone Music

In her dissertation,[49] Noa Even uses hybridity as a conceptual lens through which she analyzes the Japanese-influenced chamber works with saxophone of French composer François Rossé. Alongside hybridity, Even also explores orality and primitivism in his works. She identifies key elements of Japanese culture before demonstrating how they reveal themselves in the chosen works. Much of her analyses focus on Rossé's identity as a French composer importing elements of Japanese music in his music and is not musical hybridity in the sense of music theorist Bruno Alcalde's framework for musical hybridity (explained in Chapter 4). In

[48] James Bunte, "A Player's Guide to the Music of Ryo Noda" (DMA diss., University of Cincinnati, 2010), 3. Emphasis in original.
[49] Noa Even, "Examining François Rossé's Japanese-influenced Chamber Music With Saxophone: Hybridity, Orality, and Primitivism as a Conceptual Framework" (DMA diss., Bowling Green State University, 2014).

Even's document, different aspects are considered within each specific critical lens she employs: for hybridity, elements of Japanese music are foregrounded; for orality, Japanese philosophical concepts and modes of artistic expression outside of music are foregrounded; for primitivism, concepts of the "primitive" are filtered through the lens of various aspects of Japanese culture.[50] In Even's work, hybridity is a crucial framework for her analysis of Rossé's Japanese-inspired chamber works, but the analysis of hybridity as it originated in postcolonial studies is given prominence over the analysis of musical hybridity in the manner of Alcalde.

In his analyses of William Albright's *Sonata* (1984) and Christian Lauba's *Hard* (1988) in his dissertation "Genre and Context in William Albright's *Sonata for Alto Saxophone and Piano* and Christian Lauba's *Hard*," Charles Bruce Stolte identifies style and genre as important factors in the works' structural and expressive qualities, adding that the these factors are particularly ripe for exploration in saxophone music because of the instrument's presence in concert and popular musics.[51] By incorporating elements of jazz and baroque music throughout the *Sonata*, Albright references the saxophone's position in popular music and a dominant concert music style which existed about 200 years before its invention. The second movement ("*La follia nuova*: a lament for George Cacioppo") forms the emotional core of the piece and utilizes an altered Baroque form. It is a lament dedicated to fellow composer George Cacioppo, in the form of a "reincarnation" (signified by *nuova*) of the popular Baroque form of *la follia*. Stolte highlights how Albright uses old musical forms such as the Baroque invention, scherzo, rondo, and the aforementioned *la follia* to signify past, present, and future when expressing grief over the death of his friend. Albright's words about the second movement "share many connections and are core elements of the human condition of living and dying. Indeed, death,

[50] Ibid.
[51] Stolte, "Genre and Context," 2.

memory, the past, and foundations constitute the context for this lament."[52] Genre is key to understanding the expressive qualities of this movement and, because of its place as the emotional core of the piece, the work as a whole. The second movement's lament confronts death and grief directly while the other movements are tangential, abstract encounters. Stolte constructs a temporal quasi-narrative structure of the piece with the *Sonata*'s use of genre, with the first moment (*Two-part invention*) referencing the past through Baroque music and forming an expressive unit with movement two. The final two movements (*Scherzo "Will o' the Wisp"* and *Recitative and Dance*) reference the future (relative to the death of Cacioppo) through the use of atonal and bebop languages in the third and fourth movements, respectively. This temporal structure operates by its references to the past, present, and future working in tandem: "Thus, the lack of resonance in contemporary life implied by the exciting—but ultimately empty—final movement is countered in a very profound fashion by the preceding movements…that which has gone before provides meaning in the present."[53]

In the title page comments to *Hard*, Christian Lauba "proposes a synthesis between the present contemporary music [precisely written] and the more popular music (hard rock, soul music) which is often improvised." Stylistically, Lauba also aims for *Hard* to give the illusion that the performer is improvising the piece.[54] Already in the composer's framing of his own work, there is clear delineation of genres, their different modes of communication (written vs. improvised), and their manipulation through "synthesis." Stolte's analysis focuses heavily on how Lauba achieves this supposed synthesis between two genres which seem diametrically opposed. Given the asymmetric relationship between Lauba's "preferred language of expression"

[52] Ibid, 26.
[53] Ibid, 232.
[54] Lauba quoted in Stolte, "Genre and Context," 235.

of contemporary music and a genre which he invites into this preferred style through importation and manipulation, Stolte does not characterize the use of genre in *Hard* as synthesis, but rather as "incorporation."[55] He identifies two different barriers of generic incorporation mounted by the use of a score, asymmetrically favoring contemporary music: the visual effect of playing behind a long row of stands, which physically disconnects the performer from the audience and diminishes the effect of the saxophonist playing a written-out improvisation,[56] and the precision with which Lauba notates the score (although he does concede that other composers such as Ferneyhough aim for the same improvisatory effect by notating their music so precisely).[57]

Stolte's analysis of *Hard* primarily relies on the distinction between the two genres Lauba attempts to synthesize throughout, and how this synthetic process unfolds. In the analysis, Stolte often seeks to strike a virtual balance between genres in given sections by inferring what the dominant genre is, and how it may be conceding to its counterpart to allow for incorporation. The principal elements which Stolte analyzes to elucidate the process of stylistic synthesis are the effect of rhythm, precision and imprecision of notation, and timbral effects such as distortion created by *bisbigliandi* and multiphonics. In his analysis of the "synthesis of the beat" in *Hard*, Stolte leans heavily on agential language and a soft semiotics to construct a process for how the beat is synthesized. For Stolte, rock and soul represent the physical, while contemporary music represents the intellectual, and "the two musics are essential to expressing the physical and intellectual foundations of the human condition.[58] By stylistic analogy, Stolte shows how beat synthesis stands in for a deeper philosophical synthesis of mind and body.

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[55] Ibid, 236–237.
[56] This effect is somewhat attenuated when modern performers use a tablet to read music in place of sheets of paper, but reading from anything on a music stand in performance will create a barrier between audience and performer.
[57] Ibid, 237–240.
[58] Ibid, 251.

Stolte reduces the "propelling musical elements" in *Hard* to three motives: sharp articulated repetitions of single pitches or multiphonics, distorted timbres ending in a violent crescendo, and rapid passages of slurred or articulated notes.[59] For Stolte, these motives are essentially popular music elements, but he emphasizes their extraction from the source material of an "outside" genre rather than their signifying qualities. But this distinction cannot necessarily be drawn, as genre "works at a level of *semiosis*—that is, of meaning-making—which is deeper and more forceful that that of the explicit 'content' of a text."[60] Without explicitly stating it, Stolte goes further by anthropomorphizing these stylistic and generic signs, assigning them agency[61] in determining which each gesture "does," such as the disruption of momentum, the distortion of meter and rhythm, and incorporation into a larger contemporary music texture. Either Lauba, certain gestures, or even the performer, are agents of synthesis at various points in *Hard*. At the end of his analysis, Stolte delivers his final verdict: "the shout [by the saxophonist, as instructed by Lauba] at the end is the only real thing in *Hard*. All the rest of the work is synthetic."[62] Here, a certain degree of, albeit ambiguous, agency is given to *something* which is acting on the genres in the work, i.e. those who are doing the synthesis.

Ideas about musical agency play crucial roles in Stolte's analyses, as exhibited in the following excerpts:

> Under the old logic, both lines were granted equal importance and acted contrapuntally in opposition to the pentachord descent. Under this new logic, the upper voices are given freedom from their previous purpose and from each other.[63] (Referencing Albright's *Sonata*, first movement).

> After measure fifty-seven, the spirit's freedom—represented by an ascending chromatic scale—is a result of the body's death and is therefore resisted by an

[59] Ibid, 252–255.
[60] John Frow, *Genre* (London: Routledge, 2015), 20.
[61] Agency is discussed will be discussed in Chapter 4.
[62] Stolte, "Genre and Context," 283.
[63] Ibid, 87.

> attempt to revive the dead body of the descending pentachord (Ex. 15).[64]
> (Referencing Albright's *Sonata*, second movement)

> In the supernatural context of *Will O' the Wisp*, and in the context of the end of the preceding lament, the saxophone part's very human instinct toward a goal suggests that it has not long been separate from the natural world of the living.[65]
> (referencing Albright's *Sonata*, third movement)

> However, saxophonists—as agents of contemporary classical music—have an ameliorating part to play in this synthetic environment…Therefore, through the two synthetic units using visual bars, performers should remain as real possible; that is, performers should use their bodies, as much as necessary, to communicate to the audience physically the intellectual beat apparent on the page.[66]
> (Referencing Lauba's *Hard*)

In the first two excerpts, virtual agency (agency of elements in a work's "virtual space" as determined by the music) is the most apparent aspect of agency, with the fictional composer's (i.e. the agency lurking in the background, as Stolte uses virtual agents as a means to provide a metaphor for Albright's grief. In the final excerpt, the agency of the performer is highlighted to give performance suggestions for the synthesis of social languages between the disparate genres in *Hard.* Throughout his analysis of *Hard*, Stolte rarely anthropomorphizes musical characteristics or gives them the qualities of virtual agency. It is my aim, through the application of Alcalde's framework for the analysis of musical hybridity, that elements of virtual agency can be made more apparent and synthesized with the analysis of style and genre in Christian Lauba's work.

Style

The word "style" comes from the Latin word *stilus*, a tool for writing from which the word "stylus" also descended. This word began to take on a metaphorical meaning for the

[64] Ibid, 102.
[65] Ibid, 187.
[66] Ibid, 265.

"manner of expression or discourse" by rhetoricians and writers, or the manner and fashion of art and architecture.[67] In her examination of the concept of style through several centuries, musicologist Rachel Mundy presents three contrasting, but interrelated, post-Enlightenment definitions of style.[68] Rousseau (1768) defined style as a musical characteristic that varied according to peculiar aspects to each composer such as their country of origin, choice in expression, and source of inspiration. Guido Adler (1911) defines it as a sort of organic procession towards something, relying heavily on ideas of stylistic evolution as a process rather than any one period's defined style. Finally, in the early 20th century, the definition given by Robert Pascall is simplified, returning to the etymology described above in *The New Grove Dictionary of Music and Musicians*, where it reads as the "manner of discourse, mode or expression." For Mundy, Adler's definition of musical style in the 20th century which concentrates on "the music itself" is of particular note because of its relation to biological determinism and the classification of cultural differences for ideological ends[69] Although the ideological ends for such definitions of style are abhorrent, they give insight into some of the main impulses behind definitions and analyses of style: the articulation and categorization of differences.

In his treatise on musical style, Leonard B. Meyer begins with a concise definition of style: "a replication of patterning, whether in human behavior or in the artifacts produced by human behavior, that results from a series of choices made within some set of constraints."[70] There are three key elements to this definition: replication of patterns, choice, and constraints.

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[67] Ed. T.F. Hoad, "Style," *The Concise Oxford Dictionary of English Etymology*, Oxford University Press, 2003.
[68] Rachel Mundy, "Evolutionary Categories and Musical Style from Adler to America" *Journal of the American Musicological Society* 67, no. 3 (2014).
[69] Ibid, 736–737.
[70] Leonard B. Meyer, *Style and Music: Theory, History, and Ideology* (Philadelphia: University of Pennsylvania Press, 1989), 3.

Although much of his stylistic analysis focuses on music from the Classical and Romantic periods, these three elements form style systems governed by a hierarchy regardless of specific musical style. At the top are laws, which are "transcultural constraints" or "universals." For Meyer, stylistic laws emerge from the tendency for humans to categorize certain stimuli in a way that chunks information into comprehensible units.[71] These units are subdivided into primary and secondary parameters and are governed by the syntax of a particular style. Primary parameters are those which can be divided by nonuniform, proportional ways (e.g. melody, rhythm, and harmony). Secondary parameters are those which cannot be divided in a similar way, that is, they exist on a spectrum (e.g. dynamics, timbre, tempo).[72]

In Meyer's hierarchy, rules differ from laws in that they are not universal, but specific to a given style. Differences in rules give rise to historical classifications such as the Baroque, Classical, and Romantic periods.[73] Rules are subdivided into dependency, contextual, and syntactic rules. To link these with style change (and the historical classifications which they articulate), Meyer discusses the evolution of harmony in Western music from organum, to polyphony, to eventual tonal harmonic relationships. Originally, a monophonic line lacked harmonic parameters, but the introduction of organum established harmony as a secondary parameter and *dependency* rule, that is, the horizontal melodic line still reigned supreme in the manifestation of harmony. An increase in the organal line's embellishment gave rise to greater independence, standardizing certain harmonic progressions as *contextual* rules. As tonal harmony began to be a governing principle, forming certain hierarchies and creating expectation

[71] The existence of such a tendency is supported by music cognition/aural skills acquisition research, such as that of Gary Karpinski in Gary S. Karpinski, *Aural Skills Acquisition* (New York: Oxford University Press, 2000).
[72] Meyer, *Style and Music*, 14.
[73] There are however certain laws which govern all of these styles, such as the existence of a musical "phrase," i.e. divisible units of a given piece of music.

and affirmation or denial thereof, it became a *syntactic* rule in the emergent style. Importantly, syntactic rules are most powerful in that they establish sets of possible relationships which dictate certain courses music may take according to a given parameter within a style system.[74] The confirmation or violation of such rules gives rise to marked moments.[75]

Strategies are the virtually inexhaustible set of compositional choices one may make given the rules of a style system. The relationship between rules and strategies is complicated because certain parameters may be influenced by extramusical cultural parameters such as ideology, social history, and conditions of performance.[76] As mentioned in his definition of rules, certain strategies, when implemented frequently and normalized, may eventually become syntactic rules. In discussing style change, Meyer also mentions that "styles do not change because no strategic possibilities remain. Rather, because they change, we *infer* (on the basis of culturally derived hypotheses) their exhaustion."[77] Despite language such as "laws" and "rules," Meyer recognizes that classification of style is inherently fluid and unstable, which is why it can be so difficult to classify, and why different cultural backgrounds can provide different experiences of style in music. The variety of strategies composers may use also affects the parameters in a given style, or subsequent styles. As one primary parameter is deemphasized, secondary parameters take their place to provide structure in music, e.g. in serial music, functional harmony is nonexistent, so parameters that were once secondary, such as timbre and dynamics, are emphasized (especially in the case of total serialism).

Although Lauba's musically-hybrid concert etudes contain several styles in the span of one piece, stylistic markers help to determine *which* styles are being mixed. These works also

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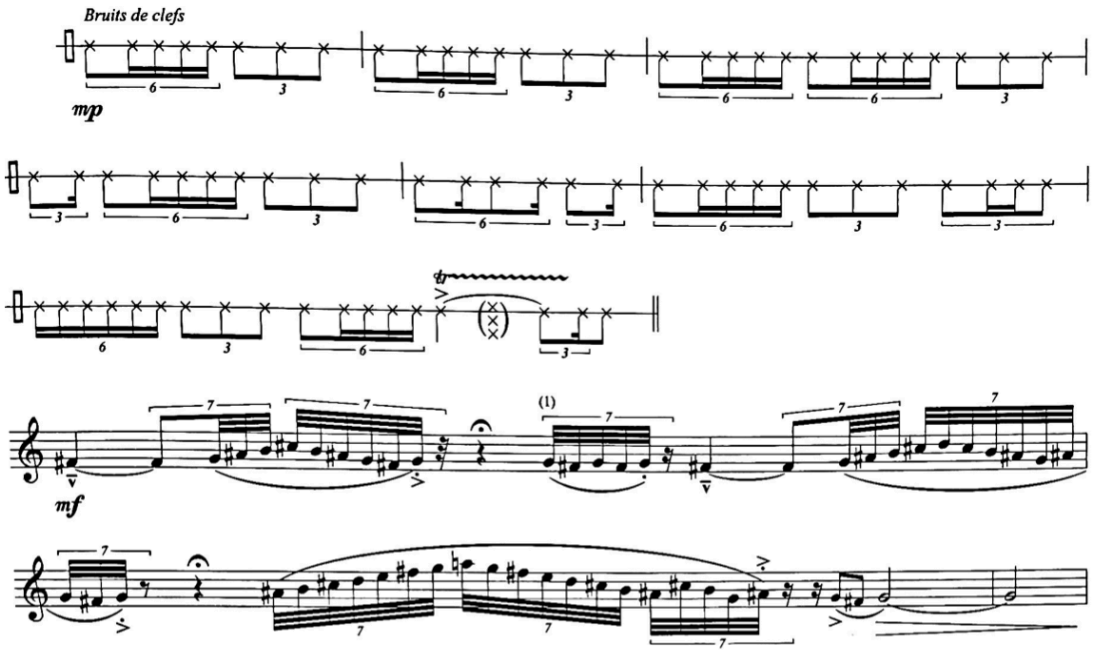
[74] Meyer, *Style and Music*, 17–19.
[75] See Chapter 4 for more on musical markedness.
[76] Meyer, *Style and Music*, 20.
[77] Ibid, 20–21.

contain sections in which one style is present in a "pure" form without any evident mixture strategies at play (i.e. *not* a "chimeric environment" in Alcalde's words). See Example 3-1 from *Flamenco* for a presentation of flamenco at beginning of the piece. Stylistic markers of flamenco include the quasi-improvisatory treatment of non-pitched and pitched gestures (signifying castanets and the human voice, respectively, both common elements of flamenco), the use of the F♯ phrygian dominant scale, Andalusian cadential figures (♭II serving a dominant harmonic function), and an initially limited pitch ambitus of F♯4–C♯5 (a common element of flamenco's vocal melodies—an expansion of ambitus corresponds with heightened emotion).



Example 3-1. Lauba, *Flamenco*, first page.

Genre

The word genre is related to the word "gender," whose etymology stems from "genus," or "kind, class, birth, race, stock."[78] This suggests a greater alliance with categorization and taxonomy than style, but the two are often used interchangeably to describe and categorize musical phenomena.[79] In his Grove Music Online article, Jim Samson defines genre as a "class type, or category, sanctioned by convention."[80] The convention aspect of this is important, as the codification of genre arises from past repetitions and the invitation of future repetition. Samson delineates two major functions of genre studies: the Aristotelian, poetic study of genre and genre's use as an "orientating factor in communication."[81] This second function takes the receiver (or "patient," to invoke agency) into greater account than the first and will be the primary focus of the present study.

Perception of genre has the ability to modulate the experience of art. It is a structure "which both enables and restricts meaning, and is a basic condition for meaning to take place."[82] It is similar to style in that genres operate within a system of categories and subcategories (recall Meyer's idea of a style system), but does not allow for compositional idiolects to be conceived as genres (whereas they may be conceived as an idiosyncratic style). Genre systems are shared social categorizations which invite presuppositions, which may or may not be confirmed for expressive effect. When authors of texts use genre (which is unavoidable in some sense),[83] they do so in order to communicate something. But a text's communication of genre is not merely a proponent thereof; it *shapes* further instances of the text's parent genre. Texts participate in a

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[78] Ed. T.F. Hoad, "Style," *The Concise Oxford Dictionary of English Etymology*, Oxford University Press, 2003.
[79] Moore, "Categorical Conventions in Music Discourse: Style and Genre," 434.
[80] Jim Samson, "Genre," *Grove Music Online/Oxford Music Online*, Oxford University Press, January 20, 2001.
[81] Ibid.
[82] Frow, *Genre*, 10.
[83] See Eric Drott, "The End(s) of Genre," *Journal of Music Theory* 57, no. 1 (2013): 1–45.

simultaneous generic process of exemplification and definition (or becoming), and "[genres] thereby participate in the construction of the situations to which they respond."[84] Aspects of the text help define *which* genre a text belongs to. These are self-conscious efforts by the author known as paratexts, which shape the generic reception of texts. Because genre designation relies on "socially accepted rules," the paratext is a powerful tool which authors use to determine by which rules a text ought to be judged.[85]

Paratext

An aspect of genre is its power to modulate the reception of an utterance. This works both at the level of the text and its framing, or paratext. Gerard Genette separates the text (or content) from its framing (or paratext), which includes any of the accompanying features of a text including, but not limited to, its title, subtitle, author name, preface, illustrations, surrounding texts (such as a text's position in a collection of assorted poetry), etc. Such elements "surround [the text] and prolong it, precisely in order to *present* it, in the usual sense of the verb, but also in its strong meaning: to *make it present*, to assure its presence in the world, its 'reception' and its consumption."[86] The paratext is an important part of the text's "performance" of genre as is its text: it clarifies *how* the text should be received, in fact serving as an extension of the author's agency. A musical example is that of the first movement of Albright's *Sonata*, titled *Two-part Invention*. As mentioned above, Stolte considers this movement to reference the past and forms an expressive unit with the second movement, which more overtly references the baroque through less abstract means, the harmonic progression of *La follia*. Despite Albright's

[84] Bawarshi and Reiff (2010) quoted in Frow, *Genre*, 69.
[85] Franco Fabbri quoted in Moore, "Categorical Conventions in Music Discourse: Style and Genre," 433.
[86] Gerard Genette "Introduction to the Paratext," trans. Marie Maclean, *New Literary History* 22, no. 2 (1991): 261.

titling, there is little in common with that of a two-part invention of the Baroque period. The ability for the movement to form an expressive unit with the second movement, thus changing its reception and meaning, is reinforced by its title. Genette raises a similar point by highlighting the meaning of the title of *Ulysses*: "Since no one in the novel is called Ulysses, it must be that the title, literally irrelevant, has symbolic value—and, for example, that the hero Leopold Bloom is an Odyssean figure."[87] Here, the novel's meaning emerges from an interplay of the text and by allusion to a text, *The Odyssey*, and a genre, the Greek epic poem, in its intertext, inviting ascriptions of metaphor and symbolism to a single day in the life of an advertisement canvasser in Dublin.[88] Lauba uses the paratext of his concert etudes so that his works can be received according to his intent, which has ramifications for his works' identity as concert etudes and for their manipulation of the concert etude genre.

Style vs. Genre

As indicated by their differing etymologies, style and genre mean separate things. Style generally indicates the manner of expression in which a text presents itself, while genre represents the classification of the text, in which style may play a role among other texts.[89] In the study of music, the difference between style and genre is blurred, and the terms are employed so loosely that their specific meaning is ultimately lost.[90] Allan F. Moore notes the predilection for the use of differences in style or genre in different academic disciplines by raising the question of

[87] Gerard Genette, "Structure and Functions of the Title in Literature," trans. Bernard Crampé, *Critical Inquiry* 14, no. 2 (1998): 713.
[88] Similar paratextual functions take place in Christian Lauba's music, as discussed in the next chapter.
[89] Alcalde, "Patterns of Hybridity," 93.
[90] Moore, "Categorical Conventions in Music Discourse," 432.

how different disciplines may categorize "heavy metal" versus "white metal" (or "Christian metal"):

> The sharing of musical techniques would perhaps encourage a musicologist to declare similarity of style, while the distinction in subject matter calls attention to a difference of genre. However, the similarity of modes of dress and performance might suggest to a cultural theorist a similarity of genre, while the difference of subject matter in such a discourse perhaps indicates a difference of style.[91]

For the musicologist, similarities of the manner of expression between heavy metal and white metal such as the material resources used to record music (instrumentation, isolated studio recording processes) and form, singing technique, the use of guitar solos, etc. are foregrounded. The distinction in subject matter provides a classificatory separation between the two genres who share similar musical style systems. For the cultural theorist, similarity in musical style may lead them to classify the two musics as belonging to the same genre, since there is considerable cultural overlap between the social language between the two groups, but the differences in subject matter and expressive ends even when expressed through similar social languages indicates a difference in style, or manner of expression.[92]

While Samson mostly avoids the use of the term style in his entry on genre in *Grove Music Online*, he does use the term "style system" to mean essentially the same thing as genre, writing:

> Since genres possess certain recognizable identifying traits (genre markers), they can be counterpointed within an artwork to generate a 'play' of meanings which may, in some later style systems, extend into irony or parody, or even point beyond the work into the sphere of referential meaning.

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[91] Ibid, 432–433.

[92] This is essentially the analytical preference between musical vs. extramusical style systems as they exist between two different, albeit overlapping, social groups.

Although Samson is referring to the use of genre markers outside of their usual context to generate expressive meaning, he clearly indicates some level of normativity in the use of genre markers within a system, which is in itself a marker of genre. Such a style system can be classified specifically *by its use of other genres*, or musical hybridity, one of the chief concerns of the present study.

Moore provides three primary ways of distinguishing styles and genres in music. One, style, referring to manner of expression, is considered imposed on codes rather than an inherent part of them. Genre identifies and contextualizes gestures. Two, style belongs to the domain of the poietic, and genre belongs to that of the esthetic.[93] Three, genre is conditioned by social constraints, while style is given greater autonomy, so much so that it can be idiosyncratic. Both style and genre also operate hierarchically, although genre operates in this way at a greater capacity given its taxonomical power.[94] Given these various definitions and delineations of style and genre, it is the mixture of these markers within a single text, or hybridity, which is the focus of this document.

Hybridity

Hybridity refers to the combination of two or more clearly bounded concepts. These can include races, languages, cultural identities, or physical objects. Its connotations range from positive to negative: hybridity can empower a subject through a combination of positive traits drawn from two demarcated objects or deflate its value due to a perceived impurity emerging

[93] Poietic conditions concern production of a text; esthetic conditions concern reception of a text.
[94] Moore, "Categorical Conventions in Music Discourse," 441–442.

from asymmetrically valued objects. Connotations in hybrid category arise through the intersection of the conditions and goals of the mixture and the interpreter's viewpoints.[95]

Hybridity as a general concept was initially formulated in the biological sciences to denote the mixture of two different species of flora or fauna. Hybridity as a cultural-analytical concept originates from postcolonial studies, and, since its early development in scholarly literature, has been used as a framework through which to examine phenomena in several academic disciplines in the humanities. Homi K. Bhabha describes how hybridity emerges from the ascription of identity boundaries which often have an asymmetric power relationship between the colonizer and the colonized: the subject in power and its "other." He says that hybridity is a "third space" between two bounded identities, serving as an empowering factor for the "other." It exists as an "interstitial passage between fixed identifications," which "opens up the possibility of a cultural hybridity that entertains difference without an assumed or imposed hierarchy."[96] For Bhabha, hybridity is a means to move *beyond* colonial concepts of upper/lower, white/black, civilized/uncivilized, etc. Furthermore, it is a continuous process borne from colonialism and modernism's rigid epistemological hierarchies, which fractures identity boundaries and engenders a new pluralism of identity markers.

According to postcolonial theorist Robert C. Young, hybridity has been a contentious issue for debate in the cultural sphere since the nineteenth century. In the nineteenth century, arguments arose from the discussion around stable boundaries classifying humans into different subgroups, often to serve an ideological agenda, such as the division between the "dominant white species" and "the lower races who by their origin are destined to serve the nobility of

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[95] Bruno Alcalde, "Patterns of Hybridity: An Analytical Framework for Pluralist Music" (PhD diss., Northwestern University, 2017), 21.
[96] Homi K. Bhabha, *The Location of Culture* (London: Routledge, 2004), 4.

mankind."[97] The existence of a large mixed-race population complicated such theories, but thinkers of the time countered this apparent problem by comparing these people to mules (an infertile, and thus impure hybrid species between donkey and horse which could not reproduce its own kind). Such early pseudoscientific theories of hybridity were largely given negative attributes, but Young casts hybridity in a more positive light by describing its power to invert authoritative powers. As stable and asymmetrically valued identity markers interact with one another, those identifying with the undervalued group gain newfound agency and strength to neutralize authority through a hybrid identity.[98]

In discussing how hybridity is manifested in music, Alcalde gives a brief overview of how it functions in different style periods of concert music, briefly touching on popular music after 1950. By doing so, he aims to show how widespread musical hybridity is across history. Within each style period, there are numbers of examples given: *contrafacta*[99] and quodlibet[100] in the Renaissance; the mixture of German, French, and Italian styles in the Baroque; stylistic and topical friction in the Classical; exoticism and orientalism in the Romantic; the use of "distorted topics"[101] by Igor Stravinsky and modeling, patchwork, collage, paraphrase, and allusion by Charles Ives; engagement with the past and the "polystylistic"[102] composers of post-1945 concert music; and the use of sampling in hip-hop music.[103] These strategies engage with sociopolitical

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[97] Theodor Waitz quoted in Robert C. Young, *Hybridity in Theory, Culture and Race* (London: Routledge, 1995), 7.
[98] Ibid, 7–22.
[99] "The substitution of one text for another without substantial change to the music." From Robert Falck and Martin Picker, "Contrafactum," *Grove Music Online/Oxford Music Online.* Oxford University Press, January 20, 2001.
[100] "A composition in which well-known melodies and texts appear in successive or simultaneous combinations." From Maria Rika Maniates, Peter Branscombe, and Richard Freedman, "Quodlibet," *Grove Music Online/Oxford Music Online*, Oxford University Press, Januar 20, 2001.
[101] See Scott Charles Schumann, "Making the Past Present: Topics in Stravinsky's Neoclassical Works," (PhD diss., University of Texas, 2015).
[102] Such as Alfred Schnittke, George Rochberg, Peter Maxwell Davies, Luciano Berio, among others.
[103] Alcalde, "Patterns of Hybridity," 32–56.

and cultural discourse of identity boundaries on various levels by using style and genre signifiers in four specific ways, which Alcalde terms as mixture strategies in hybrid music.

Bruno Alcalde's Theory of Musical Hybridity

The purpose of Alcalde's framework for the analysis of musical hybridity is to provide an analytical lens for not merely determining what styles or genres are contained within a work, but how they are put together. Alcalde traces the meaning of the term hybridity through its origin in postcolonial studies, then tackles how style and genre are discussed in the field of music, and how they are articulated in a given work. Alcalde draws from a wide range of music, including J.S. Bach, Alfred Schnittke, Thomas Adès, David Bowie, and Daft Punk to explicate the four mixture strategies he identifies in the "chimeric environments" of hybrid music: clash, coexistence, distortion, and trajectory.[104] Alcalde highlights the potential for an emergent social meaning from the combination of asymmetrically-valued musical identity markers in chimeric environments, recalling Young's explanation of hybridity's power. While a fruitful realm of the analysis of musical hybridity, this falls outside the scope of this document, which focuses on mixture strategies as they articulate musical form and shape implications for virtual agency. Furthermore, as will be discussed, there are limitations on how different mixture strategies may be employed in unaccompanied, monophonic saxophone music, and certain strategies must be modified using elements of virtual agency to retain their strategic identity.

[104] Ibid, 3–4.

Clash

Clash is the combination of two separate musical identities which highlights friction between them, "achieved by keeping the strands structurally and perceptually distinct through the use of different tonalities, tempi, register, texture, instrumentation, and timbre."[105] Alcalde identifies overlap and juxtaposition clash, which respectively manifest vertically (simultaneously) and horizontally (successively) in a musical texture. He notes that while clash is harsh and highlights friction between musical elements, it does not imply a lack of musical organization, and certain instances of clash (particularly juxtaposition clash) may define musical form.[106] Owing to the volatility of style and genre systems, Alcalde also explains that sociopolitical and cultural factors influence the articulation and meaning of clash (he gives the example of Baroque polystylism in contrast to the "harsher" polystylism of Luciano Berio's *Sinfonia*).[107]

Overlap clash occurs when two musical identities separated by some musical parameter(s) occur simultaneously. In all of Alcalde's analyses of overlap clash, there are two or more voices occurring simultaneously, which presents a problem for monophonic saxophone etudes: how can two separate musical identities occur simultaneously when only one musical stream can be played at once?[108] Because this is a special case, it manifests itself relatively rarely in Christian Lauba's saxophone etudes, but it is made possible through rapidly oscillating juxtaposition clashes and virtual actorial continuity which projects two virtual agents (or two competing sides of one agent) in one passage of music. See Example 3-2 below from *Flamenco*.

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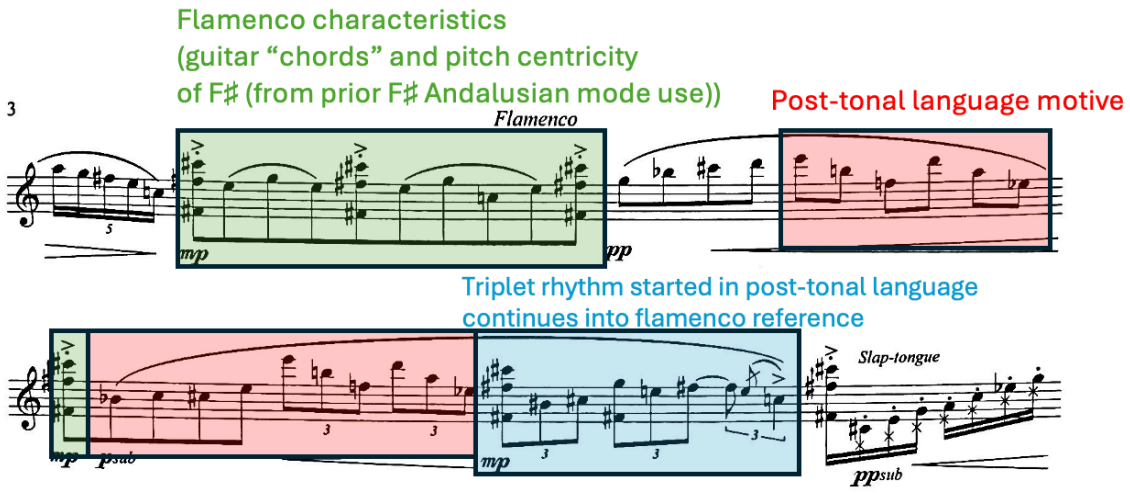
[105] Bruno Alcalde, "Mixture Strategies: An Analytical Framework for Musical Hybridity," *Music Theory Online* 28, no. 1 (2022): [2.4], https://doi.org/10.30535/mto.28.1.1.
[106] Ibid.
[107] Alcalde, "Patterns of Hybridity," 134–135.
[108] While multiphonics allow for the production of two or more notes simultaneously, they do not allow for independence of voices.

Two strands of musical identity are differentiated by contour, rhythmic subdivision, range, and melodic language, and, while they do not literally occur simultaneously, the agents appear to interact with one another.



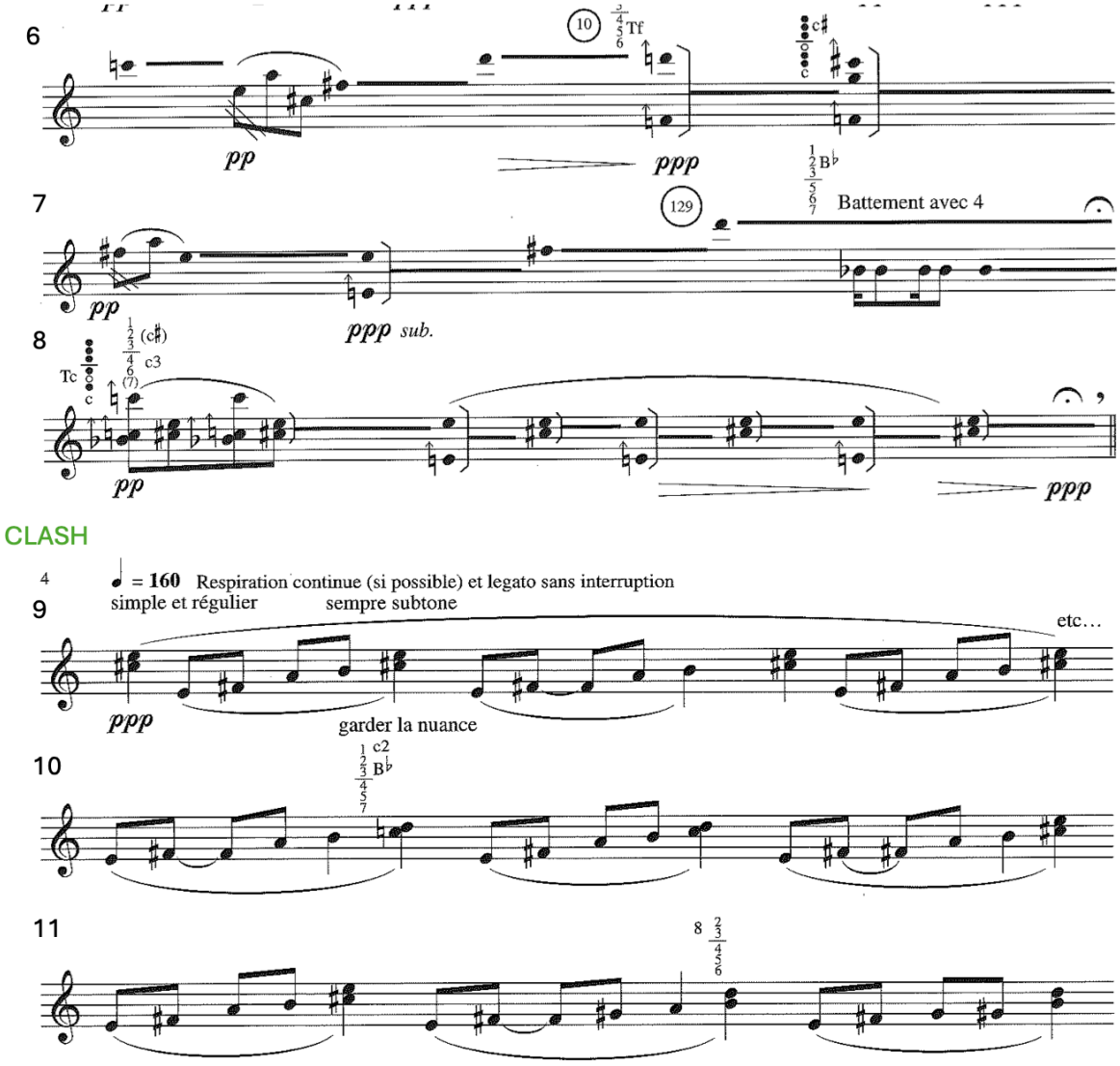
Example 3-2. Lauba, *Flamenco*, beginning of page three.

Juxtaposition clash, alluded to in Example 3-2, refers to successive instances of disparate musical identities. Alongside musical parameters such as those mentioned above, Alcalde shows that orchestration is another parameter which can create a juxtaposition clash, identifying the juxtaposition clash in Arvo Pärt's *Collage über B-A-C-H* which alternates between Bach's English Suite no. 6 in D minor played by oboe, harpsichord, and strings, and cluster chords in the piano and strings which are completely disconnected from the other material.[109] Monophonic saxophone music cannot be afforded the parameter of instrumentation change, so juxtaposition clash occurs either in rapidly alternating sections (which gives rise to a perception of overlap

[109] Alcalde, "Mixture Strategies," [2.8–2.9]

clash given virtual actorial continuity) or at formal articulations. When occurring at formal boundaries, Alcalde calls these instances "clash dividers," which "[articulate] the form of the work at higher hierarchical level."[110] Clash dividers happen frequently in Lauba's music, often after a fermata and a double-bar in the music, indicating an instruction to the performer that *something* is different in the ensuing section. See Example 3-3 for an instance of a clash divider in *Steady Study on the Boogie*. Clashes exist on a spectrum of harshness, from juxtaposition clashes with a brief transition at the mildest end and overlap clash at the harshest end. Abrupt juxtaposition with little or no transition is placed in the middle of this spectrum.[111]

[110] Ibid, [2.9].
[111] Alcalde "Patterns of Hybridity," 157.



Example 3-3. Lauba, *Steady Study on the Boogie*, measures 6–11.

In the interpretation of clash, Alcalde identifies negative ("shock, surprise, mistake, and lack of organization") and positive ("possibilities of commentary, or opening a new layer of discourse, which can elucidate or problematize matters via musical and referential friction of contrasting material") attributes.[112] The analyses of *Worksong*, *Flamenco*, and *Steady Study on*

[112] Ibid, 153.

the Boogie in Chapter 6 focus on the interpretation of clash as occurring *to* or *from* the virtual agent in, and perhaps the virtual subjectivity of, the music. Therefore, the strategy is contextualized as something occurring within a virtual environment which is necessarily articulated by musical hybridity (a "chimeric" virtual environment) and affecting those in said environment rather than focusing on sociocultural reference and/or commentary. The negative and positive associations with clash and its associated friction are considered in their relation to the virtual experience of the music and not the friction between cultural identities *qua* cultural identities, though this does not discount the analytical depth of such an approach.

Coexistence

Coexistence is the simultaneity of multiple musical identities (like overlap clash), but friction between elements is minimized. The result is a cooperative relationship between musical identities which "cohabitate without struggling to assert or keep their separate identities."[113] When multiple identities coexist, musical features shared by each identity are often foregrounded in order to minimize friction between their elements. See Figure 3-1 taken from Alcalde's dissertation for a diagram of the coexistence strategy.

[113] Alcalde, "Mixture Strategies," [2.13].

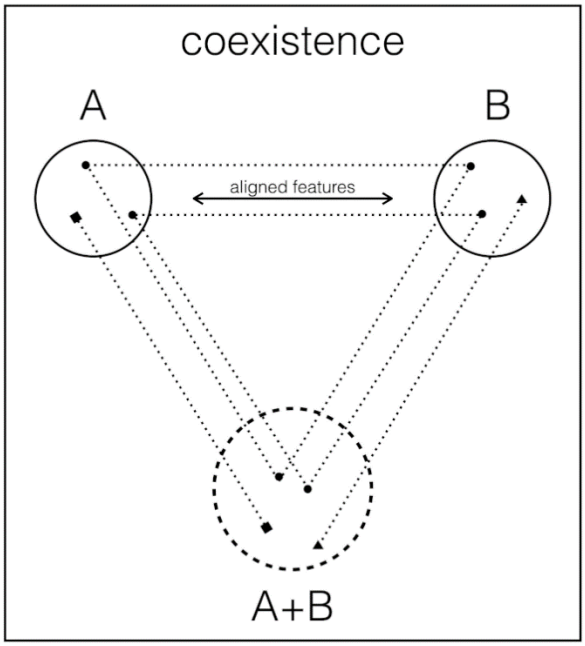
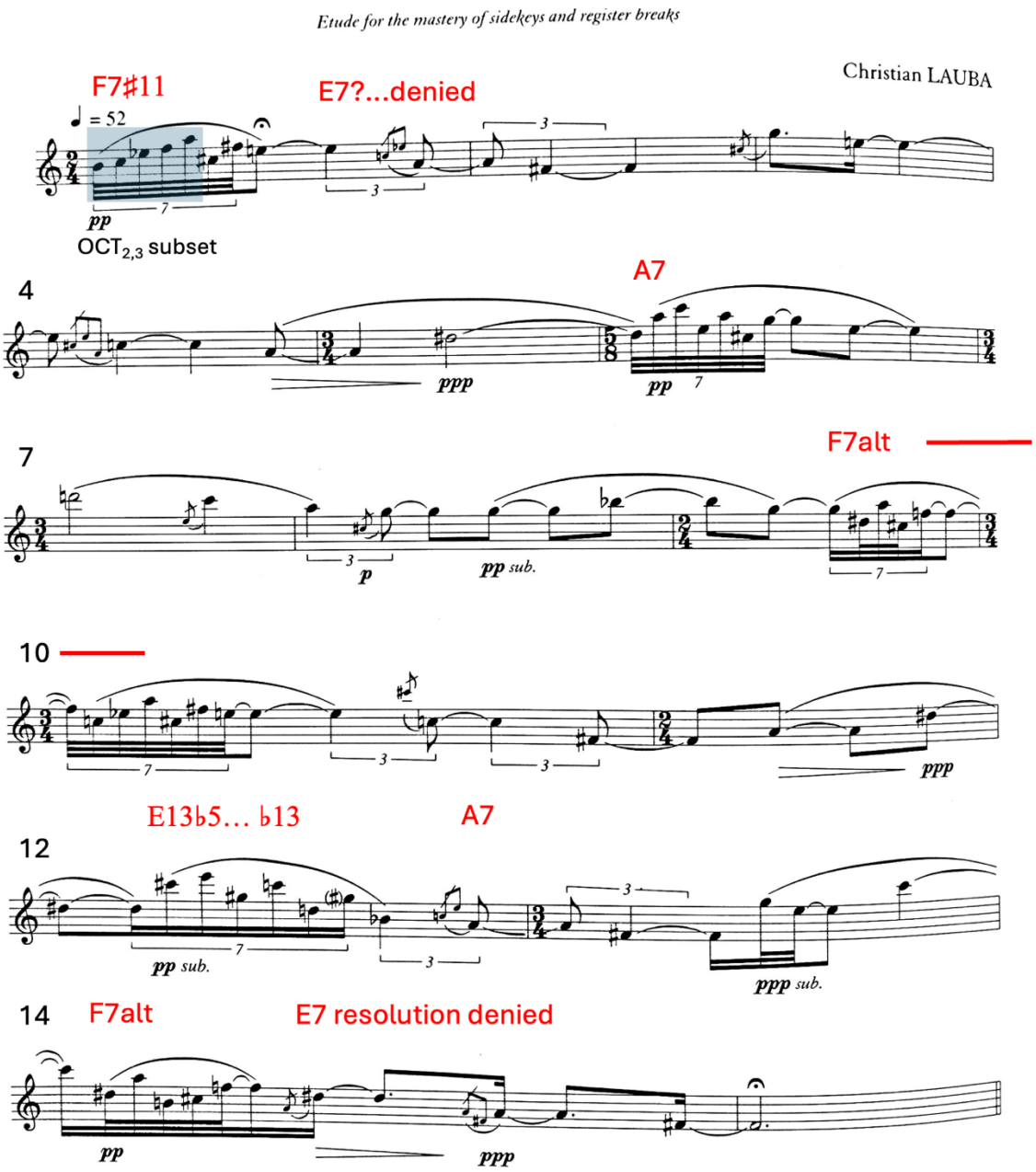


Figure 3-1. Alcalde's diagram of coexistence strategy.[114]

Like in overlap clash, monophonic saxophone etudes are limited in their ability to express coexistence with actual simultaneity of identities, i.e. elements are superimposed over one another in real time. However, blending discrete musical utterances which signify different musical identities into that of a singular virtual agent or energy source achieves this effect. Shared musical elements between identities are foregrounded as sources of motivic material (treatment of motive itself being a stylistic marker of concert music). For example, the opening of *Worksong*, shown in Example 3-4, presents coexistence between a blues/jazz genre field and 20th-century concert music style. Stylistic markers of blues/jazz are extended seventh-chord harmonies, pentatonicism (including the free use of major and minor pentatonic collections with the same pitch center), and dropping and hanging minor thirds.[115] Stylistic markers of 20th-

[114] Alcalde, "Patterns of Hybridity," 162.
[115] For more information on dropping and hanging thirds, see the analysis of *Worksong* in Chapter 6.

century concert music are octatonicism, its subsets such as the diminished chord), and the use of motivic transformation. The centricity of pitch-class A (seen most clearly in the decorated A7 arpeggio in measures 3–5) and the motivic use of thirds (see the various descending thirds in measures 2, 7–8, 13, and 14) are the linchpin of this coexistence: diminished chords and octatonic collections do not lead away from the key center of A to a distant key center (the A diminished seventh chord is often outlined, but is not used functionally to depart from the key center of A), and the minor thirds so important to both collections are used as motive and to articulate cadential material (observe the dropping third to A in measure 4 which then moves to D♯—material which can belong in a blues/jazz or octatonic concert music context).



Example 3-4. Lauba, *Worksong*, first page.

According to Alcalde, the interpretation of coexistence is essentially the opposite of clash. Whereas clash suggests incongruity, or a subversive and ironic level of musical discourse opened through mixture of identities, "coexistence tends to lean toward utopian and pacific

cohabitation, albeit [it is] not restricted to it."[116] There is also room for negative interpretation of coexistence. A type of coexistence exists in the "troping" of topics (combination of unlike topics) in several different musical parameters (form, texture, rhythm, etc.). According to Robert S. Hatten, topical tropes can be found in Baroque, Classical, and Romantic repertoire for the purpose of creating new meaning from topically referential material. Tropes adhere to the overarching historical style in which they are situated, which, before the 20th century, virtually always eschews the type of expressive friction found in clash passages. The troping of two topics with incongruent signifiers (e.g. a military march and a nursery rhyme) allows for interpretation of a passage as irony, parody, or satire. Alcalde also notes that coexistence, especially when viewed through a theoretical lens of musical rationality, may be interpreted negatively, as it implies ambiguity of style or omission of clear style markers.[117]

Distortion

Distortion differs from the two previous mixture strategies in that only one style or genre is presented with extraneous features that cause it to appear in a "strange" manner. Alcalde adds that distortion "differs from clash or coexistence primarily due to its asymmetry—one clearly recognizable style or genre is altered by elements incompatible with the primary reference."[118] Alcalde calls these extraneous features "distortion agents." An example is the substitution of non-tonal material which retains essential characteristics of a tonal genre undergoing distortion.[119] Alcalde identifies such a strategy in Sofia Gubaidulina's *Musical Toys*, VIII, "A

[116] Alcalde "Patterns of Hybridity," 190.
[117] Ibid, 191.
[118] Ibid, 192.
[119] This differs from the coexistence of *Worksong* above because both elements exist at once, connected by a common musical element (the minor third). According to Alcalde, they differ in that "[c]oexistence emphasizes the ambiguity." (Alcalde, "Patterns of Hybridity," 218).

Bear Playing the Double Bass and the Black Woman," which includes a boogie-woogie bassline (identified by its rhythm, register, and contour) distorted by atonality. This could also be inverted, with tonal material acting as a distortion agent in a largely non-tonal musical discourse.[120] See Figure 3-2 for Alcalde's diagram of the distortion strategy.

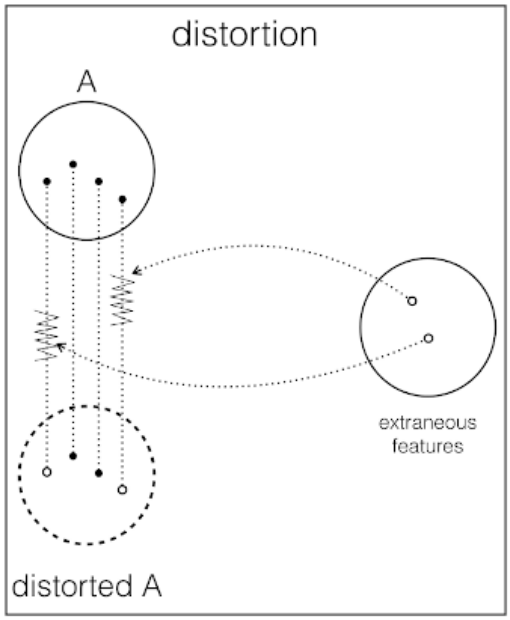
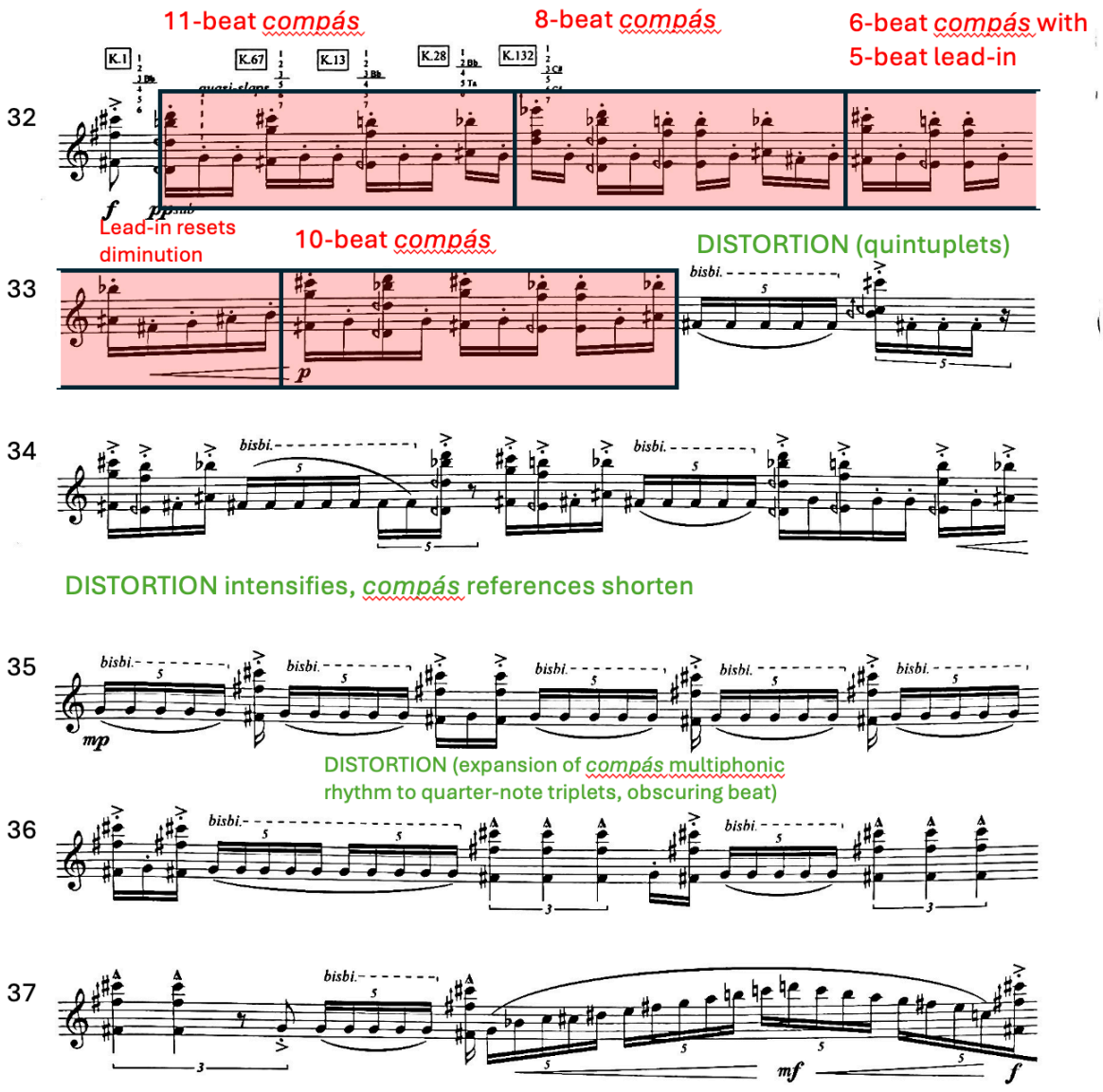


Figure 3-2. Alcalde's diagram of distortion strategy.[121]

Like clash's harshness, distortion's intensity exists on a spectrum. Alcalde explains that this depends "on how many of its defining characteristics are altered by processes of suppression, substitution, or addition."[122] Suppression is the weakest of these distortion agents, and addition and substitution (itself a sort of addition) are stronger. Distortion may also be nested in other strategies such as trajectory (explained below) and coexistence. For example, within the

[120] See Thomas Johnson, "Tonality as Topic: Opening a World of Analysis for Early Twentieth-Century Modernist Music" *Music Theory Online* 23, no. 4 (2017), https://mtosmt.org/issues/mto.17.23.4/mto.17.23.4.johnson.html. The *Wozzeck* example may be described as tonal distortion in a largely post-tonal opera.
[121] Alcalde, "Patterns of Hybridity," 196.
[122] Ibid, 195.

strategy of coexistence, one of the styles or genres present may have extraneous features, thus implying an asymmetry between the "pure" and "impure" genres, from which meaning emerges. An example of distortion from Lauba's music occurs in measures 32–37 of *Flamenco*, where a *compás*-like figure is distorted by a process of increasing truncation (see Example 3-5).[123]



Example 3-5. Lauba, *Flamenco*, measures 32–37.

[123] This is explained more in-depth in the analysis of *Flamenco* in Chapter 6.

In his section on interpreting distortion, Alcalde references a variety of different artistic effects and values which may be expressed through the distortion strategy such as comedy, grotesqueness, irony, parody, and ignobility. It can be used to describe how humor or horror manifest in music. When considered as an element of virtual agency, distortion agents may be anthropomorphized and given their own virtual identity by the listener (thus creating a sense of virtual actoriality). For instance, in the example above, *what* may be distorting the *compás* and *why*? Is the distortion agent outside of the virtual agent observed thus far, or is it some sort of inner process which constantly cuts the agent's attempts to complete the *compás* short? Such examinations of agency deepen the analysis of a given musical passage utilizing distortion by assigning virtual thoughts and actions to distortion agents—my approach in Chapter 6 not only identifies extraneous features being suppressed, substituted, or added, but also identifies what their expressive effect is within the virtual subjectivity of the work.

Trajectory

Trajectory is a compound strategy which, by definition as a "traceable, gradual process," includes any of the above strategies nested within it.[124] Trajectory is defined by its outer boundaries and the processes which lead from one to the next: a stable musical setting (hybrid or not) must be clearly presented, undergo some sort of transition period (utilizing one of the other three strategies), then finally emerge as a completely different stable musical setting, often a different style or genre. See Figure 3-3 created by Alcalde for a visual representation of this process.

[124] Alcalde, "Mixture Strategies," [2.27].

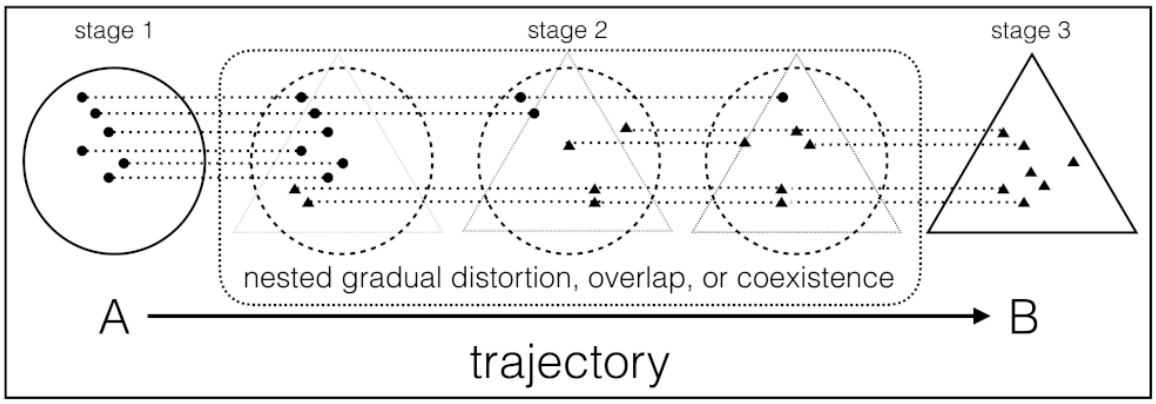
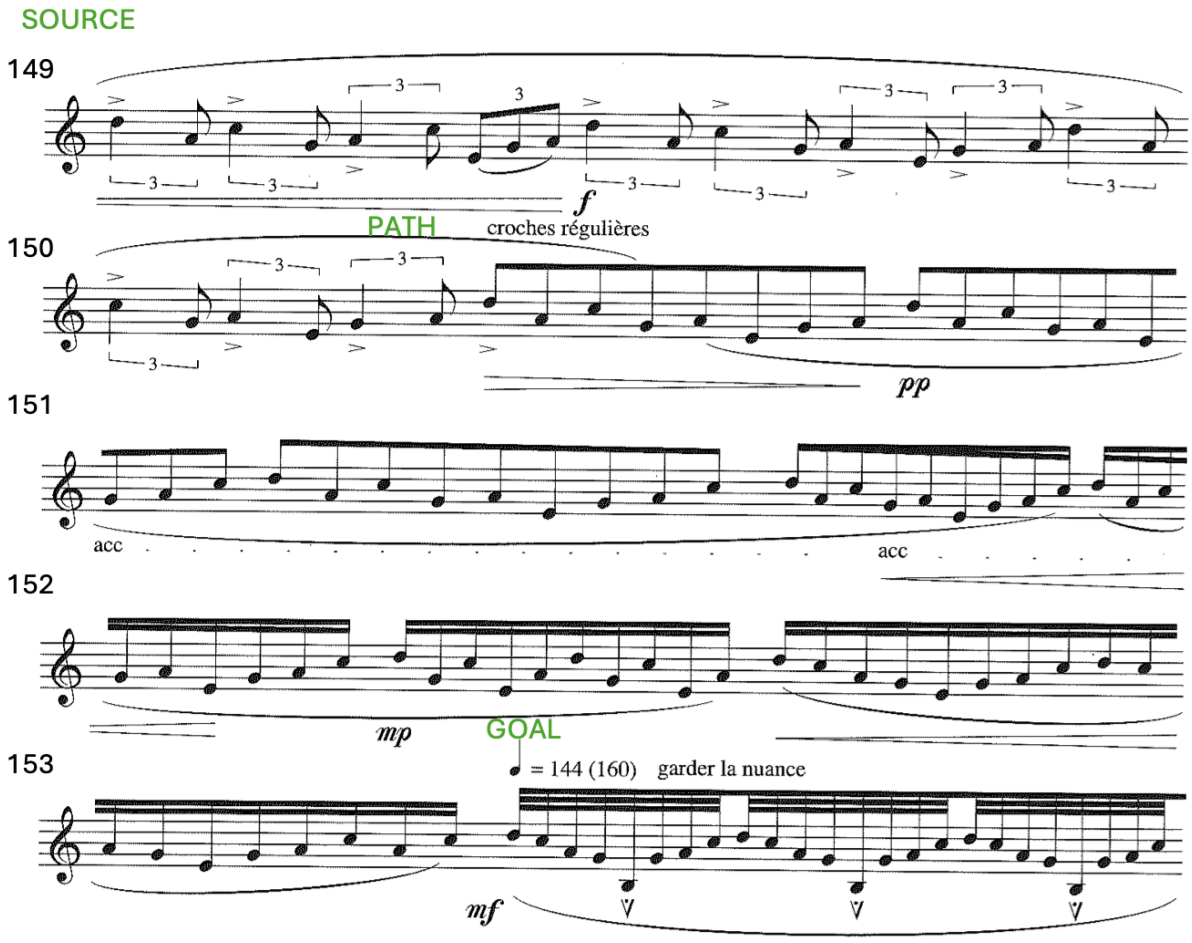


Figure 3-3. Alcalde's diagram of trajectory strategy.[125]

There are numerous different ways the trajectory strategy can be implemented, nesting any of the previous three strategies therein (and perhaps doubly nesting them, such as distortion nested in coexistence (explained above) nested within an overall trajectory). The three stages of trajectory are what define it as such, and Alcalde relates this to theorist Candace Brower's embodied schema of SOURCE-PATH-GOAL.[126] Brower relates this to goal-directed motion in humans, which, because of its relation to human motion and to force of will, has implications for agency, as well as implications for narratological interpretations (i.e. the agent has reached their goal and something has changed). Alcalde calls attention to the agency of the composer (the "default option" for listeners), the performer, and the listener, who traces the process of trajectory as a new musical identity emerges out of the musical surface.[127] The agency of the listener is perhaps the most important when considering virtual agency, as it is the "enmindment" of the listener which allows the virtual subjectivity of a piece to be constructed.[128]

[125] Alcalde, "Patterns of Hybridity," 224.
[126] Candace Brower, "A Cognitive Theory of Musical Meaning," *Journal of Music Theory* 44, no. 2 (2000): 323–379.
[127] Ibid, 231–233.
[128] "Enmindment" is a neologism by Hatten. See Hatten, *A Theory of Virtual Agency*, 70–73.

Lauba's music uses the trajectory strategy at various hierarchical levels: *Flamenco* is essentially a drawn-out trajectory from the flamenco style to a purely post-tonal style (although virtual agency is retained through traces of motive), and *Steady Study on the Boogie* contains shorter processes of trajectory throughout the piece. For a short example from *Steady Study*, see Example 3-5. Here, agency can be gleaned through the process of trajectory. There is a clear shift from one style to another, and the embodied schema of SOURCE-PATH-GOAL helps clarify the agent's initial position, why/how it leaves this position, and what its goal is (which may inform the two prior elements).



Example 3-6. Lauba, *Steady Study on the Boogie*, measures 149–153.

As the title implies, *Steady Study* draws on aspects of boogie-woogie, a stylistic ostinato groove found in instrumental blues music popular in the 1930s and 1940s. As its popularity waned, it became an integral part of the language of jazz music.[129] Lauba uses this generic entropy to effect in *Steady Study*, referencing jazz and blues language more generally throughout, but keeping the characteristic swinging rhythmic ostinato of boogie-woogie. In measure 149, the swinging rhythmic ostinato present in most of the second large section of the piece is heard. The rhythm then changes to straight eighth notes (*croches régulières*), retaining the same general contour of a broken A minor pentatonic scale with an ambitus of a minor seventh between E and D. A note is added to the end of the figure, before accelerating and changing in contour as new material emerges at measure 153 (♩=144 (160) *garder la nuance*). This passage undergoes trajectory by way of nested distortion: swung eighth notes are substituted with straight, followed by an appended note, distorting the ostinato character, which then accelerates and eventually loses its contour. The introduction of low Bs at the tempo change and repetition of the new figure helps establish the GOAL end of the trajectory.

Lauba's use of mixture strategies articulates form and helps determine the character of virtual agents, actors, and an emergent virtual subjectivity in *Worksong*, *Flamenco*, and *Steady Study on the Boogie*. Mixture strategies and agents play out in the music in a variety of genres and styles, including the concert etude. However tautological it may seem, the genre of the concert etude is the one underlying stylistic/generic factor common to each of Lauba's concert etudes for the saxophone and deserves special treatment. Lauba manipulates the concert etude as genre most clearly in the paratext of his works (title, subtitle, and dedication).

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[129] Peter C. Muir, "Boogie-woogie (i)," *Grove Music Online/Oxford Music Online*, Oxford University Press, October 4, 2012.

Concert Etude Genre Manipulation in Lauba's Concert Etudes

Although Lauba draws musical material from many styles and genres in his musically hybrid concert etudes, there is one genre lurking in the background, which is both covertly and overtly referenced most clearly in its paratext: the concert etude itself. Mixture strategies are, at their core, methods for the manipulation of style and genre in musically hybrid works, forming a framework for musical motives and expressive manipulation. But how are Lauba's saxophone etudes demarcated within the concert etude genre and how do textual and paratextual elements reference and manipulate this demarcation? To answer these questions, a demonstrative example of *Worksong* serves as an exemplary case study. In the paratext alone, Lauba engages with generic aspects of the concert etude established by previous composers, namely Chopin, Liszt, and Ligeti.

Published in 2011, Christian Lauba's fifteenth etude, *Worksong*, is a study "for the mastery of sidekeys and register breaks" and is dedicated to saxophonist Douglas O'Connor.[130] Like the other etudes that will be analyzed in Chapter 6, the techniques for which this etude is written are not immediately revealed to be primary compositional devices in the manner of Chopin. Instead, they are embedded throughout sections of advanced difficulty utilizing other extended techniques such as slap tonguing, circular breathing, and subtone, recalling the "pervasive difficulty" of Liszt's concert etudes. Later in the work, the extraneous details concealing the techniques for which the work is purportedly written are eliminated, revealing a more didactic, etude-like (i.e. not *concert* etude) identity in line with the work's paratext (see the analysis of *Worksong* in Chapter 6). By asserting that his works have a didactic element, Lauba frames his works as etudes in the traditional sense. The inclusion of extraneous elements

[130] Christian Lauba, *Worksong: 15e étude pour saxophone alto* (El Dorado, AR: Resolute Music, 2013), 2.

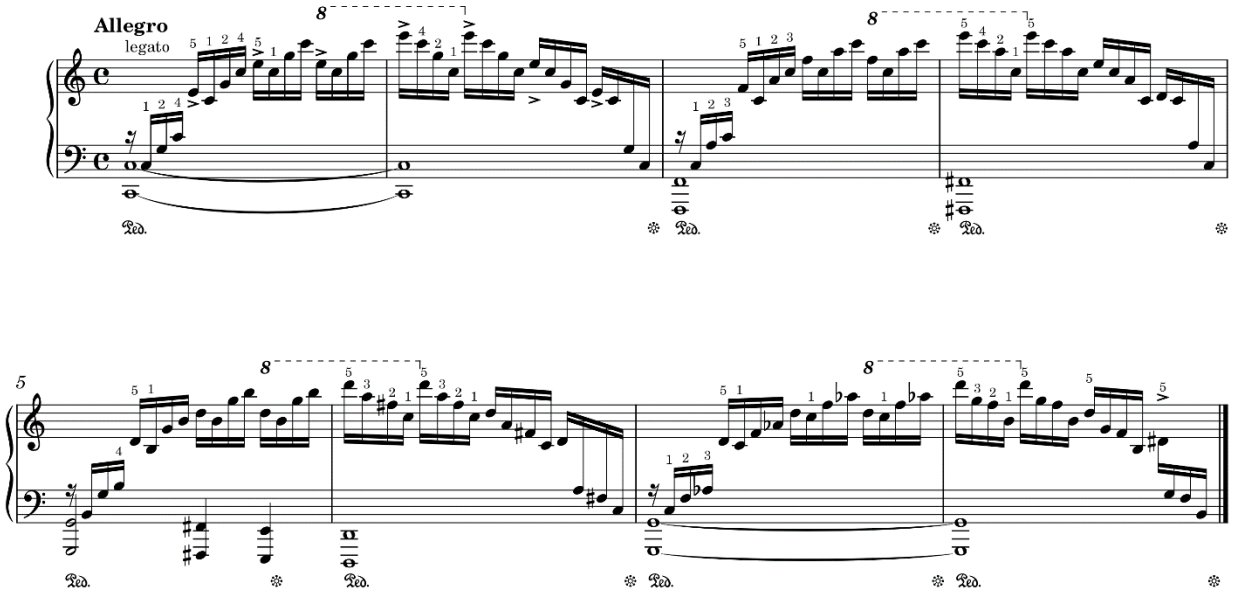
paradoxically blur their pedagogical value while illuminating their identity as *concert* etudes more specifically. Inclusion of Lauba's work as part of a greater concert etude intertext deconstructs the tension between various meanings of "etude," and how such devices manipulate genre, ultimately achieving an idiosyncratic stylistic synthesis.

Although there are countless concert etudes written for the piano, the etudes of Chopin, Liszt, and Ligeti serve as exemplars of the genre. Their works are championed as important pedagogical and concert pieces, and all three composers' works continue to be recorded. Aspects of these works articulate the discursive space of the concert etude as genre—a discursive space into which Lauba, by manipulating these aspects, inscribes his works—and the works' preeminence typifies such aspects as exemplary characteristics of the concert etude genre. Various elements contained in works identified as concert etudes are the "codes which are the potential formalizations of [the discursive] space."[131] Genre classification depends largely on shared social codes which change in meaning over time. Historically, Chopin's concert etudes were the first to solidify these codes.

The earlier etudes of Chopin, while not naming specific technical aspects that each etude is meant to improve like Lauba does, are written so that the technical purpose of each technique is discernible from even a cursory glance at the music. For example, it is evident in *Étude* Op. 10, No. 1 (Example 3-7) that the study is meant to improve broken arpeggios and reach of the right hand. Rather than simply using these techniques as an end in itself in each etude, Chopin thematizes them through the use of topics[132] and markedness. Example 3-6 begins with a brilliant topic: the left hand thunders below, providing harmonic support to the dazzling arpeggios in the right hand. The tonicized half-cadence in measure 7 tonicizes G major, adding a sharp, but this

[131] Jonathan Culler, "Presupposition and Intertextuality," *Comparative Literature* 91, no. 6 (1976): 1382.
[132] For a brief discussion of topics, see Chapter 5.

coincides with arpeggios tinged with modal mixture in the right hand. This simultaneity of achieving harmonic completion and undercutting in two separate voices marks measure 7, and the D♯ at the end of measure 8 suggests a reaction to this unexpected harmony, correcting its darkening effect. In considering the integration of technical and expressive aspects of Chopin's etudes, Eugene Montague analyzes Chopin's *Étude*, Op. 25, No. 1 by examining peculiar "instrumental gestures," i.e. the physical gestures required by the performer, which "[unite] with harmony and motive in creating the experience of the music for both performer and listener."[133] For Chopin, each etude is meant to solve a particular technical problem. Motives derived from techniques are thematized and implemented in an expressively complex framework so that the goal of each etude is not merely technical improvement as a result of practice, but a work meant for the concert hall.



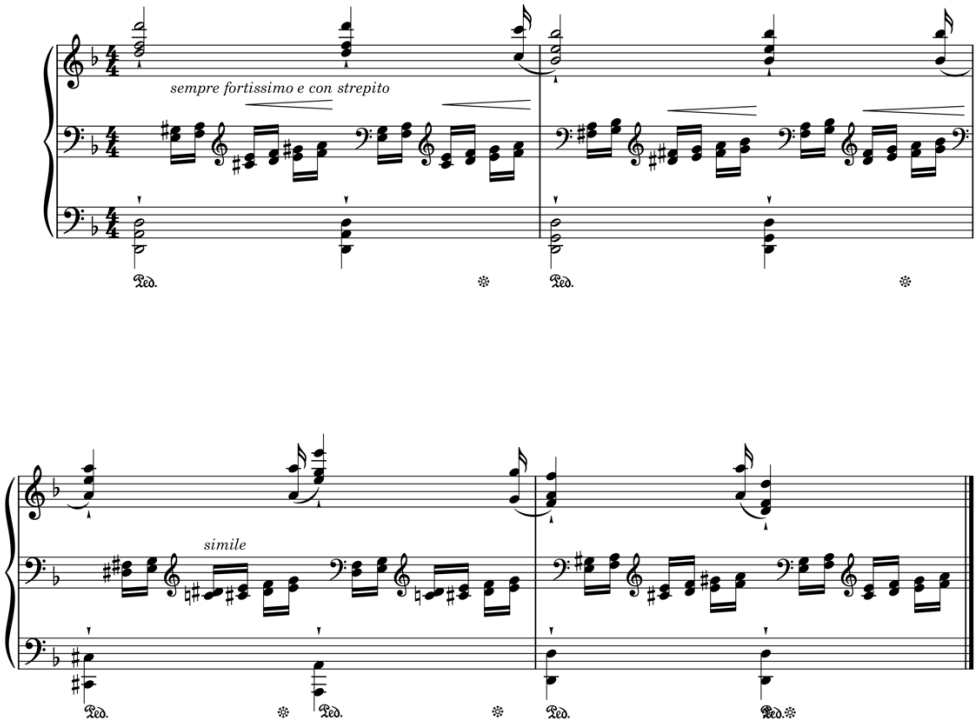
Example 3-7. Chopin, *Étude Op. 10, No. 1*, measures 1–8

[133] Eugene Montague, "Instrumental Gesture in Chopin's Étude in A-Flat Major, Op. 25, No. 1" *Music Theory Online* 18, no. 4 (2012), https://mtosmt.org/issues/mto.12.18.4/mto.12.18.4.montague.html.

Although Chopin's two sets of etudes were difficult at the time of their publication, their didactic aim remained clear because of their thematization of a clear, singular technical issue for pianists. Liszt's *Transcendental Etudes*, *S. 139* (1852)[134] departed from the "performance-centered practice" of Chopin, including a variety of difficult techniques within the scope of each etude.[135] Thus, each etude was not necessarily meant for the improvement of piano technique, but for its holistic implementation in order to express something virtuosically. The *Transcendental Etudes* espouse an "emerging work-oriented virtuosity, understood as the technical mastery necessary to support an interpretation: a surrender…to the strengthening work-concept."[136] Liszt's etudes shifted compositional priorities from the improvement of the performer's technique to a foregrounded and emotionally complex High Romantic subjectivity for which virtuosity and pristine technique were essential to convincingly express.[137] For example, *Transcendental Étude No. 4* "Mazeppa" includes inner voice doubled thirds that give the impression of a horse galloping (see Example 3-8). This challenging texture is thematized as part of a programmatic aspect of the work rather than a technical difficulty for which the work is written to improve.[138] Including multiple difficult techniques alongside one another, Liszt's virtuosity is aimed at the expression of the work as a subject, and for the performer to be a "powerful symbol of transcendence" by "heroically overcoming his instrument."[139] With Liszt's work, virtuosity in all domains of technique came to be a hallmark of the concert etude. This

[134] Liszt composed an initial set which did not bear the "transcendental" description in 1837, but the revised 1852 version is the standard set.
[135] Jim Samson, *Virtuosity and the Musical Work: The Transcendental Studies of Liszt* (Cambridge; New York: Cambridge University Press, 2003), 104.
[136] Ibid, 75.
[137] This is not to say that Chopin's etudes *only* concerned themselves with the improvement of technique, as the previous paragraph demonstrates.
[138] Other difficult techniques in this etude include inner voice passage work, extremely fast quadruple octaves, hemiola (in a variation of the first double thirds passage), and quasi-orchestral dense chromatic glissandi.
[139] Jim Samson, *Virtuosity and the Musical Work*, 75–76.

element remained in place despite style change over time, as demonstrated by the concert etudes of György Ligeti.

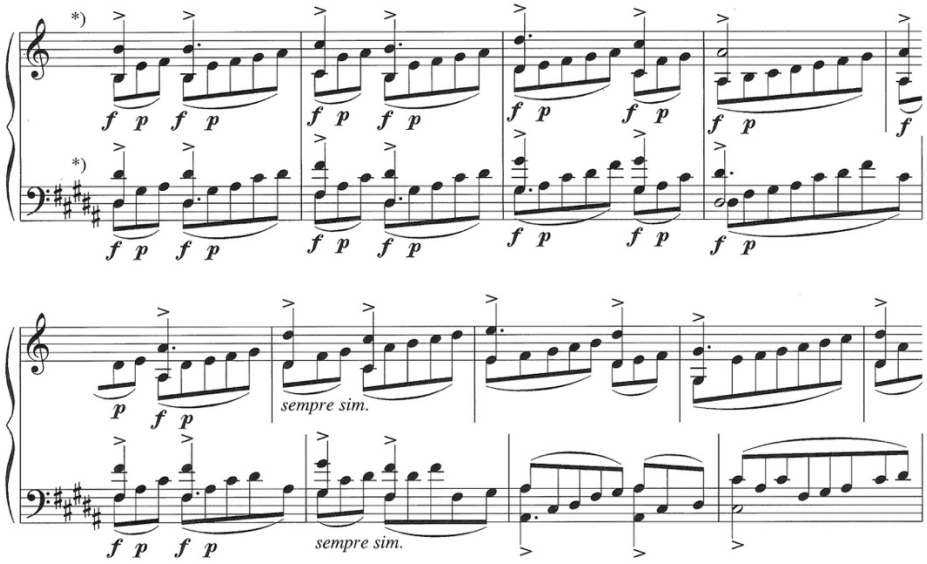


Example 3-8. Liszt, *Transcendental Etude No. 4*, "Mazeppa," measures 7–10

In his piano etudes, Ligeti kept the pervasive difficulty established by Liszt, but drew inspiration from the complexities of the natural world as expressed through mathematics, reflecting similar trends in concert music elsewhere at the time, e.g. the generation of material through harmonic spectral analysis by spectralist composers. Ligeti published three books of etudes in 1985, 1998, and 2005. They contain six, eight, and four etudes, respectively. The third book remained unfinished by his death in 2006. According to Richard Steinitz, the piano etudes emerged from "a more determined independence from the avant-garde and personal reconnection

with tradition, to make it possible."[140] Here, Steinitz draws an intertextual link between Ligeti and past composers who wrote concert etudes (especially Debussy, who Ligeti modeled an initial structure of two books of six etudes after).[141] Reference to a "tradition" could more accurately be termed as a connection to genre, as articulated by certain compositional practices of the past. Like his predecessors, Ligeti foregrounds virtuosity, producing works that are "of Lisztian dimensions: volcanic, expansive, dazzling—and obsessive," but his compositional impetus is not the performer or the emotional complexities of a work's subject, but the natural world and its many complexities as explored through mathematical frameworks. For example, Etude No. 1, *Désordre* (Disorder), musically explores the disorder of the natural world as understood through chaos theory.[142] The work is a direct musical representation of the ideas of chaos theory, taking simple rhythmic matrices which are altered in small, but traceable ways producing a musical texture which gradually becomes disintegrated between the right and left hands (see Example 3-9). The work requires a great degree of virtuosity in hand independence and articulation. In Ligeti's case, virtuosity is necessary for the expressive ends of representing the complexities of the natural world.

[140] Richard Steinitz, *György Ligeti: Music of the Imagination* (Boston: Northeaster University Press, 2003), 278.
[141] Ibid, 277.
[142] Ibid, 280.



Example 3-9. Ligeti, *Etude No. 1,* "Désordre," systems 1 and 2.

Virtuosity is an integral aspect to the etude and concert etude genres. The three composers discussed above seek to express complexity through virtuosic pianism in some way, but they differ in *what* complexities they seek to express and in their compositional impetus. For Chopin, virtuosity is employed and filtered through a framework of embodiment of piano technique for expression. Liszt diverges from Chopin's performer centricity to present the emotional complexities of a subject, intending to "transcend" a real musical performance to depict the subject's complex emotional world as virtualized in music. Ligeti's etudes, while occasionally exploring the emotional complexities of a subject (like in Etude No. 13, *L'escalier du diable*), largely draw from the complexities of the natural world as viewed through mathematical models as inspiration. Chopin, Liszt, and Ligeti derive motives from their interest in different complexities, namely technique, emotion, and the natural world. The derivation of musical motives from complexity as examined through different frameworks is thus a hallmark

of the concert etude genre, and Christian Lauba's works follow this path by deriving motives and employing virtuosity through the framework of style and genre.

Delving deeper into Lauba's use of paratext illuminates how he establishes his works in the discursive space of the concert etude delimited by previous composers. Unlike the three composers discussed above (save for Ligeti's seventh etude *Galamb Borong*), Lauba's later etudes have titles which evoke stylistic associations. For example, *Balafon*, *Ars*, *Flamenco*, *Worksong*, *Partyta*, *Bebop*, *Salsa*, and *Samba* all reference different genres or styles of music. Earlier etudes such as *Jungle*, *Savane*, and *Gyn* tend to summon different characters or emotions; at times, these are associated with locations. Lauba's titles are like both Liszt's (e.g. *Fusées* (Rockets), *Wilde Jagd* (Wild Hunt), *Chasse-neige* (Snow-whirls)) and Ligeti's (e.g. *Désordre* (Disorder), *Arc-en-ciel* (Rainbow), *L'escalier du diable* (The Devil's Staircase)) in that they bear titles meant to evoke some particular thing whose connotations align with the text. They depart from Liszt and Ligeti by naming specific styles or, in the case of *Worksong*, entire genre fields that invoke emotional connotations. By adhering to normative titling conventions (i.e. evocative titles) in the established generic code of the concert etude, Lauba's etudes demonstrate "concert etude-ness" through the "trait of participation itself" and "the effect of the code and of the generic mark."[143] Lauba's titles are self-conscious and reflexive. They participate in a genre by convention while naming other genres *as* the performative act.

Lauba's practice of subtitling his etudes to be for a specific technique provides metacommentary on the genre in which these works are specified. Literary theorist John Frow writes that "genres…[have] the capacity to cite other genres…or to reflect upon [their] structure. If setting and genre are metacommunicative frames in relation to texts, texts in turn are always

[143] Jacques Derrida, "The Law of Genre," tr. Avital Ronell, *Critical Inquiry* 7, no. 1 (Autumn 1980): 65, https://www.jstor.org/stable/1343176.

potentially *metacommunications* about their frames."[144] Lauba's titling conventions are metacommunicative frames in relation to other musical texts—they distinguish their location within the concert etude genre. The titles given to his etudes (e.g. *Jungle*, *Bebop*, *Just a Song*, and those analyzed in Chapter 6) provoke inquisition into the *artistic*, that is, not technical, purpose of each etude. As discussed above, Chopin's etudes do not bear evocative titles despite any nicknames given to them after their publication. However, they are performer-centered and tackle specific piano techniques, even though they are not named. By making his etudes "for" something, each Lauba etude asserts that it *is* an etude in the fashion of Chopin, or even in the traditional, non-concert sense—it is meant for the cultivation of virtuosity, not for its exhibition in service of other expressive ends. However, this remains at odds with the text itself, which includes a far greater number of techniques than those for which it is written (in line with post-Chopin concert etudes for the piano). The juxtaposition of austere, clinical subtitles and evocative title mirrors some of the same stylistic and generic tensions which unfold in each etude. For Lauba, style and genre as social practices are wholly integrated in his compositional practice. Tensions arise when boundaries between different practices introduced in the paratext are manipulated using mixture strategies particular to hybrid music. These tensions are then inferred with the virtual environment's structure, leading to further implications for virtual agency and an emergent virtual subjectivity. Styles and genres are important framing and expressive devices in Lauba's concert etudes for saxophone, but their expressive ends are further refined when examined in conjunction with agency, explained in Chapter 4.

[144] John Frow, *Genre* (London; New York: Routledge, 2015), 19. Emphasis in original.

CHAPTER 4

AGENCY

Style, genre, and their manipulations are crucial aspects to Lauba's music (recall how he aims for "stylistic synthesis" in his compositions).[145] Because of this, mixture strategies are an effective lens through which to analyze his music. Their employment in each of Lauba's concert etudes clarifies form and supplies the listener with an initial position from which they can approach the music (e.g. positive or negative correlating with coexistence or clash). However, mixture strategies alone are limited in their ability to forge a compelling analysis which could be utilized in improving one's performance of Lauba's music. My experience with Lauba's music is primarily that of a performer: I have performed his music and listened to others perform his music in recitals and on recordings. The ability to identify (and identify with) aspects of a work which are analogical or metaphorical to one's own human experience, or an imagined experience, is a key component to unlocking the emotional core of a piece of music. In particular, I aim for this scholarship to be useful for performers of Lauba's music—synthesizing Alcalde's theory of musical hybridity with Hatten's theory of virtual agency provides but one effective framework for Lauba's music which does not toss expression aside in analysis. First, a discussion of what *agency* means is necessary.

The examination of agency concerns itself with actions and actors who cause them.[146] Because music does not have literal agents, i.e. some thing capable of acting according to will or

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[145] Centre de documentation de la musique contemporaine, "LAUBA Christian."
[146] Lawrence M. Zbikowski, "Performing Agency: A Response" *Music Theory Online* 24, no. 3 (2018): [1], http://doi.org/10.30535/mto.24.3.11.

intention, agency manifests as the ascription of humanlike, anthropomorphized qualities to aspects of music. These are assigned agential qualities which exist on a large spectrum from something as small as a single pitch, to the fictionalized analyst interpreting compositional decisions. This document's analysis of agency is based on Robert S. Hatten's ideas surrounding virtual agency. First, it is beneficial to gain a broader understanding of how agency is used in music analysis. Seth Monahan's meta-theoretical work on agency in music theory details how theorists employ agency in their analyses. Monahan constructs a hierarchy of agent classes that appear in theoretical writing, ranging from individual musical elements (such as a tonal center or rhythmic motive) to that of the analyst explaining their reasoning. Monahan gives prominence to two opposing theories set forth by Edward T. Cone and Fred Everett Maus, ultimately hoping to reconcile their differences.

Cone (1974) largely analyzes texted music, but also includes thoughts on agents in instrumental music. Cone's ideas of agency are top-down: "like the characters in an opera, [agents] must obey the formal demands of the music, but…they must appear to move freely."[147] Although agency may be constructed by the listener, agential elements are always subsumed by the piece's identity as a whole (what Monahan would call the *work-persona*). Cone also draws a distinction between *unitary virtual agents*, an agent which maintains its role consistently throughout a movement or entire work, and *temporary agents*, those which make fleeting appearances to introduce an opposing or complimentary state to the music's surface (Cone cites examples of parts marked *solo* in an orchestral score as temporary agents).[148] Cone's top-down construction of agential identification differs from that of Maus, who considers music a dramatic process that unfolds as personified musical elements interact with one another.

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[147] Edward T. Cone, *The Composer's Voice* (Berkeley, CA: University of California Press, 1974), 88.
[148] Ibid, 89-90.

Maus (1988) analyzes a short passage of a Beethoven quartet, then interprets his own words to unpack how an analysis uses agency, anthropomorphizing, and dramatic process to make a passage intelligible. Maus's meta-analysis of his own work foreshadows Monahan's more structured meta-analysis years later. Unlike Cone, Maus offers various ways listeners might interpret musical events, from "the whole texture of a piece as the action of a single agent" (similar to Cone's concept in that the musical work distributes agency among its constituents), to "a kind of drama that lacks determinate characters."[149] The fictional dramatic plot constructed by the listener may in turn be construed as a dramatic narrative. Monahan draws five premises from Maus's article which interact with musical agency in some way:

> 1. Analysts routinely construe music as a "dramatic structure" comprising the "action" of one or more imaginary "agents" (72).
> 2. These virtual agents vary widely in nature, ranging from isolated elements to the entire musical fabric and including even "fictionalized versions of the composers or performers" (67).
> 3. These agents also vary widely in scope, some being coextensive with the work as a whole and others being ephemeral or ad hoc.
> 4. The parsing of a work *into* musical agents is inherently "indeterminate"; it is an interpretive act, one that varies from listener to listener and even from listening to listening (68). What is more—and this is crucial—many musical events or objects can be regarded either as agents *or as actions of other agents* (70).
> 5. Drawing on the work of the philosopher Donald Davidson, Maus argues that these fictional agents tend to serve as repositories for "psychological states" (intentions, motivations, etc.) that the analyst or listener ascribes to the music in an effort to render its event succession "intelligible" or meaningful (66).[150]

To synthesize Maus and Cone's conceptualizations of agency, Monahan devises a hierarchy of musical agency using his five premises drawn from Maus's work.

Monahan parses Joseph T. Kerman's words from his analysis of a Beethoven String Quartet. Musical elements, the work itself, and the composer are all fictionalized in his writing to

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[149] Fred Everett Maus, "Music as Drama," *Music Theory Spectrum* 10, (1988): 68; 72.
[150] Seth Monahan, "Action and Agency Revisited," *Journal of Music Theory* 57, no. 2 (2017): 323–332.

meet certain analytical goals.[151] Monahan grounds his agential hierarchy with these elements identified in Kerman's analysis, which he terms "agent classes." In increasing rank order, the agent classes are individuated elements, the work-persona, the fictional composer, and the analyst. Individuated elements are "any discrete component of the musical fabric that can be construed as having autonomy and volition—in other words, any element that could be understood as a kind of dramatic 'character.'"[152] For example, describing an upwardly rising scale as "striving" anthropomorphizes a musical element as having human characteristics—the sound of the scale itself does not strive, and cannot strive.[153] The work-persona, like the individuated element, still exists in the context of the piece (intramusical) but its meaning is that of a single entity. Individuated elements are subsumed under the work-persona in this higher agent class; a constructed work-persona implies the existence of individuated elements, but the relationship does not necessarily exist when inverted according to Monahan.

The latter two agent classes differ in that they exist in an *extra*musical world. The fictional composer is the "intending" author of the text, posited by the listener, that renders certain musical events as an intelligible act by one mind. This differs from the "historical" composer as an actual human being, which may be informed by real events, but also may not have any relation to the composer's life events. Monahan draws a parallel between this idea and Michel Foucault's "author-function," which distinguishes between "authors" (or "interpretive constructs") and "writers," the person who wrote the work. The analyst (which could also be understood as the *listener*) is the highest level of Monahan's hierarchy: the analyst relates to their interpretation in the same way the fictional composer does to their work. In Monahan's

[151] Ibid, 322–323.
[152] Ibid, 327.
[153] Ibid, 327.

hierarchy, actions by one agent class are construed as adhering to the agency of a higher-level class. That is, an action identified as stemming from a particular agent in an agent class is dependent on the agency of each level above it. Importantly, this hierarchy does not work the other way around, e.g. the actions of the work-persona as agent cannot be attributed to the agency of some individuated element.

Monahan also introduces the concept of avatars, or the four agency types' "array of alternate guises…with a number of metaphorical overlays."[154] Avatars are discrete manifestations of any of the four agent classes. For example, certain instruments in an orchestral score could be described as nervous, heroic, violent, etc., all human qualities ascribed to a certain musical action. Such descriptions generate tension between the real humans who perform them and the actual score: if a trumpet solo in an orchestral piece is described as "heroic," it is not the trumpet or trumpeter who is a hero, but a metaphorical description of a thematized individuated element. The actions of such an avatar may be construed as adhering to or departing from their expected attributes, which begets any number of emotional responses or ascriptions of agency to said agent or their imagined musical counterparts (including more complex intentions of a higher agent class). As avatars, instruments may be most easily understood through programmatic instrumental music in which an instrument or leitmotif is a stand-in for a character and their actions. The composer may also exist as an avatar of the work-persona. This differs from the higher agent class of the fictional composer in that the work is not a result of an omnipotent being who intelligently designs a piece, but that the work-persona is equated with the continuous experience and abstract thoughts and feelings of the composer expressed through the course of the piece.[155] Unlike any of the four agent classes at their most basic levels, avatars' identities

[154] Ibid, 348.
[155] Ibid, 348–351.

persist throughout each work. Agential persistence is a key component of the virtualization of agents in music.

Monahan's study of agency avoids one important agent in music: the performer. Lawrence Zbikowski calls attention to this oversight by noting that agency is a social interaction in which there is an agent-patient relationship. These agent-patient relationships change according to who is the actant and who is receiver of the action. For example, when ordering a meal at a restaurant, the patron (agent) requests an item from the menu to their server (patient), who then puts in the request (material resource) to a chef (patient). There is an agent-patient chain in this instance, which is subsequently inverted when the patron (as patient) eats the meal delivered by the server (agent) who retrieved the meal from the kitchen (chef as agent and server as patient). This example is simple, as it is not separated by time such as a performer interpreting a (sometimes deceased) composer's score which was written hundreds of years ago. Zbikowski relates this case to Alfred Gell's conception of primary and secondary agents. Primary agents are intentional beings (such as a real human), while secondary agents are works of art, artifacts, sets of instructions, etc. In the case of the composer-work relationship, the composer is the primary agent whose intentions are realized through their score as secondary agent. Zbikowski goes on to examine the complicated agent-patient relationships between composer-performer, performer-audience, audience-performer, and recording-listener (the last being another instance of a secondary agent). According to Zbikowski, "[i]f we are to fully understand music, performance, and agency, then, we will need to understand music's place in the human social sphere."[156] Although not necessarily examining the agency of the performer, Hatten's theory of virtual agency reintroduces the importance of the social relationship of *imagined* (or virtual) agency in a

[156] Lawrence M. Zbikowski, "Performing Agency: A Response," [18].

musical work through a listener with various levels of competencies, who may ultimately infer an emergent virtual subjectivity in a piece of music.

Virtual Agency

Hatten draws a distinction between actual agents (e.g. a composer or performer) and virtual agents, stating that "a virtual agent in music is not an actual agent, but its efficiency lies in its capacity to simulate the actions, emotions, and reactions of a human agent."[157] Hatten departs from the two inner agent classes of Monahan and considers the individuated element (the simulator in the musical surface) and the analyst (or listener; the "human agent"). For Hatten, virtual agents are still agents insofar as they can be analyzed as having a degree of independent action, humanlike characteristics, and the ability to be fictionalized (recalling Maus's fictionalized dramatic trajectories in music).[158] Equally important as virtual agents' agential qualities is the virtual environment within which they are situated (the "stage" on which they act to further extend the analogy with drama). The bulk of Hatten's work on agency focuses on tonal music (one exception being a short analysis of Schoenberg's *Drei Klavierstücke*, op. 11, no.1)[159], but his theories are equally applicable to non-tonal music because, for him, style is the ultimate arbiter of expectation and its negation. The balance of expectation and negation may give rise to agential qualities in music and ultimately be internalized "as part of a subjectivity, akin to an active stream of consciousness."[160] Hatten outlines four inferences and implications by a listener which contribute to an experience of virtual agency, but they are not hierarchical (experience of a

[157] Robert S. Hatten, *A Theory of Virtual Agency for Western Art Music*, (Bloomington, IN: University of Indiana Press 2018), 1.
[158] Ibid, 2.
[159] Ibid, 276–278.
[160] Ibid, 2.

first-order agent does not assume its intelligent design by a higher agent, with the exception of the analyst as avatar, explained below), and they are not always given agency, but are rather contributing factors to an experience of an emergent virtual subjectivity.

Virtual agency involves levels of inference within the virtual environment established by a musical style. Higher levels are inferred from the activity of lower levels in an emergent fashion, but they do not presuppose the activity of higher levels. Hatten orders them from basic to complex: "(1) unspecified virtual actants to (2) virtual human agents to (3) their ongoing actorial roles in lyric, dramatic, and/or narrative trajectories and, finally, to (4) their transformation as parts of a larger, singular consciousness or subjectivity that is negotiated by each individual listener."[161] Importantly, Hatten's theory of agency is a virtual one which privileges the experience of the listener: agential roles and an emergent virtual consciousness or subjectivity is the result of anthropomorphized sonic events situated in the virtual environment of musical style. Such feelings of agency exist intramusically, and seem to transcend who (or what, in the case of a recording) is producing the sound. Naomi Cumming (2000) demonstrates this in her analysis of Carolyn Abbate's account of hearing how the Queen of the Night aria identifies "a musical 'presence' which is not simply that of a performer on stage."[162] Although focusing on different experiences of agency, three similarities can be drawn between Hatten's spectrum of basic to complex virtual agency, Monahan's agent classes, and Zbikowski's agent-patient relationship.

First, all three identify the most basic level of agency as some sort of action being done by an agent. Zbikowski identifies an additional role by naming the patient, the recipient of an

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[161] Ibid, 17.
[162] Naomi Cumming, *The Sonic Self: Musical Subjectivity and Signification* (Bloomington, IN: Indiana University Press, 2000), 161.

action. Hatten obliquely identifies a patient in the second type of virtual agent by suggesting that "intention" is one level of inference, which becomes competing intentions between agents in his third type.[163] For Monahan, the patient is mostly unnamed (except in the case of avatars interacting with another), but its presence can be inferred because lower-level agent classes are acted upon by higher classes. Second, some degree of persistence is inherent in assigning roles to agents. Cone's conception of a musical persona representing the ever-present thoughts and feelings of the composer who created their work necessitates persistence.[164] However, both Hatten and Monahan determine that persistence can occur at a number of different levels of agency. For Monahan, avatars persist throughout a work by way of metaphor. One of the four agent classes is metaphorically represented by an avatar (or representation) which persists by its connection to some musical event. For Hatten, the identification of an avatar and their virtual conflict with internal and external actants or agents provides grounding for an emergent virtual subjectivity. Third, feelings of agency change throughout the course of a work. For Zbikowski, changing agency is reflected by changing agential roles in both primary and secondary agents and their agent-patient relationships. His account of agency also focuses more on agency's social capacity than the others. Hatten grants agency to several actual people in the performance of a piece of music, but he is concerned with virtual agency, not agency as a social element (although musical socialization may determine stylistic competency and, ultimately, conceptions of virtual subjectivity).[165] For Hatten, actions and their agents are metaphorical, and social elements can serve as metaphors of sociality inferred by a stylistic competency listener (such as the

[163] Hatten „*A Theory of Virtual Agency*, 20–22.
[164] Cone, *The Composer's Voice*, 85.
[165] See Hatten, *A Theory of Virtual Agency*, 219–243 for how performers may be involved with virtual agency.

associations spurred by a musical topic).[166] Also, certain gestures (particularly if they are persistent) can be realized as part of a greater virtual subjectivity as the piece progresses by their integration into a *melos*, or the emergent continuity of the integration of musical elements as actants, agents, or actors in a musical discourse.

Hatten (2004) emphasizes the importance of stylistic competency in the performer or the listener for understanding music's expressive parameters. For Hatten, stylistic competency is something "presupposed by the musical work in its historical context."[167] He examines how varying degrees of stylistic competency may affect interpretations of agency in the second movement of Beethoven's Piano Sonata No. 8, Op. 13 ("Pathetique") through the perspective of three listeners: one without formal musical training, one with formal musical training, and one with music-theoretical and intertextual knowledge about the work. All three listeners experience virtual agency in the work, but the third listener represents the highest level of engagement.[168] Most of Hatten's analyses of virtual agency rely on a presumed stylistic competency and are essentially how a listener with his training and knowledge would hear the work as an avatar of the analyst, in Monahan's terms. For Monahan, "[t]his kind of avatar arises when an analyst generalizes his or her own experience to all *competent* listeners."[169] Because a synthesis of virtual agency and hybridity frameworks is so dependent on style and genre interactions, some degree of stylistic competency in all of the styles or genres utilized by each piece must be assumed in order to draw the most expressive meaning from each work. In fact, as style and/or genre are primary elements of musical discourse in hybrid music, mixture strategies and notions

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[166] Topic theory investigates this social element of music deeply, and how topical tokens are manifestations of a generalized idea of style from a social sphere.
[167] Robert S. Hatten, *Interpreting Musical Gestures, Topics, and Tropes* (Bloomington, IN: Indiana University Press, 2004), 33.
[168] Hatten, *A Theory of Virtual Agency*, 263–265. Level of engagement refers to the number of depth parameters (e.g. harmony, melody, topics, intertextuality) through which the listener interprets the music they are hearing.
[169] Monahan, "Action and Agency Revisited," 352. My emphasis.

of virtual agency affect one another as will be demonstrated through the analyses later in this document.

CHAPTER 5

METHODOLOGY

When synthesized into one framework, musical hybridity and virtual agency provide an effective means of analyzing Christian Lauba's concert etudes for the saxophone. Combining these analytical frameworks allows them to work in tandem with one another: mixture strategies provide a basic level from which virtual agents emerge and characterize the emotional quality of their character. The analysis of virtual agency in turn provides more precision in characterizing the analytical meaning that can be drawn from each mixture strategy's employment. Often, the sheer difficulty of concert etudes can distract the performer from penetrating the emotional core of the music, especially, like in Lauba's music, when multiple styles and genres are used in such a nuanced way. This analytical framework provides valuable information to performers of Lauba's concert etudes, i.e. how to identify with anthropomorphized aspects of each work to sharpen their interpretation and give more convincing performances.

Musical hybridity relies on the premise that styles or genres are preestablished frameworks which have clearly defined boundaries. The identification of style or genre is predicated on the representation of their most essential elements. In a chimeric, or hybrid, musical environment, these boundaries are blurred, and certain elements of one or more styles or genres are emphasized or muted depending on the present mixture strategy. Because listeners virtualize certain aspects of music as metaphorical human experiences and construct agents which interact with a virtual environment governed by sets of *stylistic* musical parameters, the adjustment or breakdown of musical identity markers in hybrid music implies another layer of

complexity in the study of virtual agency. Muddling boundaries is an action which may be attributed solely to the composer, or to elements in the virtual space of music. This raises a number of potential questions regarding agency: What is violating these boundaries and why? What is the effect of boundary dissolution on identified agents (or patients)? How is the virtual environment, as governed by style or genre, changed through this process, and how does a persistent virtual agent navigate this new virtual environment? Additionally, how might it feel about this change? And, ultimately, how does a singular virtual subjectivity emerge from a variety of musical identities whether assigned to one agent as two facets of its character, or to multiple virtual actors? Alcalde suggests interpretations for each mixture strategy which relate to the musical or ideological goals of the composer in combining multiple musical identities in the scope of one piece of music. The combination of different identities creates musical meaning through the interaction of musical identities' subject positions within a real-world (i.e. not virtual) social structure. Hatten's ideas on virtual agency are largely based on inferences by a listener which construe virtualized events in music as metaphors for real-world human actions and emotions. By combining Hatten's theory of virtual agency with Alcalde's analytical framework for musical hybridity in my analyses of *Worksong*, *Flamenco*, and *Steady Study on the Boogie*, I aim to elucidate how stylistic and generic interactions play out in Lauba's music, and how they create a virtual musical world which may analogically represent such structural play.[170]

Style and genre are important parameters in Hatten's theories and analyses (including those published before Hatten 2018). Because Hatten mostly examines virtual agency as it manifests in tonal music, he constructs a virtual environment out of tonal forces outlined by

[170] However, the social-structural analysis of each piece is outside the scope of the present study.

Steve Larson.[171] Forces such as gravity (the descent to a stable surface), magnetism (the attraction to notes of stability, e.g. $\hat{7}$ to $\hat{1}$), and inertia (the tendency for a pattern to continue in the direction it moves) dominate the virtual environment in parameters of rhythm, harmony, and melody. For example, a stepwise descent from $\hat{5}$ to $\hat{1}$ exhibits all three forces: the tones descend to $\hat{1}$'s stable surface (gravity and magnetism) without changing direction (inertia). Furthermore, if such a gesture is used motivically, transformation of the motive could exhibit a sense of virtual agency according to the listener's inferences for *why* the motive was changed and *what* changed it. Though not stated explicitly as an element of style, these musical forces are bound to stylistic elements of tonal music. Similar virtualized energetic features also appear in other musics with certain concessions and alterations. The use of stylistic or generic identification markers in hybrid music demarcates, and sometimes exhibits, governing musical forces, so the concept can easily be applied to hybrid environments. What results is not a univocal and stable virtual environment, but one in flux with which identified virtual agents must navigate and interact.

Hatten relies heavily on topic theory to inform his analyses of virtual agency. Topic theory was first introduced to music theory scholarly discourse by Leonard Ratner (1980) in his inventory of "types" (roughly equivalent to genres) and "styles."[172] Ratner succinctly defines topics as "subjects of musical discourse." Topic theory is musical analysis relying on the identification of various stylistic or generic importations which articulate a musical discourse according to affective and cultural references associated with such importations. Kofi Agawu more narrowly defines topics, stating that they "provide a framework for discussing various

[171] Found in Steve Larson, *Musical Forces: Motion, Metaphor, and Meaning in Music* (Bloomington, IN: Indiana University Press, 2012).
[172] Danuta Mirka, "Introduction" in *The Oxford Handbook of Topic Theory*, ed. Danuta Mirka (Oxford: Oxford University Press, 2014), 1.

kinds and levels of associative signification in eighteenth-century music."[173] Despite this narrowly defined period, scholars such as Julian Horton,[174] Scott C. Schumann,[175] and Thomas Johnson[176] have examined topic theory's efficacy for analysis in music written after this period.

Hatten uses the affective and cultural associations of topics to help characterize agents he identifies: "e.g., a sigh or *pianto* figure implies a sigher, a *Ländler* implies a rustic or less-sophisticated agency, and a hymn topic implies a spiritually oriented agency."[177] Topics rely on identification much like mixture strategies rely on the identification of certain musical identities based on essential characteristics, but they differ in that topics are largely stylistic or generic importations into a musical fabric which favors a dominant style (eighteenth-century Classical music) that in turn shapes their presentation. That is, topical importations clearly reference styles and cultural ideas, but they conform to the musical aesthetic of the overarching genre in which they are written. Although the cultural sphere in which the music analyzed in this study is situated is essentially European concert music, styles and genres referenced outside this sphere do not metaphorically characterize virtual agents in the same way that topics do. Furthermore, the cultural ideology which shapes the presentation of musical "others" is not necessarily evident in topical analysis. For example, the use of a Turkish march in a symphony overtly references cultural associations with the style (the Turks and their culture often shaped by exoticist and Orientalist frameworks), but does not necessarily consider the cultural intersection between the

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[173] Kofi Agawu, *Playing with Signs*: *A Semiotic Interpretation of Classic Music* (Princeton, NJ: Princeton University Press, 1991), 19.
[174] Julian Horton, "Listening to Topics in the Nineteenth Century," in *The Oxford Handbook of Topic Theory*, ed. Danuta Mirka (Oxford: Oxford University Press, 2014), 642–664.
[175] Scott C. Schumann, "Making the Past Present: Topics in Stravinsky's Neoclassical Works" (PhD diss., University of Texas at Austin, 2015).
[176] Thomas Johnson, "Tonality as Topic: Opening a World of Analysis for Early Twentieth-Century Modernist Music" *Music Theory Online* 23, no. 4 (December 2017), https://mtosmt.org/issues/mto.17.23.4/mto.17.23.4.johnson.html.
[177] Hatten, *A Theory of Virtual Agency*, 70.

West and the East because the presentation is so Westernized and influenced by ideology.[178] Topic theory analyzes music through extramusical associations and the discourse that arises from their juxtaposition or superimposition, while the analysis of mixture strategies and virtual agency analyzes intramusical events which are governed by any variety of styles or genres present at one moment. The styles or genres contained in a hybrid work are less clearly bounded than topics and change in rank value throughout the course of a work. Hybrid music is pluralistic (Alcalde calls his theory "a framework for pluralist music") and "importations" from different styles do not adhere to a predominant style which shapes their presentation. Instead, stylistic rules govern each musical identity separately, or a combination of musical identities changes rules depending on the mixture strategy present in a given passage.

A key concept in Hatten's writing, including his theory of virtual agency, is the concept of markedness. He describes markedness as "a semiotic valuation of oppositional features that…accounts for relative specification of meanings, the coherence of meanings in a style, and the emergence of meaning within an expanding style competency."[179] When an event is marked, it is asymmetrically valued against an unmarked normative process, which, in Hatten's analysis, is informed by style. Style governs rules which, when broken, give rise to marked events. A sense of virtual agency may also emerge out of such moments, as it raises questions for listeners such as: why is this particular stylistic rule broken, was it intentional on the part of the virtual agent, and how does the agent react to such a marked moment? In a hybrid musical environment, there can be simultaneous opposing rules at play. The relative value of these rules is informed by the mixture strategy employed. The use of mixture strategies can also create marked moments

[178] This is not to say that hybrid musical works are not influenced by ideology.
[179] Robert S. Hatten, *Musical Meaning in Beethoven: Markedness, Correlation, and Interpretation* (Bloomington, IN: Indiana University Press 1994), 2.

themselves in a piece of music depending on their context. In the analyses that follow, markedness is considered as a component which operates both *within* and *between* styles. That is, moments' markedness may result from the defiance of normative processes in sections in which a "pure" style or genre is evident (such as in cases of distortion), or by a "shift in level of discourse" which, according to Hatten, "may be implied through a striking contrast in texture, register, dynamics, key, harmony, theme, or topic."[180] Of the parameters which produce a shift in level of discourse, topic is most relevant to the present study, but, given the multiplicity of styles and/or genres present in a musically hybrid work, their difference in referential strategy, and the difference in musical aesthetic between the period Hatten analyzes (mostly eighteenth- and nineteenth-century European concert music), "style" or "genre" can stand in for topic. Added to this list for the analysis of hybrid music are striking contrasts in mixture strategy or the inclusion or exclusion of genres or styles within the same mixture strategy through time.

The use of different mixture strategies may alter virtual agential (or, ultimately, virtual subjective) experience. For instance, consider if two styles or genres are effectively set in opposition to one another through the use of clash (most likely juxtaposition clash in the case of an unaccompanied saxophone work). What meaning can be imputed to a musical event which then situates these same styles or genres (or close relatives) in a coexistent environment? Perhaps a virtual agent sees a problem with the juxtaposition clash and hopes to "correct" such a mistake by emphasizing elements within each style or genre that are shared or work in tandem with one another. Or perhaps the agent in one style or genre had a calmer quality, while the other impinged on this quality, rendering the agent frustrated—subsequent coexistence implies an acquiescence or psychological integration of the offending element. When the temporal

[180] Hatten, *A Theory of Virtual Agency*, 203.

placement of these strategies is reserved, a radically different meaning can emerge, especially if juxtaposition is followed by another coexistent event which is changed in some way (e.g. motivically transformed, altered contour, different dynamic level). Distortion almost always has negative connotations, whether distortions happen *to* the agent or whether they are deliberately *caused* by it. If happening to the agent, it must reconcile with an actor (specified or unspecified, internal or external) who intends to pervert its identity in some way. If caused by the agent, then an asymmetric valuation may arise from varying degrees and kinds of distortion that occur throughout the piece.

Trajectory deserves special treatment when considered in light of virtual agency because of its distinction as a process. The other three mixture strategies may occur as a part of the agent's expression as determined by prior characterization with (in the case of coexistence and clash) or without (in the case of distortion) multiple styles. Alcalde states that the other mixture strategies must be nested within a goal-oriented trajectory, but they are subsumed within the larger trajectory strategy.[181] As mentioned in Chapter 3, Alcalde relates the idea of trajectory to Candace Brower's schema of SOURCE-PATH-GOAL. Characterizing trajectory as goal-oriented opens up a wealth of analytical possibilities when considering virtual agents' roles within it. An agent's initial position, the path it takes to reach a new position, and the final position may be analyzed as they relate to any of the four categories of virtual agency that listeners infer according to Hatten (actions, agents, actors, and subjectivity). Furthermore, the aftermath of a trajectory has implications for virtual agents, actors, and subjectivity. How do virtual actors interact with the trajectory that has just occurred? Is the goal of the trajectory the virtual agent's initial aim at the start of the PATH? In an emergent virtual subjectivity, a

[181] Alcalde, "Patterns of Hybridity," 222–223.

trajectory or trajectories may also engender narrative elements, although this is outside the scope of the present study. While the other three strategies may be employed by, with, or against an agent, trajectory, as a goal-oriented musical device, is inherently a strategy which implies intention on behalf of an agent.

The analyses of *Worksong*, *Flamenco*, and *Steady Study on the Boogie* in the following chapter apply the methodology outlined in this chapter. Beyond the initial process of identifying styles, genres, and mixture strategies, the analytical processes and outcomes of each work differ greatly. Each work's emergent virtual subjectivity is particular, almost idiosyncratic, to each work. Virtual subjectivity's emergence primarily depends on the interaction between surface level musical events, associations between styles and genres, and the mixture strategies applied during each piece. My goal in developing this framework was to create something flexible enough to be readily applied to any of Lauba's concert etudes containing musical hybridity. The analytical interpretations that follow are three of many that could be created from his works. My experience as a saxophonist has informed each of these interpretations, and one of the principal purposes is for this framework to be used similarly for future performers to reach the emotional core and expressive elements of Lauba's concert etudes more effectively.

CHAPTER 6

ANALYSES OF WORKSONG, FLAMENCO, AND STEADY STUDY ON THE BOOGIE

Introduction

The three analyses in this chapter apply the methodology described in the previous chapter to three of Lauba's concert etudes for the saxophone which contain elements of musical hybridity: *Worksong*, *Flamenco*, and *Steady Study on the Boogie*. Each work uses different mixture strategies for different expressive effects—these effects are determined in part by the analysis of virtual agency in each work. Although each work uses different stylistic or generic conventions, their unifying stylistic/generic characteristics are the genres of the concert etude and contemporary saxophone music.[182]

[182] These common characteristics necessitate the background information and explanations in the previous chapters.

Worksong

The melodic language of *Worksong* emerges from coexistence between a jazz/blues genre field in a "high" stylistic register and a transformative treatment of motive deriving from the style of late-Romantic and early twentieth-century composers (as analyzed by Schoenberg).[183] The primary motive is a descending minor third, which is subject to contour inversion and expansion to a major third. Thirds are important to the melodic language of blues, and their use on the first page expresses moments of tension and resolution within a blues virtual environment in the key of A, an environment whose melodic stability and instability is governed by resolution of seconds and thirds to stable notes in a tonic triad. Peter van der Merwe terms these "dropping" and "hanging" thirds.[184] Dropping thirds descend to a stable note while hanging thirds ascend to a stable note. Phrase endings on dropping or hanging thirds which do not resolve to their expected note in a blues environment indicate an open cadence, similar to how $\hat{2}$ or $\hat{7}$ over an unresolved dominant harmony indicate a half cadence in tonal music. See Figure 6-1 recreated and transposed to A, adapted from Nicholas Stoia (2010).[185]

[183] Walter Frisch, "Brahms, Developing Variation, and the Schoenberg Critical Tradition," *19th-Century Music* 5, no. 3 (1982): 216.
[184] Nicholas Stoia, "Mode, Harmony, and Dissonance Treatment in American Folk and Popular Music, c. 1920–1945" *Music Theory Online* 16, no. 3 (2010): [4], https://mtosmt.org/issues/mto.10.16.3/mto.10.16.3.stoia.html.
[185] Ibid.

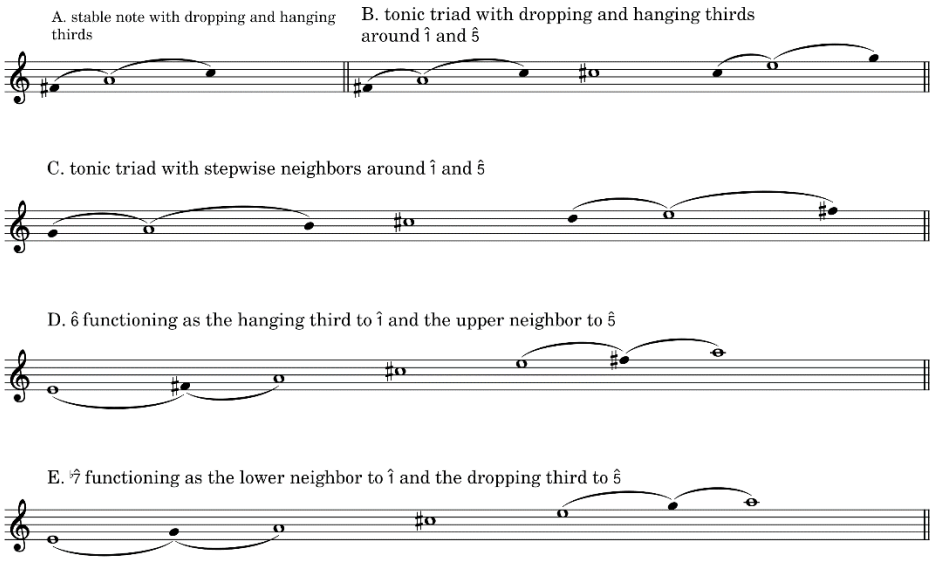


Figure 6-1. Melodic function in blues music adapted from Stoia (2010).

Much of the blues-derived melodic vocabulary in the introduction stems from the A major and minor pentatonic collections. These pentatonic collections are used interchangeably for different expressive purposes. Combining both collections and including the D♯ "blue" note expands the collection into one which includes an A fully-diminished seventh chord, a harmony constructed of stacked minor thirds. Minor thirds and the fully-diminished seventh chord are used as a connective device between blues/jazz and early twentieth-century music: certain phrases exist ambiguously between both styles and notes in between those of the A fully-diminished seventh chord are "filled in" to construct $OCT_{2,3}$ (octatonic collection beginning with D and E♭). Implied harmonies in flourishes may also be analyzed as subsets of $OCT_{2,3}$ or as altered predominant harmonies in the key of A. Predominant harmonies are subject to tritone substitution and the inclusion of extensions raised or lowered by a half-step, both common bebop stylistic conventions. Thus, the structure underlying pitch-class space in the introduction is a

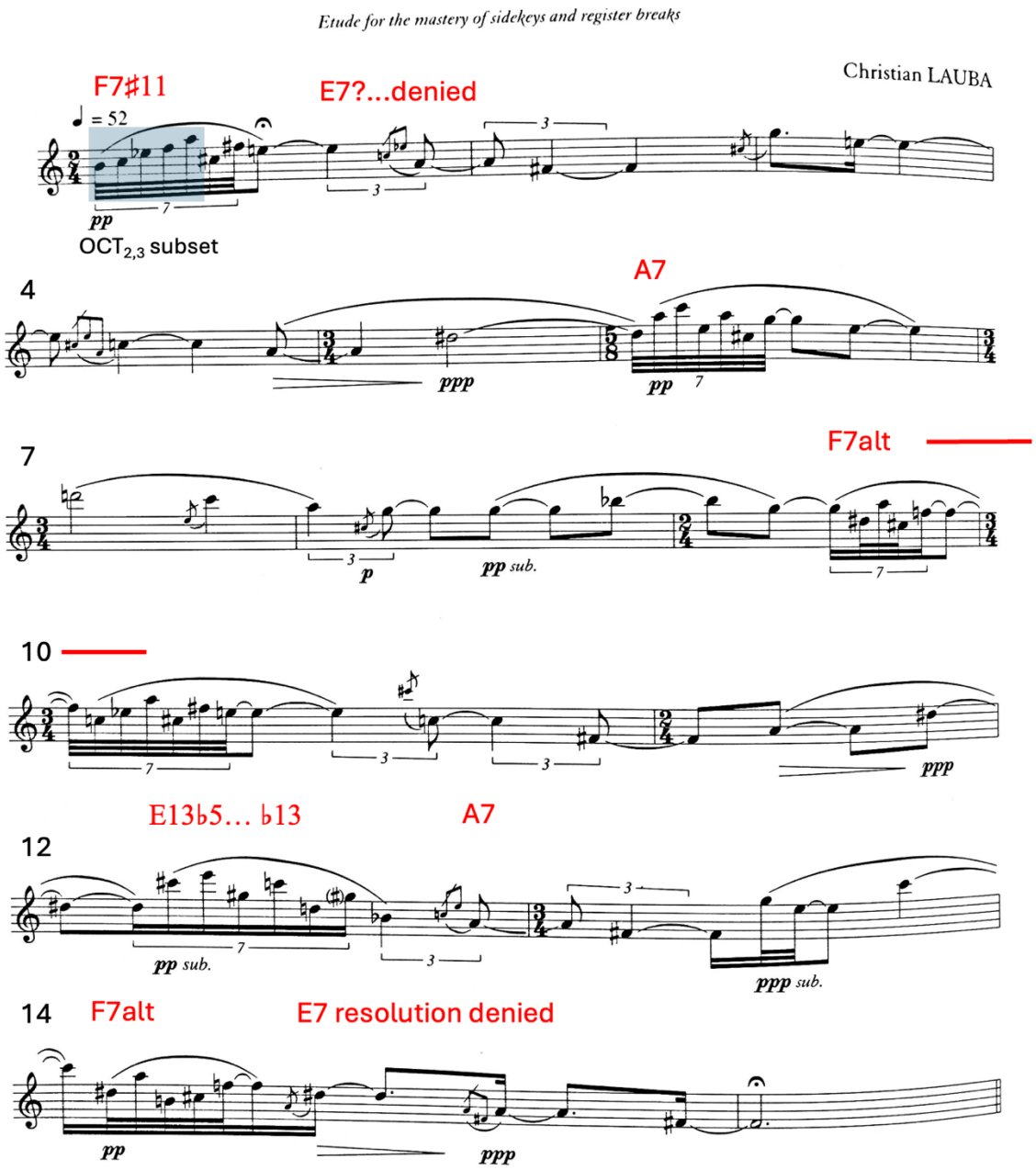
coexistence between bebop, a high stylistic register of jazz, blues (lower in "degree of dignity" than jazz, but a generic relative), and early 20th-century classical music.[186] Certain common features of each style are emphasized at different moments throughout the introduction, which detracts from certain aspects of its counterparts without completely removing them. For example, when octatonicism is foregrounded, the collection's symmetry temporarily blurs A's centricity, but the prevalence of the minor third, an important aspect to both collections, allows both styles to coexist. Such moments often occur in the middles of phrases, expressively intensifying the phrase, and ultimately intensifying phrasal closure once A's centricity is restored.[187] Fleeting distortions in one style nested within overall coexistence serve as expressive devices working *within* each phrase's expressive trajectory towards a stable note in the A major triad ($\hat{1}$ and $\hat{5}$ foregrounded), which acts as a signifier of closure.

The introduction begins *in medias res* with an F7♯11 arpeggio, a tritone substitution of B7, the V/V chord in the key of A, signifying the high jazz style. This does partially resolve to E5 (voice-leading of $\flat\hat{6}$ to $\hat{5}$), but harmonic resolution to V is undercut by the absence of the $\hat{7}$ or $\hat{4}$ (chord tones 3 or 7 of V; these are "guide tones" which allow smooth voice leading between complex harmonies, most efficiently projecting the expected harmony).[188] From the first phrase, expectation is already denied. In the introduction, similar non-functional use of altered seventh chords also occurs in measures 9, 10, and 14. In measure 12, an altered dominant, E7♭9♭13, appears and resolves to A as expected, but the final altered F7 arpeggio in measure 14 undercuts this dominant-to-tonic resolution on a larger formal level. The dense jazz-influenced harmonic

[186] The term "degree of dignity" is taken from Hatten, *Musical Meaning in Beethoven*, 75.
[187] This is also an aspect of bebop, i.e. playing "out."
[188] Sean R. Smither, "Guide-Tone Space: Navigating Voice-Leading Syntax in Tonal Jazz" *Music Theory Online* 25, no. 2 (2019), https://doi.org/10.30535/mto.25.2.4

language which incorporates pentatonicism (see the final four notes of measure 1, beat 1 which includes the A major pentatonic collection) stylizes the larger blues/jazz genre field as "high," and serves as strong connective tissue for coexistence between all three styles because of the octatonic subsets contained in the harmonies.[189] Furthermore, the non-functional use of harmony recalls the harmonic language of early twentieth-century Impressionist French composers (e.g. Claude Debussy, Maurice Ravel, Lili Boulanger), expanding the concert music genre field *through* the use of jazz harmonies. This provides an even greater element of cohesion between the styles. See the annotated first page of *Worksong* in Example 6-1 below for a summary of harmonic and melodic language in the introduction.

[189] For example, more "sophisticated" jazz musicians like those in bebop adding altered harmonies to standard forms (e.g. a "Bird Blues" instead of a normal 12-bar blues) to stylize it as something with more flair and complexity.



Example 6-1. Lauba, *Worksong*, page 1 with harmonies added. Many unmarked portions utilize an A pentatonic/blues collection.

Now that the stylistic, harmonic, and melodic structures of the introduction have been established, how does examining virtual agency explain *how* elements are coexisting despite

friction between musical aspects? The analysis of agency in this case is almost inescapable, as the use of a word such as "coexistence" to describe the frictionless cohesion of disparate styles or genres anthropomorphizes them. Coexistence recognizes difference, and accepts it, much like two humans may do in order to resolve a conflict. However, the musical discourse of the introduction is not one of multiple separate agents assigned to identifiable styles or genres. Instead, the introduction is an interiorized conflict of one hybrid agent. Because of the hushed dynamics (only *piano* at its loudest moment), mostly restricted range in the middle of the instrument, and quasi-recitative rhythmic treatment, the introduction implies an interior conflict marked by pauses of thoughtful reflection. Virtual musical forces as metaphor for actual motion reveal this. The inertia of the opening upward flourish is arrested rather suddenly before pausing on a stable $\hat{5}$ in A. The harmonic implications of this flourish, omission of the expected V resolution, and interrupted inertia establish the agent's strong desire for stability from the outset. The following dropping and hanging thirds which project the A major pentatonic collection and outline an A7 chord (the "tonic" harmony in blues music) are a rhetorical gesture by the agent, firmly restating the goals of its previous utterance. The descending A7 arpeggio starting in measure 3 begins on a downbeat and is initiated by a leap of a minor ninth, suggesting a willed effort to establish said harmony. The *pianissimo* D♯ in measure 5 is a slight questioning gesture, but it is ultimately resolved to E in the next measure, adhering to a stylistically normative melodic device of $\sharp\hat{4}$ ("blue note") to $\hat{5}$.

In a musical discourse containing only the jazz/blues genre field, there are several moments throughout these stability-defining gestures (enforced more emphatically *because* of the lack of stability in the opening gesture) which call their true stability into question. However, when we consider the musical discourse to be one of a coexistence between a jazz/blues genre

field and a collection- and motive-based concert music generic field, then these "undermining" moments are rather an intensifying expressive effect. It is the stability *between* the two styles and genres which is emphasized by (1) a desire for and establishment of tonic stability and (2) interpolation and recontextualization of undermining moments. These undermining moments include the E♭ grace note in measure 1 and the D♯ which ends the first phrase in measure 5. Both of these may be considered as part of a greater early 20th-century concert music genre: the C and E♭ grace note outline an F♯ diminished triad and the D♯ is essentially an extension (by doubling the minor third) and inversion of the dropping minor thirds treated motivically. These "undermining" moments are recontextualized as an expression of greater yearning for stability. In effect, it is a temporal expansion of the agent's desires first heard in measure 1, using destabilizing harmonies and motivic transformation to more clearly demonstrate those desires. See the first two lines of Example 6-1 shown earlier.

Measure 7 mirrors measure 3's insistence by leaping to D6, the highest pitch thus far, and holding this insistent note for two full beats. The minor third leap between G and B♭ in measures 8 and 9 is highly marked and opens a new dimension through motivic transformation, a hallmark of concert music style. B♭ appears for the first time in this measure, and it ushers in a more active rhythmic fabric until the end of the introduction. Although rationalized as motive, the inversion of the minor third to B♭ appears to disturb the agent's stability. The B♭ pitch class is thematized throughout the piece, and represents something outside the agent which alters it in some way. This effect is not immediately clear in the introduction, but it does send the agent off on a more frenzied hunt for stability. The following measures are rhythmically unstable, and the arpeggiated altered dominant is a harmonically strong attempt by the agent to wrench itself back into tonic stability, but this is met by the same B♭ pitch class which began the conflict in the first

place. In effect, the agent has achieved stability in one domain, rhythm, while returning to the same disturbing element from before. The section ends with a hanging third which does not resolve back to A, a sort of open cadence in a blues melodic context. Stability is not ultimately achieved despite such strong yearning, as the agent must face the recurring B♭ which disturbs it so much before achieving its goals. B♭ and its enharmonic spelling of A♯ recur throughout the piece as a highly disturbing element to the central agent of the piece couched in a variety of different styles, suggesting (1) a persistent agent which is constantly disturbed by the recurrence of a singular element and (2) a persistent actor *against* the central agent (though emerging from the agent's inner thoughts) which ultimately must be confronted instead of avoided.

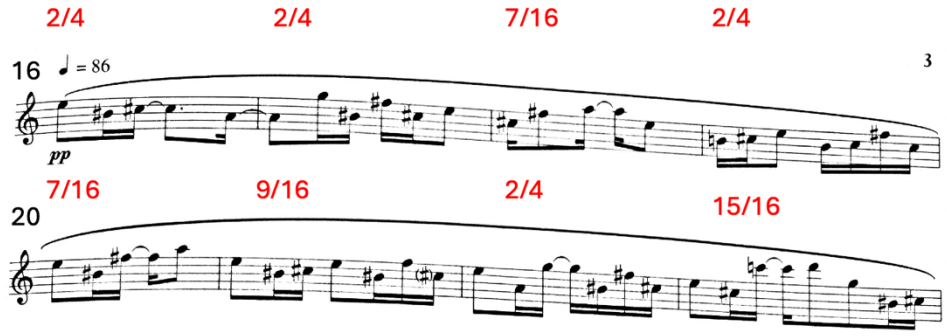
Because these etudes are for solo saxophone, there are limited resources to show mixture strategies such as coexistence. Some works have the ability to overlap mutually-assisting layers (perhaps through complementary rhythmic figurations, counterpoint between two different styles, etc.), but an unaccompanied saxophone piece does not. The clearest way to show coexistence is to have two constituent elements, even when one is subordinate to the other, participate in such a way that it does not disturb the phrasing. This also lends these sections a virtuosic effect, expected by the piece's designation as an etude, but it is focused more on a socially-projecting mastery of style by the performer rather than a particular "hero" character like Liszt may have written.

Section B is not stylistically hybrid, but it is characterized by the mixture strategy of distortion, in which one genre or style is presented with distortions in one of its musical parameters. In this case, metrically distorted extemporations over an A7, the harmony of stability in the introduction, are present. By measure 48, the harmony oscillates between A7 and an altered E7. Throughout, the A major pentatonic scale (including C-natural as a "blue" note and

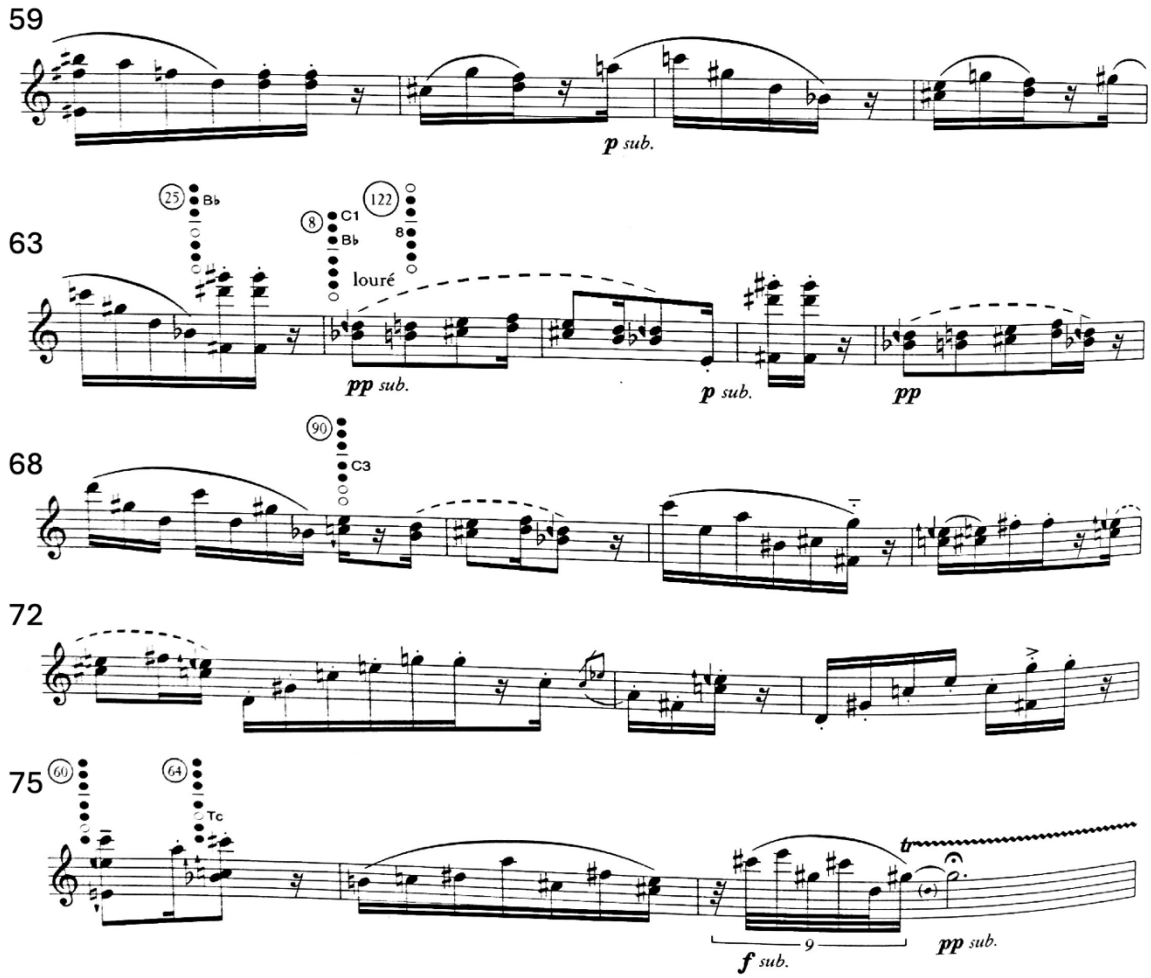
prominent non-harmonic tone) is used freely. Lauba's treatment of saxophone multiphonics as they are introduced in this section are in fact not distortions, despite the fact that they are acoustically a "'distorted resonance spectrum'"—instead, they are used to produce metric weight and produce harmonic effects.[190] Distortion in this section instead occurs in the rhythmic elements, namely, truncation or appendation of 16th notes in the final beat of each measure (see Example 6-2 below). The entire section does not have written time signatures, but bar lines clearly show where metric weight should be placed.[191] This metric weight often coincides with notes of stability established in the introduction: A and E. These notes of stability either occur early or late depending on the preceding measure's treatment of meter (e.g. stability occurs early in measure 21 and late in measure 22). Metric distortions also occur at a greater level of metric organization when measures are interpreted as compound instead of the established duple (with 16th-note truncations or appendations), e.g. measures 35 and 39. As silences are inserted (e.g. measures 59–77 in various measures), the effect of distortion increases (see Example 6-3 below). Despite increases in distortion, harmonic/melodic stability is still achieved through the strength of stable notes, although these are inflected by the use of incomplete neighbors and grace notes (recalling their use in the introduction). B♭ also returns most apparently in measures 64 and 67, when it is heard on a downbeat preceded by a sixteenth-note rest.

[190] John Backus quoted in Thomas Bergeron, "Saxophone Multiphonics: A Scalar Model" (DMA diss., University of Oregon, 1989), 55.

[191] Lauba's decision to omit time signatures in this section is may be an attempt to avoid an overload of information for the performer. Performers must interpret time signature implications from the use of barlines and beaming of 16th and 8th notes.



Example 6-2. Lauba, *Worksong*, measures 16–23. Metric distortion in measures 18 and 20 (truncation), and measures 21 and 23 (appendation).



Example 6-3. Lauba, *Worksong*, measures 59–77.

With the introduction of two genres in the beginning, jazz/blues is prioritized in this section, but is distorted until a breaking point in measure 77 (see Example 6-3) when the weight of the downbeat is lost in an altered dominant flourish first heard in measure 12 (see Example 6-1). Because of the use of the altered dominant motive taken from the introduction in measure 77, persistence of the virtual agent can be recognized despite the completely new material in this section. Like the introduction, the virtual agent constantly desires tonal and rhythmic stability. Distortions occur from "outside" the agent—the beginning, with its quasi-recitative character and reference to *Balafon*[192] signifies interiority and reflectivity, while more insistent articulations (tenutos, staccatos) and clearer presentation of style (due to the obsessive nature of the A7 extemporations and oscillation between E7alt and A7) present an agent wishing to express itself to some "other." Perhaps this "other" refuses initial expression, resulting in distortions which culminate in the intense harmonic pull towards A in measure 77, accompanied by a subito *forte* gesture "missing" the downbeat. Like the introduction, this happens after an appearance and subsequent avoidance of B♭, this time strengthened by its overall length and use of multiphonics.[193] Distortions become a part of the musical fabric through this section's course, and thus a sense of virtual subjectivity is established until the interruption in measure 77, foreshadowed by the untimely return of the nagging B♭. This virtual subjectivity returns in the proceeding "stream of consciousness" style section, free of metric punctuations and distortions thereof.

The following section from measures 78–92 introduces the stream of consciousness (SOC) of an interiorized virtual subjectivity in constant motion uninterrupted by cadential

[192] *Balafon* is Lauba's first published concert etude and contains similar melodic contours and pitch collections in its introduction.
[193] The multiphonics used in measures 64 and 67 are clear dyads unlike the less perceptible pitches in those found in e.g. measure 75.

punctuations, longer rhythmic durations on notes of stability, and silence. Like the introduction, the mixture strategy employed in this section is coexistence, but the character of the virtual subjectivity differs from the preceding sections in that rhythmic and tonal logic are eschewed for a more accurate representation of the virtual agent's thought process. While the introduction is similar to the hybrid virtual agent's internal monologue by "mirror[ing] all the half thoughts, impressions, and associations" that enter the agent's consciousness, this section is not "restricted to an organized presentation of the [agent's] rational thoughts" and is thus more accurately termed a stream of consciousness.[194] The virtual agent's identity persists through the use of returning motives, further strengthening a concert music, stylistic use of motive which was comparatively muted in the introduction. Importantly, motivic transformation is applied to motives which previously acted as signifiers of the *other* style, strengthening the degree of coexistence and blurring once more clearly demarcated boundaries within the virtual agent.

Two important motives are presented in their original form and in transformation throughout this section: a three-note descending motive first presented as A, F♯, E (later slightly modified to G, F♯, E fitting stylistic and harmonic convention over the A7 harmony in the previous section) and a two-note dropping third from C to A. These motives are unified in their contour and direction to notes of stability ($\hat{1}$ and $\hat{5}$) in the key of A. Chordal skips presenting a middle voice are also sometimes interpolated between some of the notes (these middle voice interpolations are made more apparent by their equal duration throughout section C).

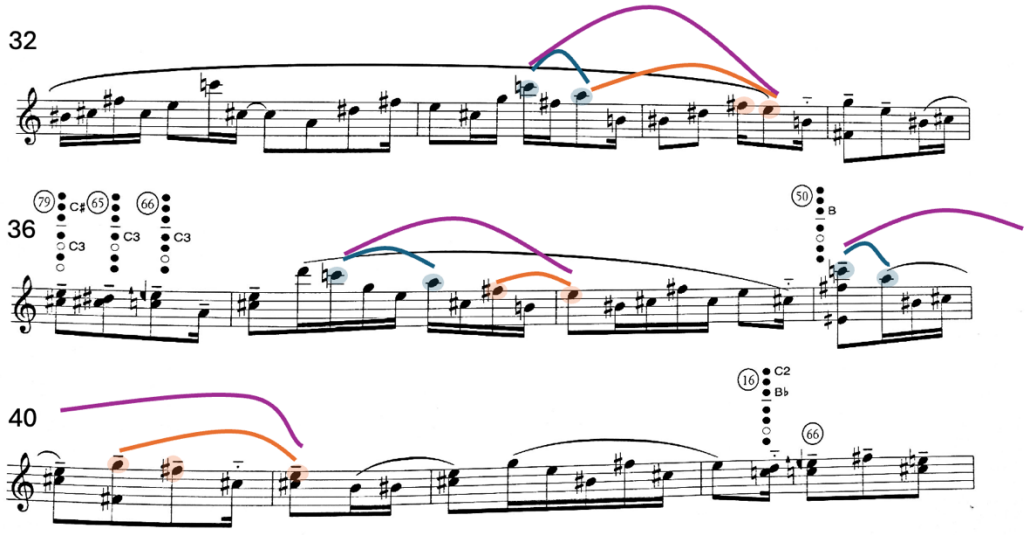
The three-note motive first appears in measure 1, with a C♯ middle voice appearing between A and F♯. An early transformation also occurs in measures 7 and 8 with a three-note descent between D, C, and A, including an interpolated middle-voice E between D and C. The

[194] The Editors of Encyclopaedia Brittanica, "Internal Monologue," *Encyclopaedia Brittanica*, June 5, 2020, https://www.britannica.com/art/interior-monologue.

upper voice notes both form (025) and descend to notes of stability in A (see Example 6-1 above). The second transformation is also related to the dropping third from C to A. In the section B, this three-note descending motive transforms to G, F#, and E in measure 17 (see Example 6-2 above), and appears throughout the section in its original and modified form within and between measures, highlighting E's stability through its occurrence on downbeats. Large-scale structural presentations of this motive become increasingly important as the motive interacts with metric distortion and occurs over longer durations than its first presentation. In the SOC section, these large-scale structures are compressed and occur more rapidly in their original pitch and in new transformations.

The two-note dropping third motive first appears as G and E in measure 3, then C and A in measure 4, related by their descent to a note of stability. As mentioned above, the motive occurs as C to A an octave higher in measures 7 and 8, preceded by an upper neighbor D. This motive is also thematized more generally as a descending minor third with the A to F♯ figures, but these instances are a departure from the stability of A. In the second section, the C to A dropping third is first clearly presented in measure 27, with an interpolated middle-voice E. A departs to F♯, suggesting a chaining of the two motives before returning to C once again and completing this chain. Further use of motivic chaining (with the three-note motive always

proceeding from the two-note motive in a large-scale minor sixth descent from C to E) occurs in e.g. mm. 33, 37–38, 39–40 as the distorted second section progresses (see Example 6-4 below).



Example 6-4. Lauba, *Worksong*, measures 32–43. Motivic chaining shown by colored slurs.

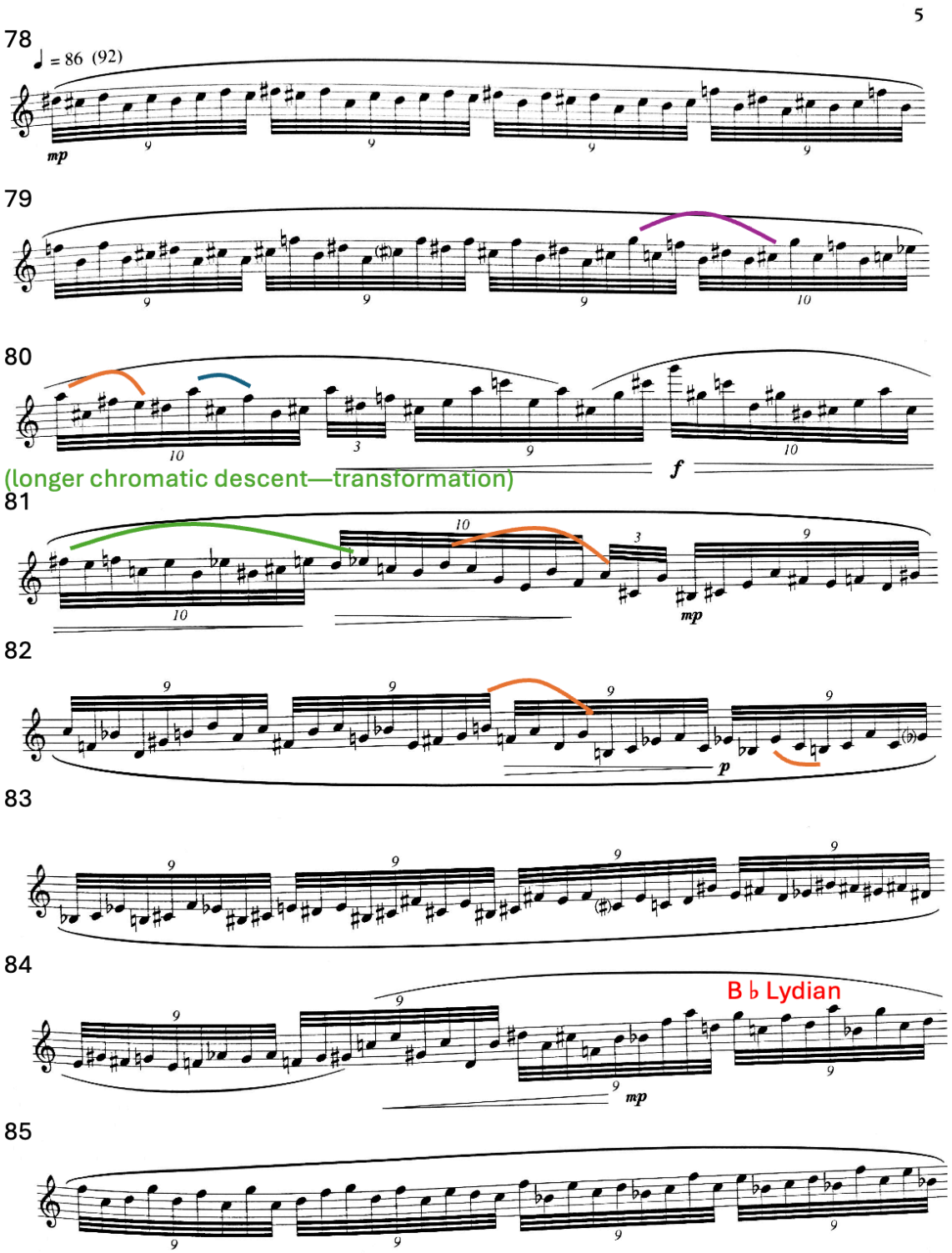
The first two sections' presentation and development of motives (derived from harmonic and melodic devices associated with a blues/jazz genre field) establishes the virtual agent's identity and sets the foundation for the emergence of a virtual subjectivity out of the agent's SOC. This identity and the ensuing emergent virtual subjectivity are stylistically hybrid and not necessarily governed by the stylistic rules of one genre over the other, a fact that becomes clear when rhythmic forces are stripped away and motivic transformations occur more densely in section C.

Because of the, albeit distorted, blues/jazz genre in the second section, the beginning of the SOC section with its whole-tone vocabulary in the first two lines marks a juxtaposition clash between the two styles which emerge one line later as coexistent. The three-note descending motive is transformed into a whole-tone subset, F, D♯, and C♯ at the end of this first line. It then

appears transposed as G, F, and D♯, rising in intensity before its highest note finally reaches A, at which point the A, F♯, and E motive is presented in its original form with a C♯ middle voice interpolation. This presentation retains elements of the whole-tone transformation, with incomplete lower neighbors from E to D♯ and lowering of F♯ to F♮ while preserving the original contour of the three-note motive (transformed to A, F♮, and E). The two-note motive appears a few notes later, interpolated with an E middle-voice note. Through all of these transformations, the virtual agent retains its identity through A's pitch centricity, but this does not last.

Denser motivic transformation departs from the tonic of A after simultaneous registral expansion (with a leap to G6) and a crescendo to *forte* at the end of measure 80. This marked moment, despite no change in rhythm, signals a "faster" train of thought in the virtual subjectivity's SOC by densifying motivic transformation and abandoning the tonic that was so strongly projected in the earlier sections.[195] Thus, the leap to G6 is an internal "crisis" moment for the virtual agent, who falls deeper in pitch space while shifting in and out of the key center of A until murmuring in the lowest part of the saxophone's range by the end of measure 81. Motives are transformed by changing pitch relations while preserving each motive's general contour, placing them in an imagined lower voice, and by chaining them together (at which the boundaries between motives become blurred). See the annotations of Example 6-5 below to see how some of these occur in the music.

[195] There are changes between subdivisions of 9 and 10 in one beat (as well as 3 in one sixteenth-note), but these are either durationally too close to another (especially at the marked tempo) to be noticeable or played at the exact same speed in practice.



Example 6-5. Lauba, *Worksong*, measures 78–85. Not all motivic transformations are shown. Those in measure 81 and 82 are included to show transposition.

Rapid and dense motivic transformation accelerates the "crisis" (leap to G and crescendo to *forte*) initially expressed in the music's virtual subjectivity in measure 80. In the introduction, the agent's internal monologue was more rational and ordered—each thought had a logical progression and was punctuated with different rhythm durations and pauses on notes of stability. The music in the SOC is highly dynamic (in motion and volume) and does not allow for any pause or reflection except for a respite of tonal stasis in measures 84–87, where B♭ Lydian is established, marking the return of a foregrounded B♭ pitch class. The B♭ Lydian vocabulary between measures 84–87 is highly marked; the mode contains a narrower set of meanings than the previously established hybrid agent (open to a plethora of meanings because of its hybrid nature).[196] Its emotional markedness comes from its relative stasis in the highly dynamic SOC, occurring after a slow rise in pitch out of the depths of the earlier "crisis" moment. By its use as a tonal center, the B♭ which so profoundly upset the agent before is also foregrounded. However, the agent chooses a different strategy to move on from B♭ than before, choosing to integrate it within its SOC for an extended period of time rather than avoiding, suggesting a reflective subjectivity which can confront past conflicts and grow from them.

Moving on from the B♭ pitch center, the section ends with a *forte* statement full of motives taken from the blues/jazz genre field with A as tonic (measures 89–92), ultimately ending with the E7alt-derived motives from the previous two sections. This return to motives fully-established in A is akin to the "thematic and textural plenitude" which "merge into a complex subjectivity that is experiencing something akin to bliss" which Hatten identifies in a Mozart piano sonata movement.[197] Such a return is marked in opposition to the B♭ Lydian

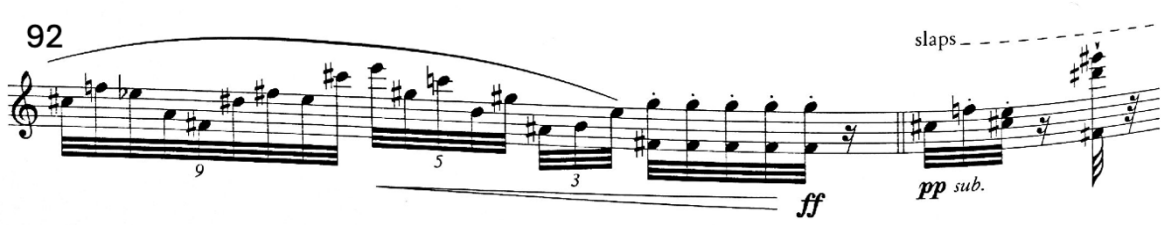
[196] Robert S. Hatten, *Musical Meaning in Beethoven*, 36.
[197] Robert S. Hatten, *A Theory of Virtual Agency for Western Art Music*, 110.

section which preceded it: by recalling past motives which fashioned the musical fabric of coexistence in the introduction, the agent "finds itself" again. However, a change has happened to the agent during this section. By integrating past conflict into its SOC, the agent emerges with a more defined role by opposition to an outside opposing force, fulfilling Hatten's inferences under "fictionalizing a virtual actor" such as Contrast, Interaction, and Identification.[198] In this case, identification of the hybrid agent established in the previous two sections as the *central* agent emerges from opposition and integration within a larger SOC governed by motives (transformed and at the same pitch level), ending with the altered dominant motive which served as the height of emotional expressivity two times before (in measures 12 and 77).

The following section from measures 93–100 is the most etude-like section of the piece. Here, the music self-identifies as an etude by including difficult passages that demonstrate the techniques, mastery of side keys and register breaks, Lauba has termed the piece to improve (see Example 6-6 below for the beginning of this section). Until this point, side keys and register breaks were used in a limited and slower capacity in a way that foregrounds motives. This is similar to the way that Chopin derives motives from specific piano techniques which articulate the musical discourse of each etude.[199] However, these are interspersed and not nearly as dense as the way that Chopin uses technique to create an etude and "perform" the genre of the concert etude. Had the paratext not indicated what techniques *Worksong* was written to address, it is unlikely that their earlier use would have drawn any attention. Prior to this section, demarcation of the concert etude genre occurs closer to Liszt and Ligeti's manners, that is, using certain techniques interspersed throughout a more generally difficult musical discourse which utilizes

[198] Ibid, 22.
[199] See the "Genre" section of this document (Chapter 3, 38–39).

other extended techniques.[200] By drawing attention to technical aspects of the music, the virtual agent's continuity and its surrounding virtual environment are momentarily abandoned, and focus is suddenly concentrated on the performer as agent. The agency of the performer is further foregrounded through the physical actions necessary to perform this section (explained below). By giving prominence to the performer as agent, who affects the audience through the material resource of the saxophone, this section is aligned heavily with earlier etudes like those by Chopin, which rely heavily on instrumental gestures "pursuing [their] own logic" to create an experience of music for the performer and audience (agent and patient).[201]

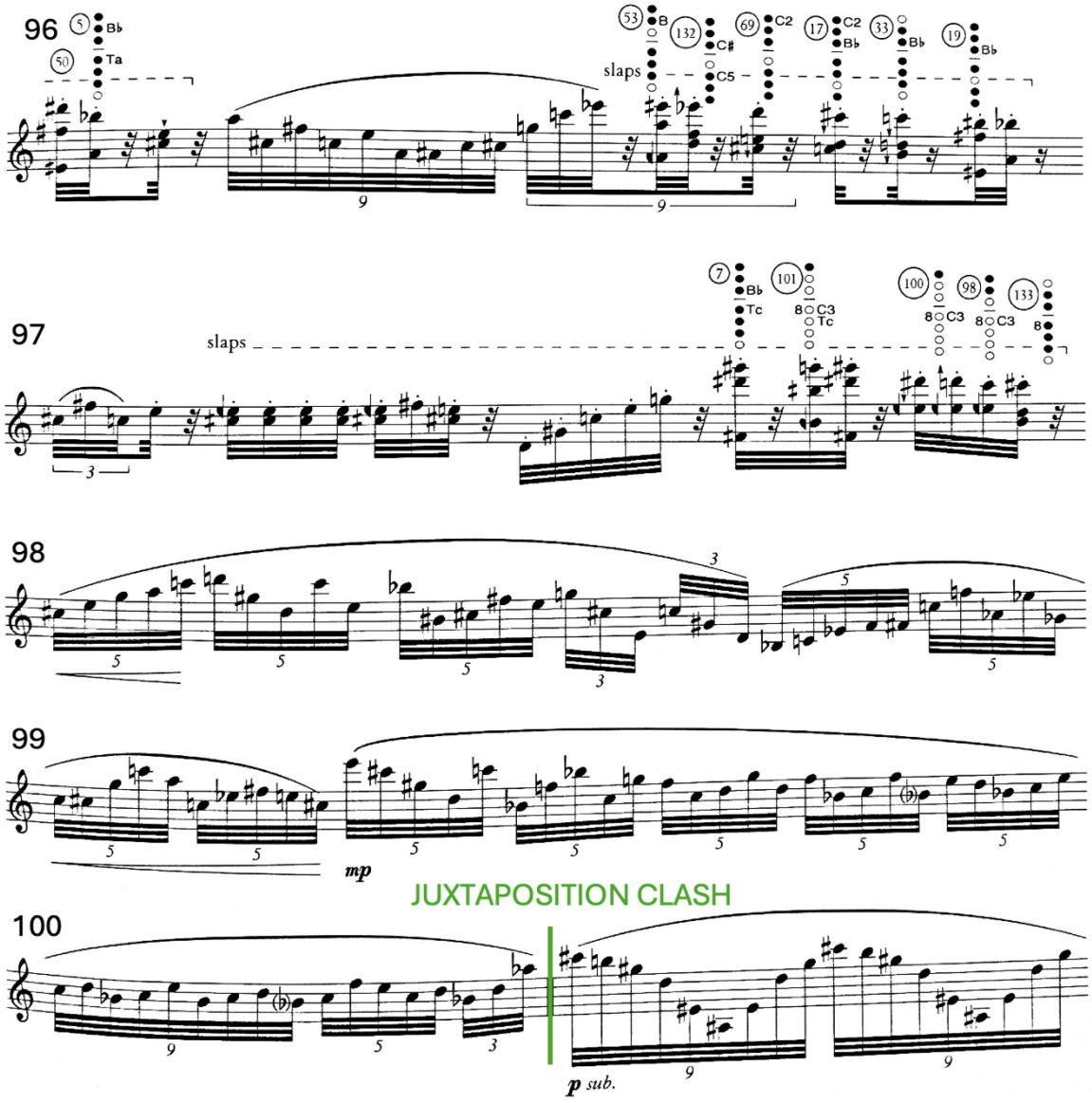


Example 6-6. Lauba, *Worksong*, measures 92 and 93.

This section uses motives found in the previous sections, but they are interrupted by short silences and frenetically oscillate between slap-tongued, normally articulated, and slurred passages. Many of the multiphonics in this passage require side keys (recalling the works' paratext), and some of them require the performer to move their right thumb from behind the thumb hook to the side of the saxophone to depress them. Such physical action draws more attention to the physicality of performance rather than the sustained virtual agent in the musical discourse. The musical discourse in effect is fractured in this section—previous motives appear in original and transformed versions throughout the section (most notably in slurred passages),

[200] In *Worksong*, these include circular breathing, subtone, and multiphonics at various dynamics.
[201] Montague, Instrumental Gesture in Chopin's Étude in A-Flat Major, Op. 25, No. 1."

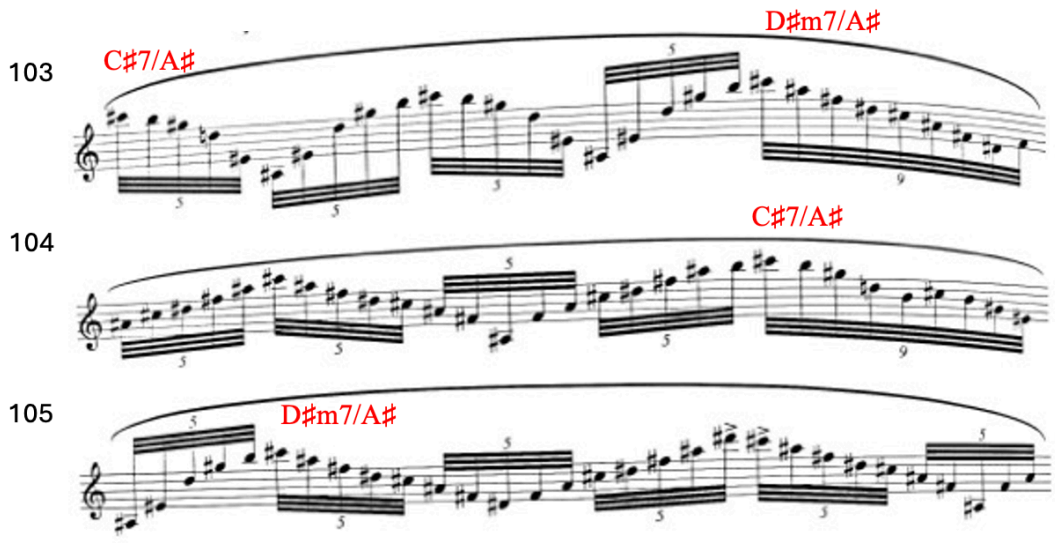
but tonal stability is effaced through microtonal multiphonics which distort the tonal center and decontextualized motives which recall A's pitch centricity, but do not firmly reestablish it as such (e.g. the slurred passage in measure 96). Furthermore, the "internal monologue" style of writing which dominated the previous sections vanishes in this section, instead exhibiting an outer conflict with the agent (and introducing the *real*, i.e. not virtual, agency of the performer). The SOC style returns in measure 98 emerging from the detritus of the outer conflict, but is not fully brought to the inner mind of the music's virtual subjectivity until measure 101 with a juxtaposition clash between styles. This clash is preceded by a return of B♭ Lydian material from the SOC section, which is then transferred to a lower voice in measure 101 (see Example 6-7 below). By once more foregrounding virtual actorial conflict, an identifiable virtual subjectivity returns through integration, rather than avoidance, of B♭ into the agent's discourse.



Example 6-7. Lauba, *Worksong*, measures 96–101.

The next section between measures 101–141 marks the return of the music's inner virtual subjectivity, separated by a juxtaposition clash. Both overt stylistic reference and tonicity have returned, but they are radically altered from the previous sections. The sweeping and seemingly never-ending arpeggios in this section recall the use of guitar sweep picking in metal/rock music, a similarly virtuosic genre as the etude, particularly in its guitar playing. Metal/rock are also

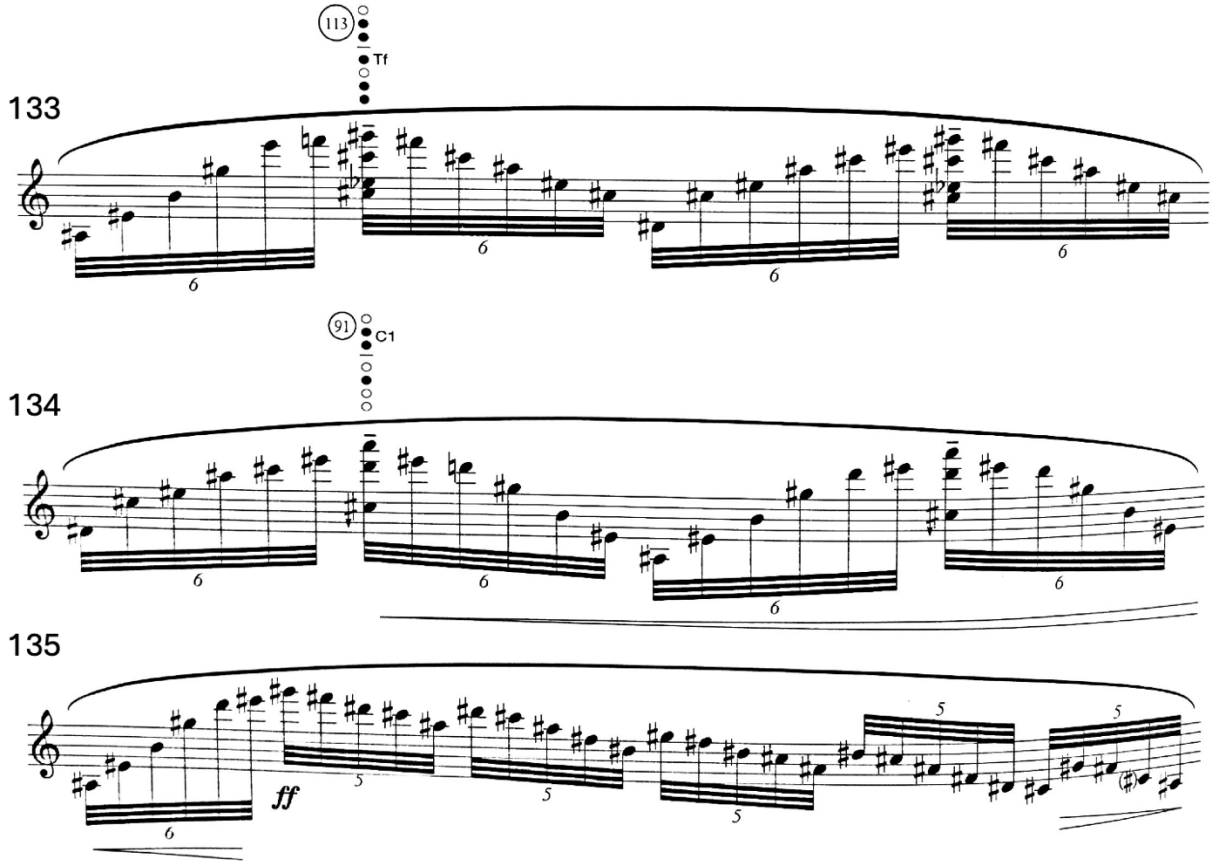
distantly related to blues music (their common ancestor). The 6-sharp diatonic collection is present, but the tonal center is ambiguous: the harmonies oscillate between C♯7♭9/A♯ and D♯m7/A♯. The former chord suggests both F♯ (because of the strength of the tendency tones E♯, B, and D) and D♯ (because of the A♯ bass note which ascends to D♯ in the next harmony) as a tonic. The tendency tones do resolve to their expected notes (F♯, A♯, and C♯), but the addition of D♯ in the low range undermines this resolution. Through all this, A♯ remains ever present as a bass pedal, signifying a return of the nagging B♭ (spelled enharmonically) from before (see Example 6-8 below). The effect is the return of the virtual subjectivity from before, constantly striving to achieve resolution (and thus stability as the virtual agent had striven for in previous sections), but shrouded with uncertainty as each resolution is undercut and A♯'s looming presence lurks beneath the surface.



Example 6-8. Lauba, *Worksong*, measures 103–105 with harmonies (chord extensions omitted for clarity).

Several rhythmic effects also undercut resolutions between the two harmonies in this section. The initial C♯ arpeggio's boundaries are asymmetrically stated: C♯ occurs at the beginning of each beat evenly subdivided into nine notes, but the A♯ bass note occurs on the 6th note in each grouping. A similar effect occurs in measure 103 when C♯ and A♯ occur on beats in the C♯7/A♯ harmony, but the D♯ root note of the next harmony occurs on the eighth note of a nonuplet (see Example 6-8 above). This effect can be related to the stylistic and virtual agential impulses of the music: the lack of rhythmic gravity alludes to a metal/rock guitarist "noodling" while sweep picking, and the virtual subjectivity of the music is at this point unstable and questioning in the domains of rhythm and tonality (as discussed above).

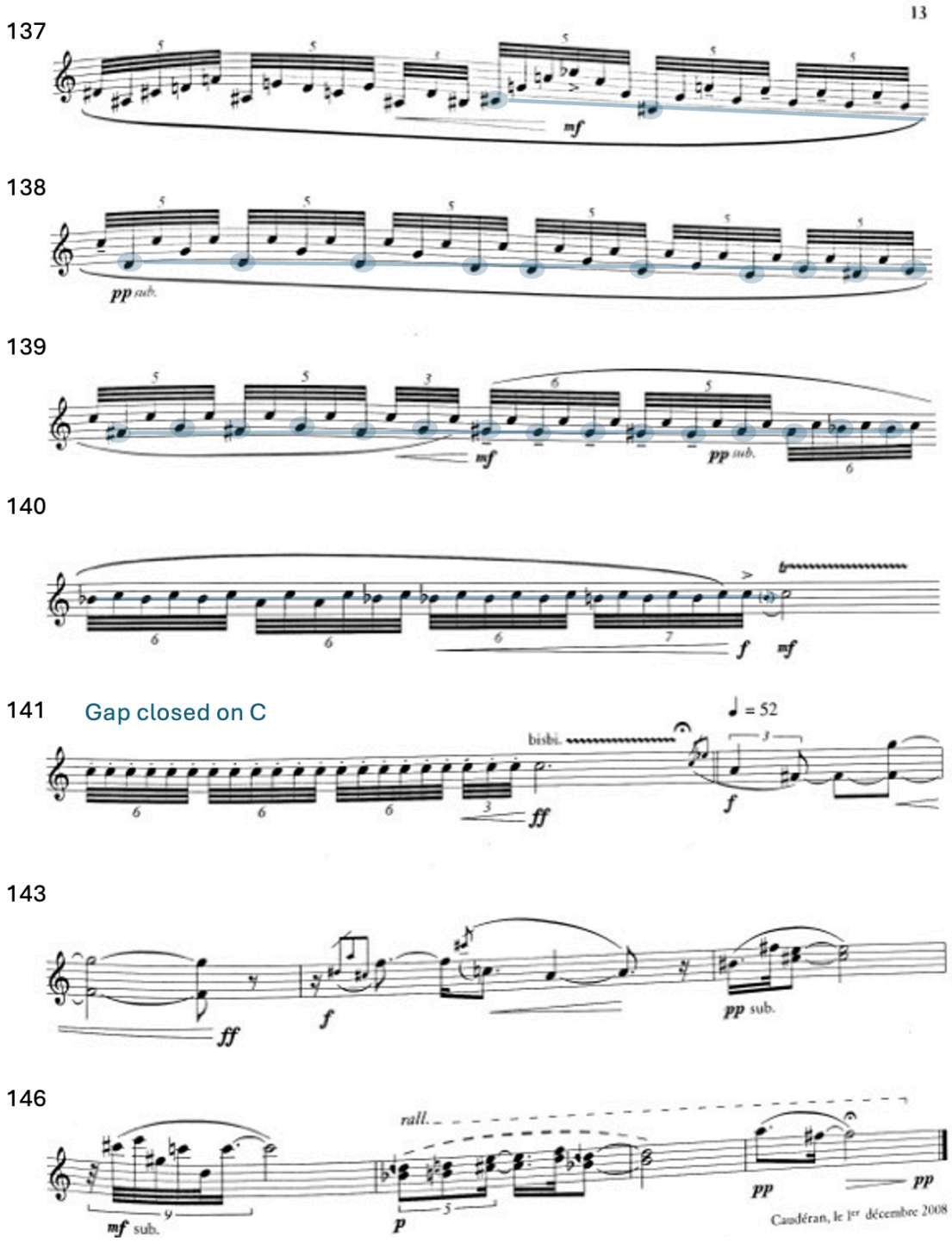
Rhythmic stability occurs in measures 121–123 before another brief "break" of the rhythmic pattern in measure 124. Once multiphonics are introduced in measure 127, rhythm remains relatively stable until liquidation of the motive at the end of measure 135. The virtual agent's identity persists through its unending desire for stability in both rhythm and harmony. In this case, rhythmic stability, which was notably distorted in the second section, is yearned for and eventually achieved, before being lost in measure 136. With this rhythmic stability, the oscillation between harmonies becomes clearer, but added multiphonics every two beats add an element of distortion. This distortion, however, is simply a sonic distortion, not a stylistic distortion, since the presented style is related to rock, and perhaps neoclassical metal by this point. The distortion from multiphonics is an intensifying effect as the upper line reaches its zenith on A in measure 134 (see Example 6-9 below).



Example 6-9. Lauba, *Worksong*, measures 133–135.

The virtual subjectivity in this section is one of increasing intensity and euphoria in rhythmic stability, range (eventually spanning nearly three octaves within a beat in measure 134), and harmony (through the added notes in the multiphonics). In measure 135, the virtual agent is wrenched out of its euphoria as the upper line collapses to G# instead of continuing its willed ascent to A#. Here, the virtual agent is correcting its past avoidance of A# (then spelled as B♭), but this effort is met with failure in the first quintuplet group of measure 135. Because this section identifies with the internal monologue of the agent, this suggests an internal crisis, which is followed by F# major pentatonic liquidation down to the lowest notes of the saxophone, murmuring at *pianissimo*. There is a short stylistic trajectory out of the rock/metal genre field

from measures 135–137. It begins with a pentatonic figure whose contour follows the notated rhythmic groupings. The contour then becomes unpredictable and simultaneously expands to include E#, distancing itself from the established genre field (signified by pentatonicism) before eventually discarding the F# collection altogether in measure 137. The section from measures 137–142 is a direct reaction to what occurred before, signifying a reflective virtual subjectivity. Notably, this reflection from measures 137–142 differs in genre, pitch collection (which had previously been tied to genre), and intention than measures 101–136 (the stylistically overt rock/metal section). While the former section concluded with an ever-increasing expansion of range, the latter settles on an ambitus of a minor seventh, which slowly contracts from the bottom until the top pitch, C5, is centered (see Example 6-10 below). The trajectory in this section happens suddenly, but it is notably a result of the virtual subjectivity's reflective properties and a reaction by the virtual agent.



Example 6-10. Lauba, *Worksong*, last page. Rising lower line is highlighted in blue.

The concluding section from measures 142–148 is a recapitulation of musical themes from the introduction beginning at a much higher dynamic level and encompassing a much greater dynamic range, from *pianissimo* to *fortissimo*. The primary melodic device used is the hanging and dropping third (hanging thirds found in measures 142 and 148, dropping thirds in measures 144 and 147). However, these are used abstractly and are largely divorced from their blues/jazz context like they were used in the beginning. Apart from the four times previously-stated altered dominant motive in measure 146, which, through its thematization, took on the role of a sign signifying strong desire, there are no harmonic devices to suggest a "high" style of blues/jazz like there was in the introduction. Practically each measure is its own melodic statement punctuated by short rests. The fragmented musical discourse draws attention back to the virtual agent, expressing itself lyrically and reflecting on its past statements with greater complexity as signified by the differing dynamics. Stability is suggested in measure 144 and 145 with a dropping third to A and an enclosure to C# and E, but is ultimately abandoned by the end of the piece, when the dropping third to F# is never resolved to A.

The ending is largely a coexistence between the two genres from earlier, albeit more abstract than before: motives taken from the blues/jazz genre field are presented in a more disjunct manner and altered to obscure the tonic stability of A. However, by recalling past motives which emphasized (or yearned for, e.g. measure 146) stability, the coexistent effect is still produced by the persistence of the virtual agent throughout the piece. Their identity persists, but their character is altered by the strength of dynamics and punctuations of silence. The virtual agent in this case reflects on all that happened before: the desire for stability, never truly achieved and reaching its climax in measure 134 before suffering a fatal misstep, which is psychologically accounted for by a contraction of range and the integration of B♭/A#. The final

motivic statement is a deliberate negation of overall stability. In the end, the virtual subjectivity is commenting on itself: style and genre are used for the means of enhanced virtuosic expression, not as a device for symmetry and coherence. Hybridity, or the hybrid virtual agent, asserts its existence in the closing section through musical utterances punctuated by rhetorical breaks. Its logic can eventually be recognized not by one of achieving stability (signified by the lack of cadential closure back to A in measure 149), but by its determined persistence in the absence of it.

Flamenco

While still conforming to previously established naming conventions for concert etudes and the use of a subtitle, *Flamenco* differs slightly from *Worksong* in its paratextual framing. The etude's name is evocative, but this effect is achieved through the deliberate naming of a style rather than a name which evokes a generic field (e.g. jazz/blues) and a human action (work). This is in part because the name "flamenco" already suggests cultural associations, even to those not intimately familiar with it: passion, rawness, and the exotic. However, those cultural associations are not totally accurate, which Lauba exploits through a deconstruction of flamenco in the work. Unlike *Worksong*, *Flamenco* is not "for" the cultivation of a particular technique, but according to its subtitle, is a "Grand etude in the Andalusian mode with percussions parameters." Described as "grand," the etude is different from a typical etude (composed for the cultivation of technique) and less performer-centric. Here, Lauba shifts from the Chopinian practice of writing performer-centric music to the domain of Liszt, who exploits the virtuosity of the performer to express something greater than the performer. However, characteristics of the performer-centric concert etude appear throughout the work, leading to oppositions between the mechanical and the expressive—the practiced and the improvised. The two primary genres found in the etude (flamenco and post-tonal concert etude) are bounded at opposite ends of the piece in "stylistically authentic" representations (that is, representations with little extraneous features from other styles). The overall mixture strategy of the piece is one large trajectory with many other strategies nested within. See the form chart below in Table 6-1 for an outline of the form and mixture strategies in *Flamenco*.

Table 6-1. *Flamenco* Form Chart

Section	A_1 (measures 1–7)	A_2 (measures 8–17)	B (measures 21–32)	C_1 (measures 32–38)	C_2 (measures 38–48)
Styles/Genres	Flamenco (dancer)	Flamenco (singer, dancer, guitarist)	Etude ("Balafon"), flamenco (all actors), tango/Spanish genre field	Flamenco (percussive effects, guitarist)	Flamenco (motivically related to singer, quasi-etude)
Mixture Strategies	None	Distortion (light; introduction of distorting motive)	Trajectory (Juxt. clash and coexistence nested)	Distortion (*compás*, rhythm)	Distortion (Andalusian mode; no rhythmic variance)
Overall Trajectory	SOURCE			PATH (beginning of increasing distortion process)	

Section	C_3 (measures 48–53)	D (measures 53–71)	E (measures 72–102)
Styles/Genres	Flamenco (vocalist, guitarist), etude	Etude ("Balafon")	Post-tonal concert etude
Mixture Strategies	Distortion, juxt. clash, return to distortion	None	None
Overall Trajectory			GOAL

The status of musical hybridity in *Flamenco* is provocative because flamenco is itself a hybrid musical genre in the traditional sense, combining aspects of Arab, European, and Romani music. Barbara Thompson traces the history of flamenco in the 20th century to its musical roots through the various cultures that occupied southern Spain at one time or another, including Celtic, Germanic, Arab, and Romani people. Thompson identifies several musical aspects of flamenco stemming from several different cultures such as modality (broadly Mediterranean), *hijaz* (Arab), free rhythm and limited register (Sicily), the "Andalusian cadence" (Byzantine church), and complex rhythms (Romani music).[202] All of these are found in *Flamenco*, but, like his other stylistically hybrid works, Lauba includes contemporary music styles and the concert etude genre. Certain attributes are foregrounded in accordance with which mixture strategy is being employed, and which virtual actors are present.

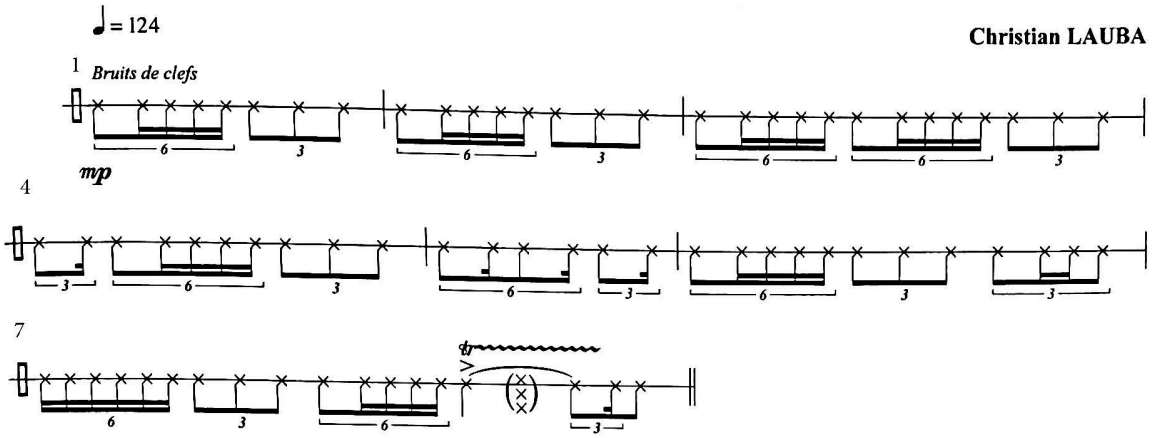
Flamenco music largely consists of three performer categories: the singer, guitarist, and dancer. Percussion is produced by the singers and dancers through heel-stamping, clapping, and finger-snapping (they might also play percussion instruments such as castanets). Because *Flamenco* is unaccompanied, these musical elements cannot sound concurrently like they would in a flamenco performance. Instead, Lauba deconstructs these musical layers and integrates them into the discourse of the music.[203] In the etude, actual human performers are virtualized as actors who have their own agency and interact with one another. This is achieved through gestural reference (the clicking of keys imitating castanets) and reference to non-monophonic pitched and unpitched saxophone sounds (the "chords" created by the multiphonics; the actual sound of key clicks imitating percussion). Such a referential process is like topics' abilities to

[202] Barbara Thompson, "Flamenco: A Tradition in Evolution," *The World of Music* 27, no. 3 (1985): 67–80.
[203] The original French subtitle includes "avec procédés de percussions intégrés au discours" (with percussion processes integrated into the discourse).

anthropomorphize agents according to their referent (e.g. "a sigh or *pianto* figure implies a sigher").[204] A virtual subjectivity arises through dialogical interaction of virtual actors, and their absence in certain portions of the piece (see Table 6-1 above) strengthen formal articulations and boundaries between styles and genres.

The first section's (measures 1–20) material is derived wholly from the flamenco style, presenting two virtual agents separated clearly between measures 1–7 and 8–20. The next major section (measures 21–31) is marked by a juxtaposition clash (explained below). The experience of virtual agency in the first section arises from associations with flamenco performance itself and two possible human (i.e. physical, not virtual) agents involved in its performance, the dancer/percussionist (henceforth "dancer") and the singer. References to physical agents are virtualized as independent actors with musical parameters which designate actions as willfully intended and stated with a freedom of expression unrestrained by meter—all of which are quasi-improvisatory characteristics.

[204] Hatten, *A Theory of Virtual Agency*, 65.

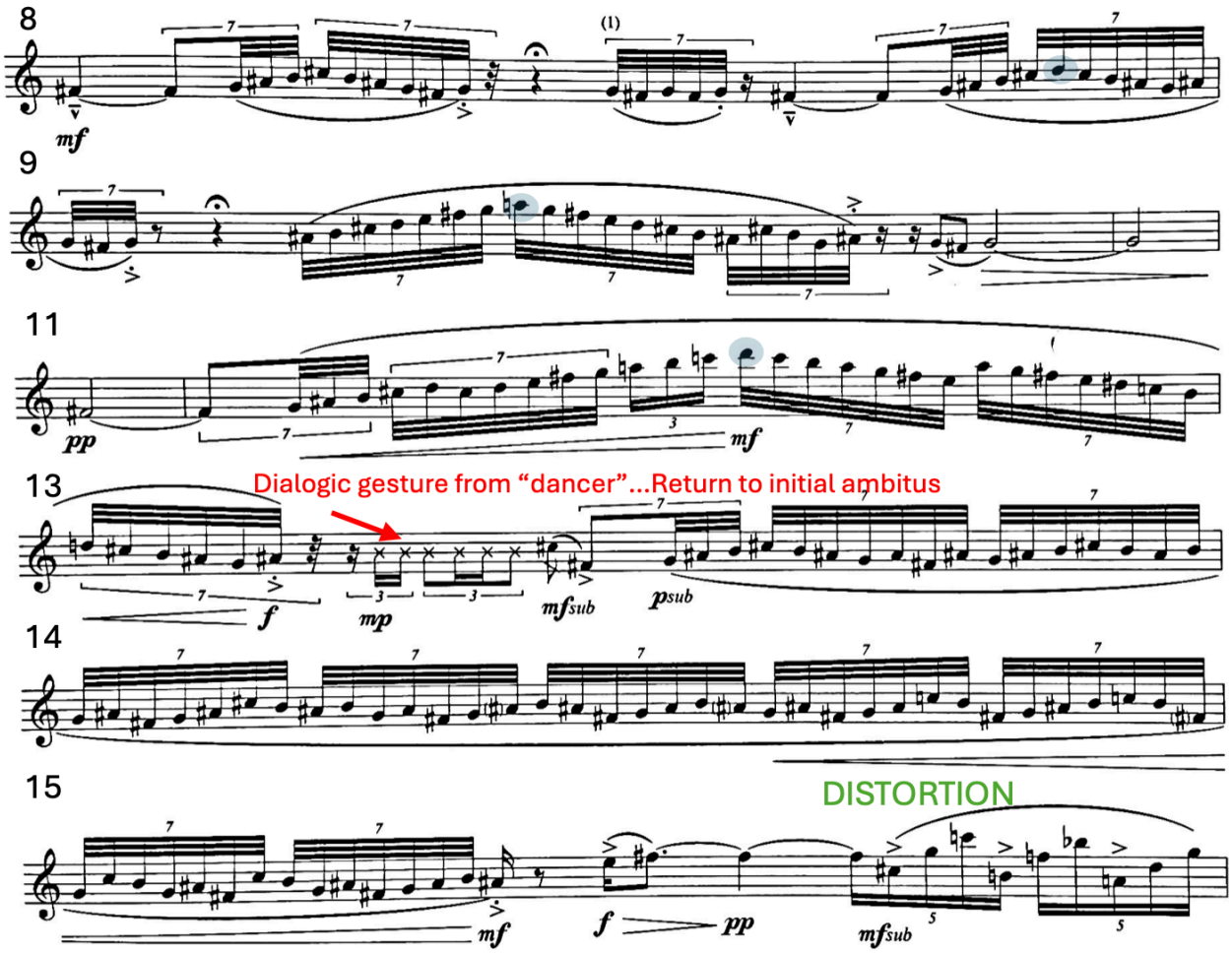


Example 6-11. Lauba, *Flamenco*, measures 1–7.

There are three notable oppositions that emerge through the juxtaposition of the two agents in this section —the mechanical/lyrical, the instrumental/vocal, and the pitched/unpitched. Virtual actors are initially differentiated by reference to physical performers whose agency is shaped by each agent's improvisatory character. The dancer is identified by a castanet-like figure (connected mimetically by the key clicking actions of the saxophonist) beginning in duple meter, but freely moving between $\frac{3}{4}$, $\frac{5}{8}$, and $\frac{5}{4}$ (see Example 6-11 above). There is no time signature written during this portion, but Lauba shows where metric weight should be placed through the insertion of bar lines. The shifting metric weights imply a free virtual agent unencumbered by restrictions of meter. While the virtual actor that follows is differentiated through pitch, its quasi-improvisatory free expression mirrors that of the prior agent. There are few bar lines in this subsection to determine metric weight, but accents and longer durations on structural pitches determine the phrase structure of this virtual agent's utterance. With a few exceptions, the second subsection is derived wholly from an F♯ "Andalusian mode" scale (also known as Phrygian dominant) with slight alteration. The "Andalusian cadence"—that is, ♭II (serving a dominant function in this style) to I—is featured heavily throughout this section and communicates

moments of tension and release; the singing agent (henceforth "singer") increases tension by prolonging the implied ♭II dominant chord at moments, solidifying its agency by resisting the musical forces of tonic closure.[205] The melodic structure largely conforms to vocal flamenco stylistic conventions through stepwise motion and an (initially) limited range of F♯4–C♯5. By measure 13, virtual agency, and perhaps an initial virtual subjectivity arising from the dialogue between actors, emerges from the willful intentions of its virtual actors within the stylistic constraints of flamenco: the limited range is expanded slightly to D5, then higher to A5, then once more even higher to D6. This final ascent corresponds with a crescendo to *mezzo-forte*. The first virtual actor has no choice but to respond to the continual heightening of emotion before the return to the more constrained range and lower dynamic a beat later (see Example 6-12 below).

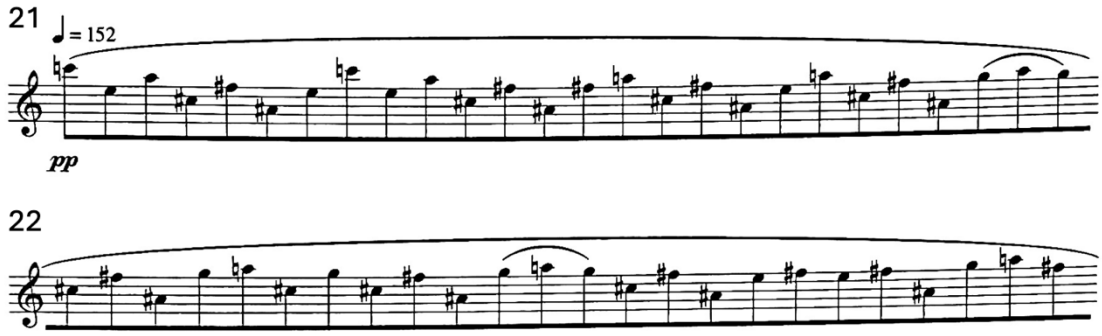
[205] Peter Manuel, "Flamenco in Focus: An Analysis of a Performance of *Soleares*," in *Analytical Studies in World Music*, ed. Michael Tenzer (New York: Oxford Scholarship Online 2010), 97.



Example 6-12. Lauba, *Flamenco*, measures 8–15.

Measure 15 introduces a stylistically distorting motive, the first moment of doubt or negativity in the singer. The primary stylistic distorting element of this gesture is the pitch content, but its rhythm and disjunct contour are also marked in opposition to the actor's previous gestures. Distortion of what was previously a stylistically-bounded (i.e. not hybrid) presentation of flamenco mark this motive. The gesture can be segmented into three subphrases indicated by accents: the first two are derived from set class 3-5 (016), and the third from set class 3-7 (025). Apart from the lowest note of the three figures, this gesture marks a departure from the

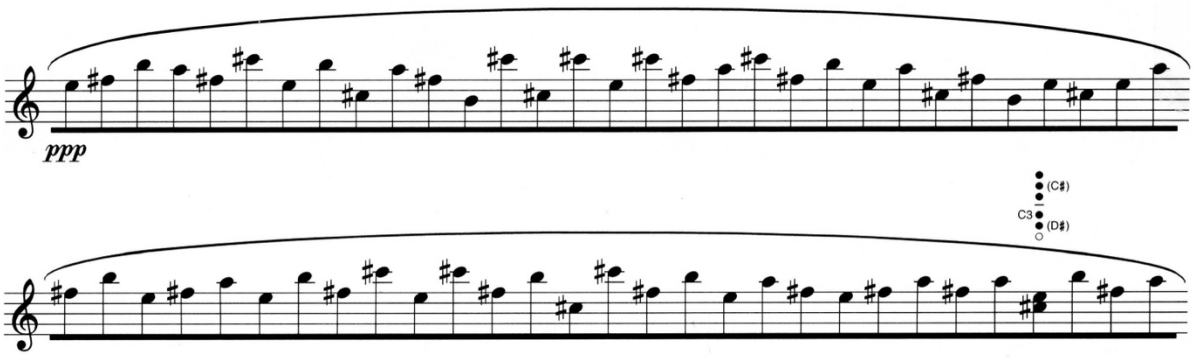
Andalusian mode and is the first instance of a mixture strategy in the piece. Virtual agential experiences aid in classifying this gesture as a distorting element. The interrupting gesture occurs immediately after a magnetically-charged resolution to F♯5 and decrescendo, the contour of the line is unlike that from before, leaping a descending minor ninth between C6-B4 and B♭5-A4, and the distorted gesture is nested within the overarching phrase structure, suggesting an internal conflict arising from within the virtual actor. This initially-distorting motive is integrated into a greater *melos* in the following section, representing greater engagement with the agent's internal conflict and a more fully-emergent virtual subjectivity. The section concludes with a multiphonic which, despite its sonic distortion, is not a stylistically distorting device, but the light closing strum of a flamenco guitarist who decorates their chords with upper structures.[206] This guitar-like tonic closure ends the section with greater finality by finally presenting all three possible physical agents of flamenco in section A. Such finality harshens the juxtaposition clash between sections A and B, additionally giving it the function of a formal articulation.



Example 6-13. Lauba, *Flamenco,* measures 21 and 22.

[206] Manuel, "Flamenco in Focus," 97.

Section B (measures 21–32) retains the F♯ tonic and some aspects of the Andalusian mode from before, but earlier flamenco characteristics, especially those heard in section A_2, are removed. The Andalusian mode (altered by the frequent appearance of ♭$\hat{5}$ and ♭$\hat{3}$) is treated only as a source for pitch content for the emotionally austere, etude-like beginning of section B. See Example 6-13 above for the beginning of section B. Here, the genre of the etude is overtly referenced by the rhythmic monotony and wide intervals which sound more like an interval exercise rather than a "Grand etude." These aspects and the use of the middle to upper register throughout this section also bear a striking resemblance to Lauba's first etude, *Balafon* (see Example 6-14), further characterizing the section as an etude by Lauba's self-reference to his first saxophone concert etude.



Example 6-14. Lauba, *Balafon*, top of page 2. The range and general contour are referenced in *Flamenco*.

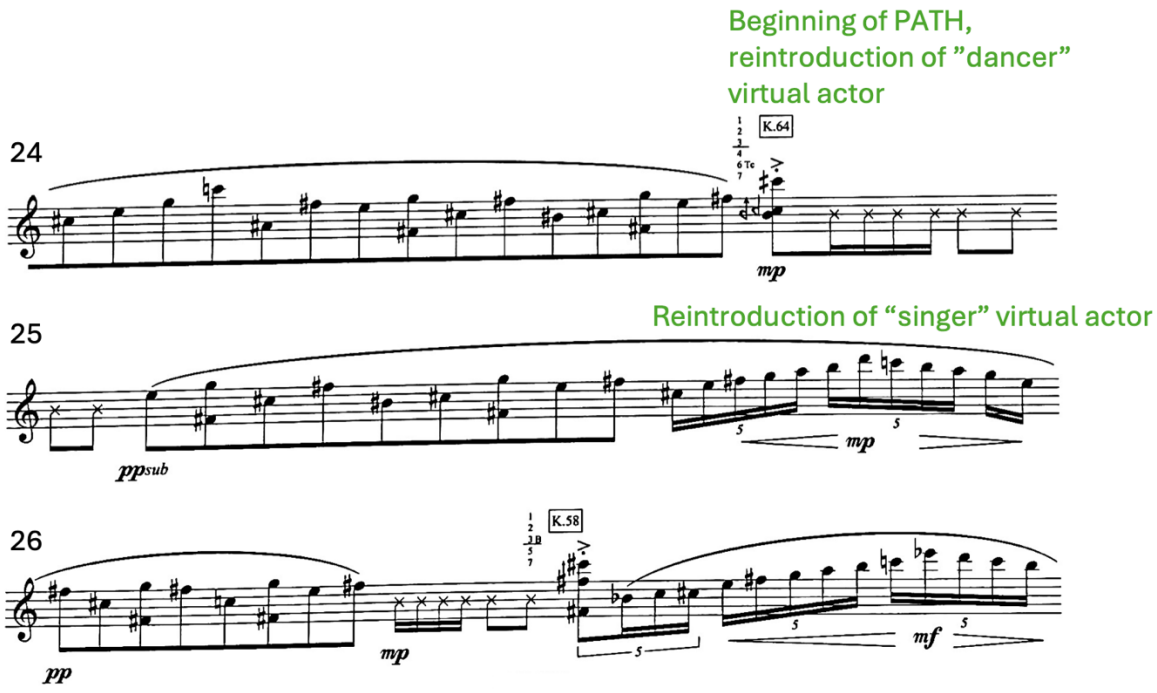
The clash between sections A and B is also reflected in the realm of virtual agency. Where section A had two clearly delineated primary virtual actors who expressed themselves in a quasi-improvisatory manner, the singular virtual agent at the beginning of section B is trapped by the gravity and magnetism of F♯, and the monotony of rhythm characterize this agent as apathetic in breaking free of its constraints. The expressively attenuated use of the F♯ Andalusian

mode connects this agent to the singer from before, but its expression has changed when constrained by the etude genre, trapped in a seemingly endless repetition of intervals with no wish to escape. This dulled sense of virtual agency is aided by the allusion to *Balafon* by referencing Lauba's past work as an actual individual by metonymy, similar to how Robert Schumann references Florestan as a virtual projection of at least one aspect of his personality in *Papillons*, Op. 2.[207] Self-reference as a composer of etudes specifically moves the music from the external, audience-centered emotional expressivity of the first section into an internal, sober, self-conscious recycling of material—the music becomes performer-centric in the manner of Chopin, drawing attention away from the virtual environment of the music toward the physical effort required to play the instrument. Taken out of context, measures 21–24 could come from several difficult interval exercises, perhaps one containing circular breathing challenges like *Balafon* (like how Chopin's etudes' musical discourses emerge from initial presentation of a specific piano technique). When section A's paratextual framing as a "Grand etude" is considered, the juxtaposition clash beginning section B, already harsh because of the difference in styles and their human referents, is made harsher by the clash between performer-centric and work-centric modes of expression *within* the concert etude genre.[208] The overt expression of the etude *qua* etude constrains the virtual agency: willful intent is restricted as the performer leaps around the middle range of the saxophone, trapped in the technical minutiae of the instrument (by reference to a past etude) rather than freely expressing itself.

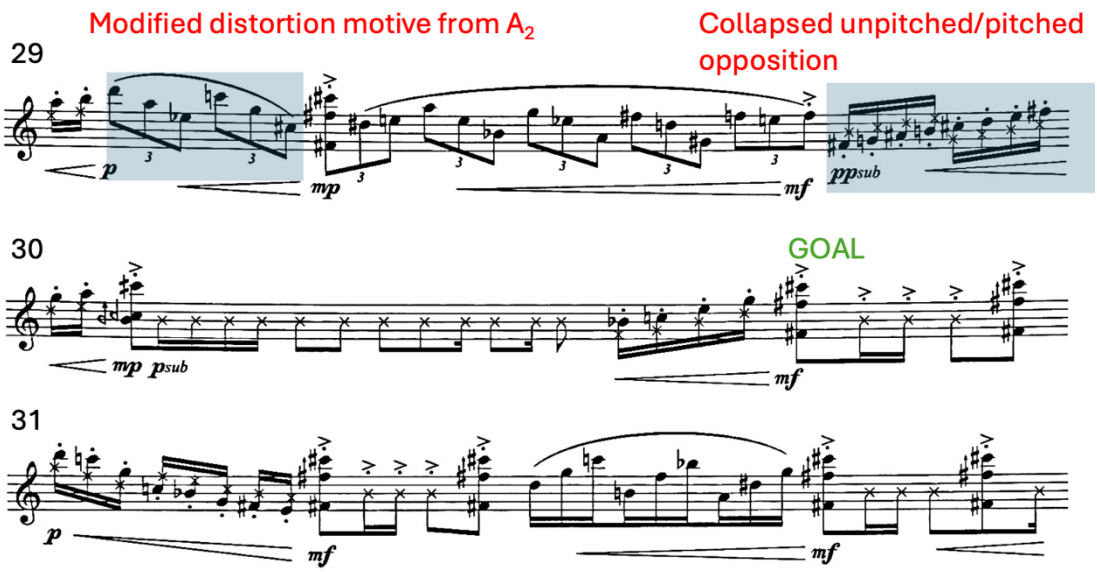
The entirety of section B is characterized by the mixture strategy of trajectory, a mixture strategy similar to Brower's SOURCE-PATH-GOAL schema. Section B begins with a performer-centric etude style (SOURCE). Virtual actors and stylistic elements from section A

[207] Hatten, *A Theory of Virtual Agency*, 89.
[208] This is an opposition first drawn between the works of Chopin and Liszt. See Chapter 2.

are gradually reintroduced (PATH). Ultimately, a highly rhythmic and percussive flamenco *melos* emerges in measure 30 which integrates the dancer and guitarist virtual actors, as well as the previous distortion motive reconfigured and recontextualized to fit in dialogue with these actors (GOAL). The virtualization of all three physical agents in a flamenco performance by the end of this trajectory suggests an emergent virtual subjectivity that is now, in the sense that all its clearly delineated agents have been introduced, "complete." Viewed this way, the music initiates with a *tabula rasa* by its reference to the past, and its lack of a traceable contour, metric weight, and previously heard motives and virtual actors. The only unifying aspect of these two sections is the tonic weight of F♯, which guides and intensifies the trajectory. Example 6-13 on page 125 shows the source of the trajectory; other key moments are provided below in Examples 6-15 and 6-16.



Example 6-15. Lauba, *Flamenco*, measures 24–26.



Example 6-16. Lauba, *Flamenco*, measures 29–31.

The first virtual actor is reintroduced at the end of measure 24 through rhythmic key clicks, occurring after the multiphonic (marked two dynamic levels higher at *mezzo-piano* with accent and staccato articulations that disrupt the flow of the "interval exercise" that the virtual agent reacts to as frustrations of repetition). The reintroduction of the first virtual actor is notable in its stylistic distortion of the "interval exercise's" repetitive flow; such marked distortion is the trajectory's initial transformative impulse. Nested distortions become more frequent and are thematized as dialogic gestures in measures 26 and 30, eventually integrating into the emergent *melos* of elements in measure 31. Flourishing gestures related to those in section A_2 return in measure 25, elongating in measure 26 in reaction to another interrupting multiphonic. But this multiphonic marks a pivotal moment in the trajectory due to its clear *emphasis* on the tonic F♯ (the heard notes are F♯4, and a quarter-tone inflected F♯5 and C♯5) instead of *distortion* like the previous multiphonic interruption. The clarity of this multiphonic as a tonic harmony and its

integration into the ever-present stream of eighth notes in measure 27 reintroduces another virtual actor: the guitarist providing rhythmic punctuation and harmonic support.

The initial distorting motive from the first section returns in measure 27 with an inverted contour (cells of three pitches descending instead of ascending), but through the trajectory's realization of flamenco, it is eventually incorporated into the *melos* in measure 31 with slight pitch alterations while retaining its original contour (see the sixteenth-note triplets in measure 31 in Example 6-16 above). Trajectory's path is destabilized by the distorting motive's reintroduction in measures 27–30 as it threatens to dismantle the path toward a fully-realized flamenco style. The melodic and tonal structure oscillates between F♯ Andalusian and non-tonal sometimes using set class 3-5 (016) (the Viennese trichord—an overt reference to post-tonal music). Another percussive element, the slap tongue, is introduced to reestablish F♯ as tonic at the end of measure 28, and its later appearances in this section achieve the same goal. The chaotic struggle between motives and pitch centricity reaches a breaking point in measure 30, where the interrupting multiphonic returns, leaving key clicks in its wake. As if in reaction to this interruption, the key clicks serve as an introductory framing gesture for the heightened emotion to follow (like its role in the beginning of the piece). The longer duration of key clicks allows the dancer more room for expression, implying cooperation between the actors and anticipating the realization of flamenco immediately afterwards. An integrated virtual subjectivity containing established virtual actors and motives emerges at the end of measure 30, where a $\frac{2}{4}$ meter is clearly articulated for the first time, and a 3+3+2 *tresillo* extends the flamenco style into a broader "Spanish" genre field. The virtual subjectivity in this brief passage is an integrated *melos* of recognizable virtual actors and motives which clearly state F♯ as tonic, establish a clear pulse, and recontextualize the distorting motive from earlier. Here, the combination of elements once

separated appear at once in a singular virtual subjectivity. Incorporation of the distorting motive, now stylistically characterized as post-tonal and reinterpreted as a means of expression *by* the virtual actors rather than a distortion of their language, brings forth coexistence between styles, coloring the subjectivity as positive and harmonious. Coexistence removes the clear boundaries between styles from before in an expression of a hybrid virtual subjectivity.

There are several stylistic and generic elements at play in the first two sections which align with the paratextual assertion that *Flamenco* is a "Grand etude." It begins with a pure flamenco style (with one minor distorting gesture) in which three virtual actors, representing the physical actors in a flamenco performance, are presented in a freely expressive, quasi-improvisatory style. In this section, virtuosity is not employed in the Lisztian sense (i.e. the performer "conquering" their instrument), but as a device which heightens emotional expressivity. The harsh juxtaposition clash between sections A and B abruptly removes the flamenco style and virtual actors tied to it, leaving only a performer-centric mechanical exercise whose pitch content is derived from the preceding section. The gradual reintroduction of virtual actors, flamenco stylistic elements, and a recontextualized distorting motive as part of a trajectory is essentially an intentional assertion of the "Grand etude" as such due to a virtualized human intention inherent in the SOURCE-PATH-GOAL schema of trajectory.

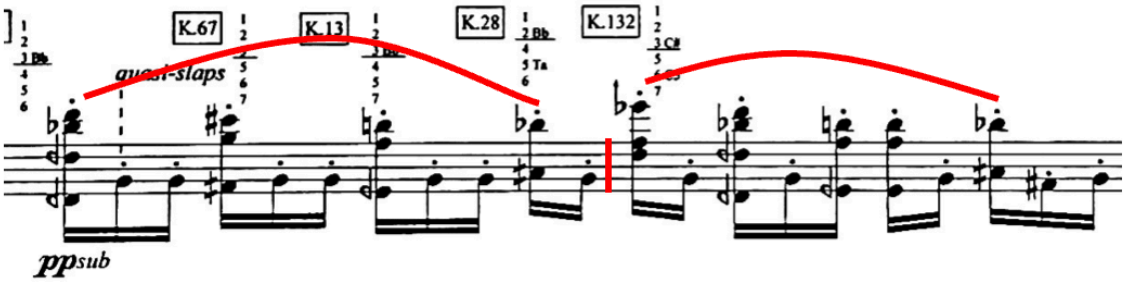
Section C (measures 32–53) exploits the musical forces of the Andalusian mode and the concept of *compás*, a crucial metric structural element of the flamenco style. Section C can be subdivided into measures 32–38, 38–48, and 48–53. The outer sections are percussive and rely on the manipulation of rhythm and meter. The inner section is rhythmically amorphous and contains manipulations of melodic motives that are initially derived from the Andalusian mode, which becomes less apparent as the pitch content is distorted. This entire section contains

distorted flamenco elements made apparent through the continuity of gestures personified as virtual agents and a virtual subjectivity established in the previous section. Section C also marks the beginning of the PATH portion of the entire etude's trajectory (see the form chart in Table 6-1 on page 119) to a fully post-tonal style: distortion of flamenco occurs at a greater rate than before, and more abstract elements such as the *compás* are foregrounded in place of virtualized actors standing in for physical (actual) flamenco performers. The distortion of pitch content begins the transition to a non-tonal melodic environment, while the distortion of rhythmic structure removes a crucial stylistic element of flamenco.

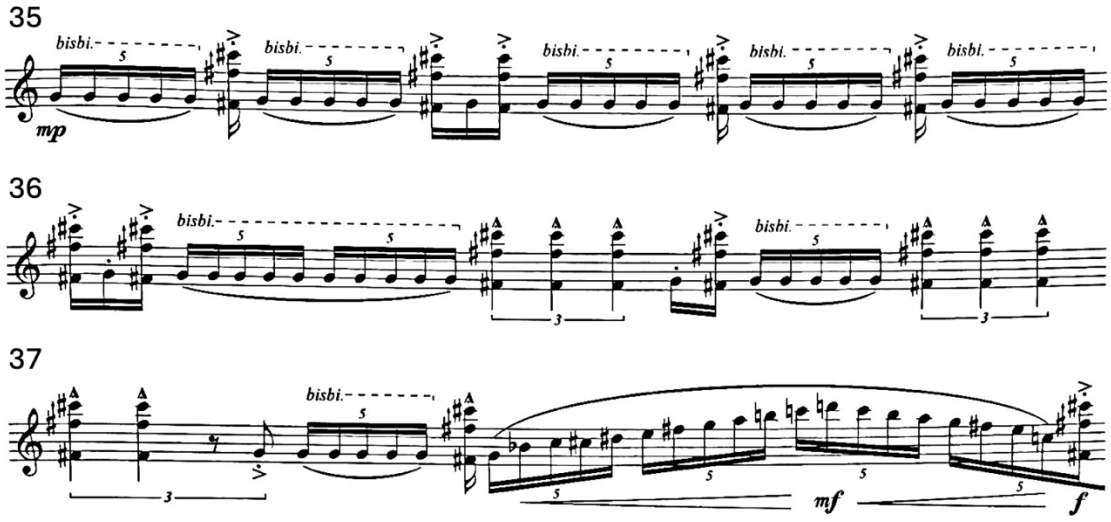
In flamenco, the meaning of *compás* (Spanish for "time") goes beyond its typical usage of the term in music. Like musical meters, it is a cycle of beat patterns. The cycle is divided into twelve beats; accents determine which *compás* is being heard. For example, the *soléa* has accents on beats three, six, eight, ten, and twelve. These accent patterns form two groups of three beats followed by three groups of two beats. In *Flamenco*, the repetition of each cycle is determined by the duration of the descent to A♯ (frequently spelled enharmonically as B♭) in the highest note of each multiphonic (see Example 6-17 below). The cycles are asymmetric and contain either ten or eleven sixteenth notes with groupings of two (or three) sixteenth notes used freely within. Because *compases* are also tied to the emotional content of flamenco songs, and that when "Flamencos talk about being *in compás*, it's more than just playing in time, it's about being in the right emotional place as well," the distortion of the *compases* in this third section can thus be heard as a distortion of emotion in some way, contrasting greatly with the emotionally expressive, stylistically coexistent virtual subjectivity established by the end of the trajectory in section B.[209] Because the *compás* is distorted within each cycle by truncating a sixteenth note or

[209] Emma Martinez, *Flamenco: All You Wanted to Know* (Pacific, MO: Mel Bay, 2003), 8.

a whole grouping, the emotional quality of the established virtual subjectivity changes from euphoria to anxiety, as the virtual agent is unable to complete an entire cycle. The shortening in each cycle increases throughout measures 34–36, and they are interpolated by *bisbigliandi* on G and F♯, which, occurring in groups of five, distort the rhythm on a more localized level and occasionally leave traces of distorting energy caused by the *bisbigliando*'s timbral distortion of a single pitch. This continuous compression culminates in the quarter-note triplets in measure 36, repetitions of multiphonics totally removed from a cycle. Rhythmic augmentation of the multiphonic to quarter-note triplets effaces the *compás* nearly entirely apart from the last desperate attempt after the first set of triplets. The distortion of stylistic features specific to flamenco (the *compás* and gravitational/magnetic force to A♯) produces the effect of a failing virtual agent—despite numerous attempts to complete a cycle, anxiety (manifesting as distortion of the *compás*) prevents the agent from doing so, and the quarter-note triplets signify confusion in its inability to achieve closure (see Example 6-18).



Example 6-17. Lauba, *Flamenco*, beginning of section C. The first two *compases* are shown, with a straight red line dividing them. Slurs draw attention to the upper line.

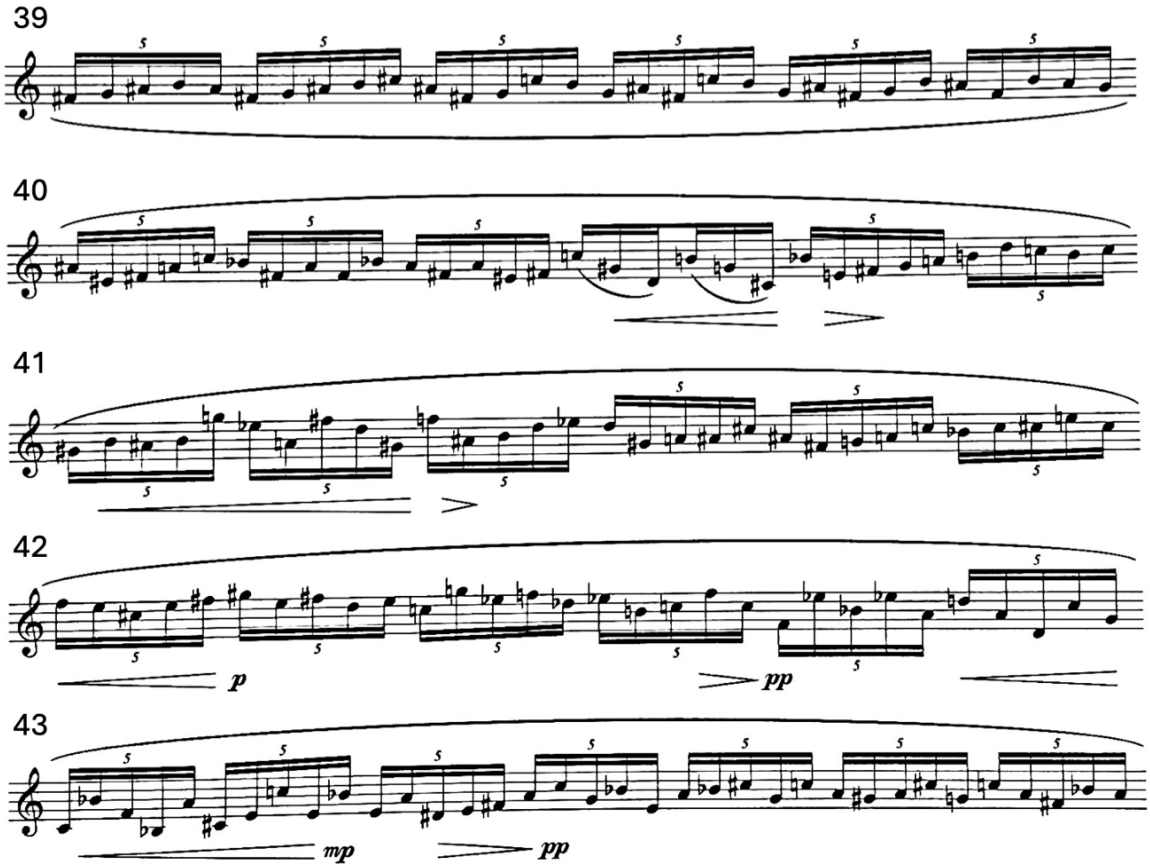


Example 6-18. Lauba, *Flamenco*, measures 35–37.

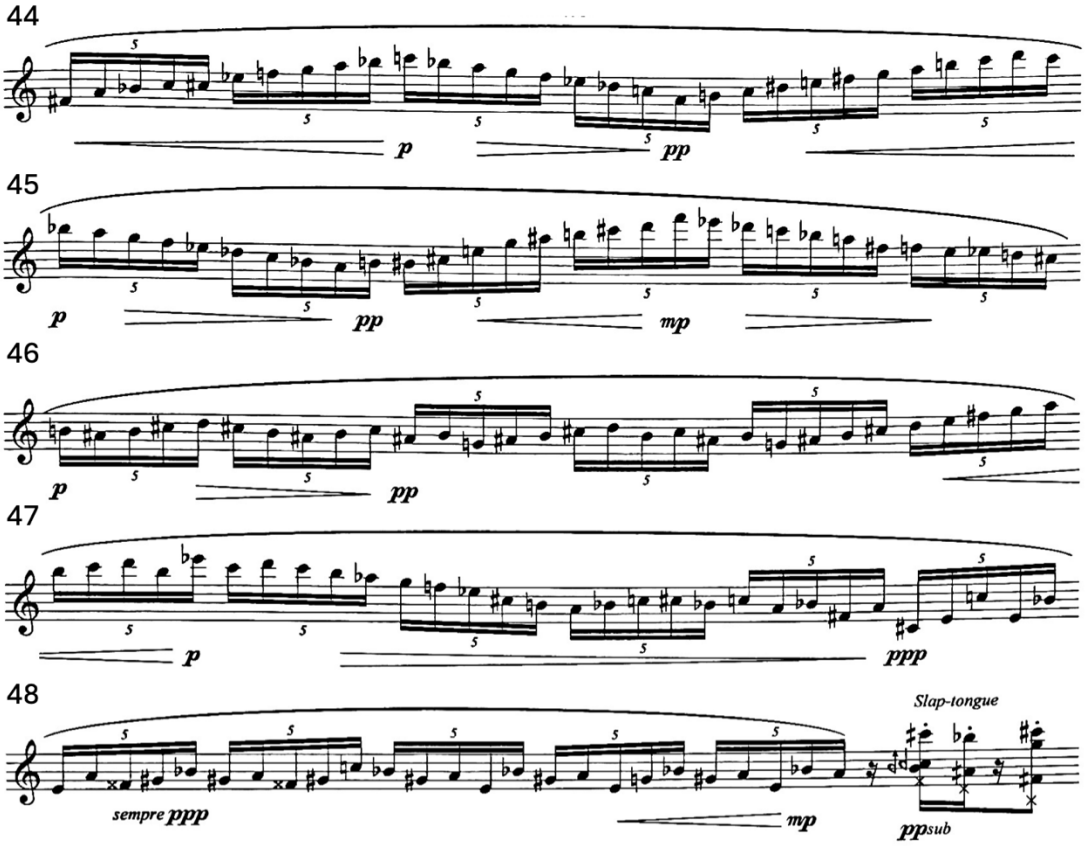
Section C_2 provides agential continuity from what is first established in the piece by reference to the singer in section A_2 signified by the initially limited ambitus of F♯–C♯. However, its emotional quality contains traces of previous anxiety, and the mixture strategy of distortion reflects the same strategy used in C_1, albeit through distortion of pitch collection rather than rhythm. After the virtual actor has been reintroduced, contour inversion of the distorting motive to downward expansion in measure 40 signifies that this actor's initially optimistic emotions invert to pessimism. Earlier, it strove upwards, reaching beyond the gravitational constraints of F♯4, but it now falls ever deeper. Several striving attempts are made (see Example 6-19 below, especially the end of measure 41 through the beginning of measure 43), but the distorting motive persists. With its endless stream of notes, this section is like a stream-of-consciousness internal monologue ruminating on failures found in the prior subsection.[210] There are even greater moments of upward striving in measures 44 and 45, but they ultimately fail by

[210] This technique is also used in *Worksong*.

measure 48, where F♯'s pitch centricity and the Andalusian mode are essentially erased (see Example 6-20 below). This is also preceded by a resistance to magnetism and gravity in measure 46, where the Andalusian mode returns more clearly, but neither F♯ or A♯ are placed at a cadential point, and the stream-of-consciousness trails off. Section C_3 recalls C_1, but Andalusian mode figures are distorted (e.g. C♯ is lowered by a semitone and B♭, normally an enharmonic spelling of A♯, descends to A) and *compases* are made practically impossible to determine because of the lack of structural descent to A♯ and inserted rests. The flamenco style, and thus the emotions of the virtual agent, become unclear and demonstrate more anxiety than before through greater distortion. This thread of increasing distortion is evinced through a traceable process: motives tied to a pure flamenco style in section A and a primary flamenco musical feature tied to emotive qualities, the *compás*, are distorted to the point that they are hardly recognizable, marking a watershed moment in the PATH of the piece's overall stylistic trajectory.



Example 6-19. Lauba, *Flamenco*, measures 39–43.

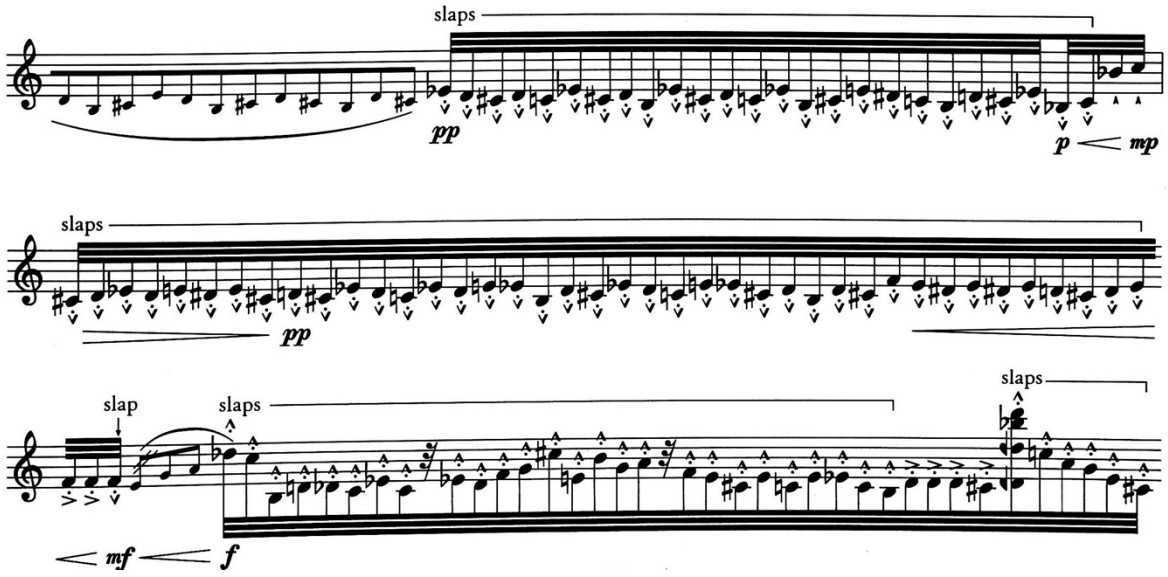


Example 6-20. Lauba, *Flamenco*, measures 44–48.

Section D (measures 53–71) begins with a stylistic recapitulation of the opening (that is, the flamenco style without distortions or other mixture strategies within the section) in a more impassioned manner. While measures 8–17 express more of a "practiced lament" (indicated by the virtuosity of voicelike melismatic writing), measures 53–56 express a "cry from the heart." Here, the timbre moves from the guttural, hoarse quality (the muted tones of the middle register of the saxophone) to a more exalted chest voice timbre (upper register notes emphasized by multiphonics).[211] The intended emotion is an analogical equivalency, as the ranges do not

[211] Thompson, "Flamenco: A Tradition in Evolution," 76.

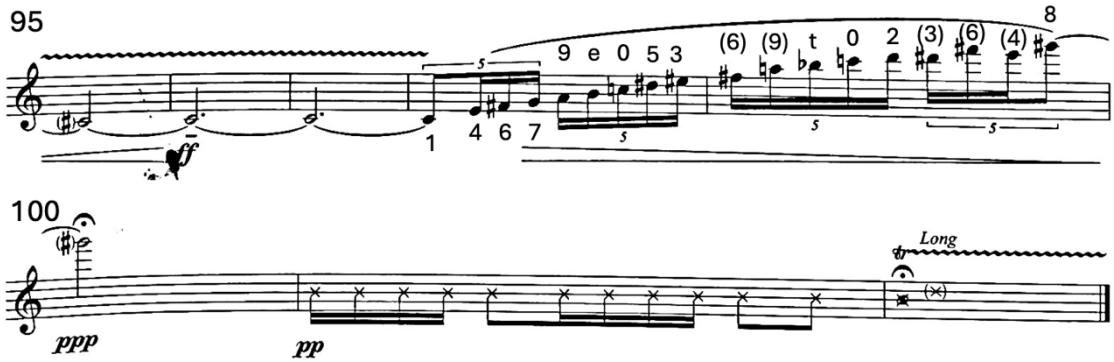
necessarily match to one another, but the sonic quality of each timbre does. The rhythmic monotony in most of measures 57–71 and juxtaposition clash which precedes this passage recalls the earlier etude style of B, a section also featuring an early juxtaposition clash that alienated the Andalusian mode from stylistic elements of flamenco. Here, reference to an earlier section and the use of slap tongue exorcises the percussive elements from the dancer and from the flamenco style. Extended slap tongue sections are a part of Lauba's contemporary musical language (see Example 6-21 below, taken from *Jungle*) and are a stylistic signifier of contemporary music, especially considering the earlier self-reference to *Balafon*. Because section D culminates in material taken directly from section B (the "interval exercise" etude section) played as fast as possible (measure 62), the etude's stylistic trajectory from a bounded flamenco style to a bounded contemporary etude style (in Lauba's idiolect) has almost reached completion, with the musical forces pulling towards F♯ being the only detectable trace of the flamenco virtual actors from before. The recapitulation of a stylistically-bounded, unsullied flamenco style in measure 53 is the turning point in this trajectory: it allows the distortion process to reset and make a stylistic shift more apparent through the juxtaposition clash between measures 56 and 57, reaccelerating the trajectory process after its incompletion. Section E (measures 72–103) marks the completion of the trajectory into Lauba's contemporary style of writing. The form chart in Table 6-1 (page 119) outlines stylistic and actorial changes throughout the etude.



Example 6-21. Lauba, *Jungle*. Extended slap tongue section on third page.

The final section initially mirrors the third section's upper and lower voices, with the upper voice descending and the lower voice playing F♯ and G, formerly $\hat{1}$ and $\hat{2}$ in the Andalusian mode, but tonic stability on F♯ is not present. Rhythmically augmented with no discernible meter, and a mixture of subdivisions of four and five, this section recalls earlier sections' feelings of improvisation, but in a completely new style. On a more abstract level, there is a degree of coexistence between the contemporary and flamenco style which emerges in this section: neither flamenco nor written contemporary music are improvised in the traditional sense, but they aim to be heard in this way through different stylistic conventions. In this final section, a hybrid agent whose abstract expressive devices cohere then emerges. Its continuous striving is also finally achieved in measures 98 and 99. As Catherine Losada demonstrates in her analysis of Luciano Berio's *Sinfonia*, the sense of finality achieved by chromatic saturation or aggregate completion in post-tonal music (the appearance of all twelve chromatic notes in a formally

significant section), is akin to a sense of finality achieved by a tonic chord in tonal music.[212] This appears in one sweeping gesture in measures 98 and 99, followed by the percussive gesture heard at the beginning of the piece (see Example 6-22 below). The bookending of percussive gestures and aggregate completion work in tandem to signal that the agent's striving has achieved an intended goal. The reintroduction of the dancer virtual actor heard at the beginning serves to provide virtual subjective unity, denoting that the virtual actors from before are still present despite the major stylistic shift achieved by the end of the overall trajectory's GOAL.



Example 6-22. Lauba, *Flamenco*, measures 95–102. Aggregate completion is shown with pitch-class numbers. Repeated pitch-classes are shown in parentheses.

The virtual subjectivity that arises throughout the piece's stylistic trajectory is one of continuous striving. The expression of "striving" is made apparent in different styles through different means. In measures 8–20, the gradual upward expansion of register combined with increases in dynamics signifies striving. In section B, a reference to *Balafon* signifies a turn inwards, and the agent strives outwards by the injection of motives from before, climaxing in a

[212] Losada, "Between Modernism and Postmodernism: Strands of Continuity in Collage Compositions by Rochberg, Berio, and Zimmerman," *Music Theory Spectrum* 31, no. 1 (Spring 2009), 20.

section of actorial saturation where previous motives are integrated and meter is clarified. In section C, the agent strives to complete a *compás*, which gradually contracts as the agent fails completion, contrasting with the previous section's outward expansion. These failures impinge on the virtual subjectivity, resulting in outbursts in two different styles: measures 53–56 in the flamenco style, and measure 62–71 in an etude style, the latter eventually developing into low murmurs as the Andalusian mode is effaced from its melodic language (recall that the first statement of this style still contained characteristics of the Andalusian mode). Given the limitations of employing coexistence between styles when writing for a monophonic instrument, this mirroring of agential qualities indicates some degree of stylistic coexistence: their causes are identical, as are their expressive aims. In the contemporary style of the ending, the agent achieves its intended goal, signified by the chromatic saturation in measures 98 and 99, and the following percussive motive found in the first measures of the piece, bookending this trajectory.

Steady Study on the Boogie

Steady Study on the Boogie (*Steady Study*) utilizes two primary genre fields, from which several styles are drawn. First is the genre of concert music, where minimalist, postminimalist, and non-referential (seemingly "genreless") contemporary saxophone music styles originate. Second, is the genre of blues, which is signified by pentatonic collections and 12-bar blues harmonic structures. Despite the title, boogie-woogie, a stylistic subset of piano blues, is not overtly referenced throughout the work: characteristic left hand piano figures are not found in the etude (see Example 6-23 below), but repetitive rhythmic and quasi-improvisatory gestures (both more abstract boogie-woogie aspects) pervade sections A and B, respectively. As in *Flamenco* and *Worksong*, the etude-as-genre is also infused throughout the entirety of the piece. It is subtitled as a "constant study on the rhythm of the boogie,"[213] but unrelated extended techniques such as circular breathing, slap tongue, and multiphonics (many of which require the player to depress unusual keys with their thumb) are foregrounded. As the piece unfolds, oppositions between the two primary genre fields, static/dynamic temporal framing, and covert/overt virtuosity characterize a hybrid virtual agent seeking to integrate its disparate elements into one identity. Powerful psychological integration by the agent gives rise to a virtual subjectivity reflective of the large-scale coexistence between stylistic and generic elements in the work, changing the normatively negatively-valued character of clash. In contrast with the previous two analyses, *Steady Study* will utilize fewer examples because of its repetitive nature. The tables in this analysis will provide necessary characteristics and context. As a result of *Steady Study*'s frequent repetition, the given musical examples are highlighted to an even greater degree as a break from repeated patterns.

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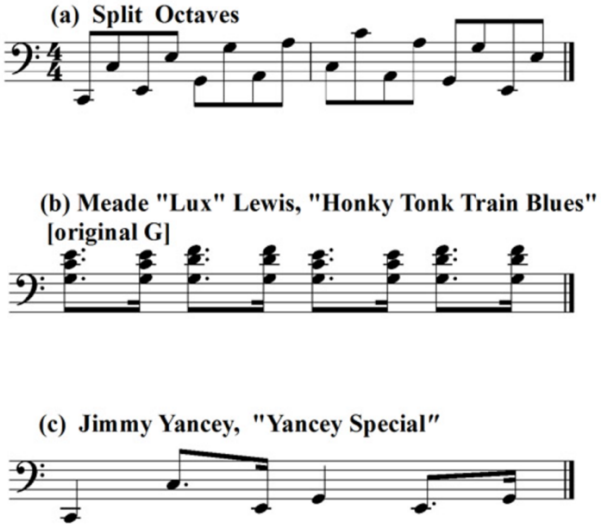
[213] *Étude constant sur le rythme de boogie*



Example 6-23. Typical piano left-hand figures in boogie-woogie.[214]

Considering its genres and styles, the piece's title has multiple meanings. "Steady" refers to an explicit rhythmic pulse, an element inherent to both minimalist music and boogie-woogie. The two styles overlap in this sense: Jonathan W. Bernard notes "repetition in a buzzing or bustling texture" and "explicitly projected pulse" being hallmarks of the minimalist style,[215] and Peter C. Muir writes that boogie-woogie, as a subgenre of piano blues, is characterized by its use of a driving ostinato in the left hand.[216] "Study" refers to the piece's identity as an etude, which is conveyed most clearly though section B's virtuosic gestures. "On the Boogie" refers to one of the styles referenced throughout the piece but opens a variety of different meanings. Is the etude meant to improve the saxophonist's ability to play a boogie-woogie? Certainly not given its instrumentation (saxophone, not piano) and lack of improvisation (an important aspect of blues).

[214] Taken from Peter C. Muir, Grove Music Online, "Boogie-woogie (I)," *Grove Music Online/Oxford Music Online*, Oxford University Press, October 4, 2012.
[215] Jonathan W. Bernard, "Minimalism, Postminimalism, and the Resurgence of Tonality in Recent American Music," *American Music* 21, no. 1 (2003): 114.
[216] Peter C. Muir, Grove Music Online, "Boogie-woogie (I)," *Grove Music Online/Oxford Music Online*, Oxford University Press, October 4, 2012.

More likely, the etude is "on" a reification of boogie-woogie: it seeks to improve the ability to maintain a constant, driving rhythm while circular breathing for much of an unaccompanied etude. The physical demands of playing in this way for a saxophonist are high but are meant to be imperceptible to the listener.[217] That is, one facet of *Steady Study*'s virtuosity is more "covert" and austere in nature than typical instrumental gymnastics found in etudes by Paganini, Chopin, etc. If, in musical performance, "imagined actions are informed by performed actions," and performed actions like circular breathing are deliberately hidden from the listener by the performer, the experience of a steady, simplistic virtual subjectivity in the listener's mind is foregrounded.[218] Hidden techniques also inhibit the listener's capacity to embody the performer's actions or ultimately "enmind" an imposing virtual subjectivity expected from a concert etude because mastery of circular breathing by necessity renders it practically undetectable (other saxophonists or wind instrumentalist listeners notwithstanding). However, steadiness and simplicity (i.e. *not* fragmentation and complexity) draw an opposition to the more extravagantly virtuosic sections of the piece, marking its eventual emergence in section B. Static and dynamic temporal frames (explained below) also correspond with covert and overt virtuosity, which add an additional layer that the listener may feel alongside the virtual agent.[219] See Table 6-2 below for a summary of *Steady Study*'s form and virtual agential experiences.

Steady Study is divided into five large sections: an introduction, section A, transition, section B, and a coda. The introduction recalls the style of past idiomatic works for the saxophone, thereby "performing" the genre of contemporary saxophone music. It echoes

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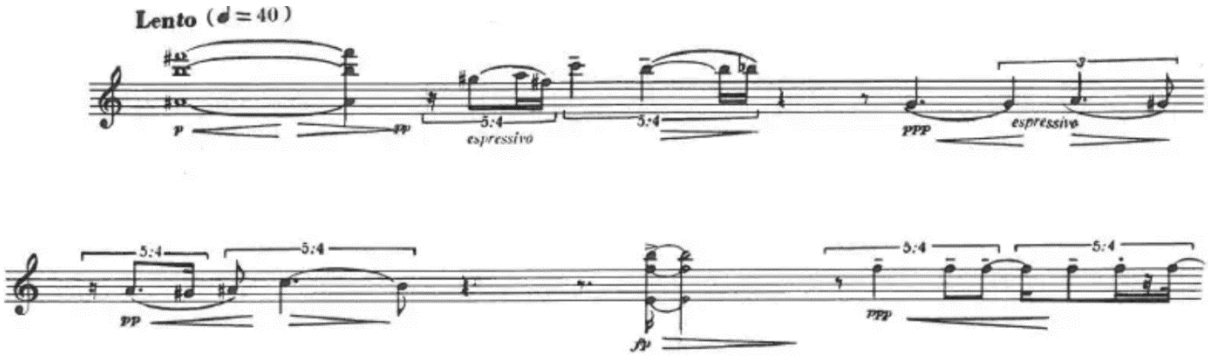
[217] Circular breaths or extraneous noises are not meant to be audible except when explicitly stated in saxophone music.
[218] Arnie Cox, "Embodying Music: Principles of the Mimetic Hypothesis," *Music Theory Online* 17, no. 2 (2011), https://www.mtosmt.org/issues/mto.11.17.2/mto.11.17.2.cox.html.
[219] Hatten, *A Theory of Virtual Agency*, 24.

hallmarks of the contemporary saxophone repertoire, such as the second movement of Denisov's *Sonate* and Christophe Havel's *Oxyton* (see Examples 6-24 and 6-25 below).[220] The introduction does not refer to any styles of music outside of the social sphere in which Lauba's music is written, but this does not mean that it resists genre classification or reference. As Eric Drott observes, the tendency in avant-garde music to eschew genre designations or overt reference to preexisting genres does not allow it to escape the "inevitably" of genre, as it paradoxically demarcates any given "genreless" work within the genre of "music without genre" (or, at least, the attempt to be "without genre").[221] It may seem tautological to describe the opening of *Steady Study* as "referencing contemporary saxophone music" because the piece *is* contemporary saxophone music, but its use as introductory material has important implications for the large-scale mixture strategy of coexistence and differing temporal frames later in the piece. With little harmonic or rhythmic forces and a small dynamic range from *ppp* to *p* in this section, agency is difficult to infer. The juxtaposition clash serving as formal articulation between introduction and section A further denotes the introduction as an extended framing gesture for the entire piece.[222]

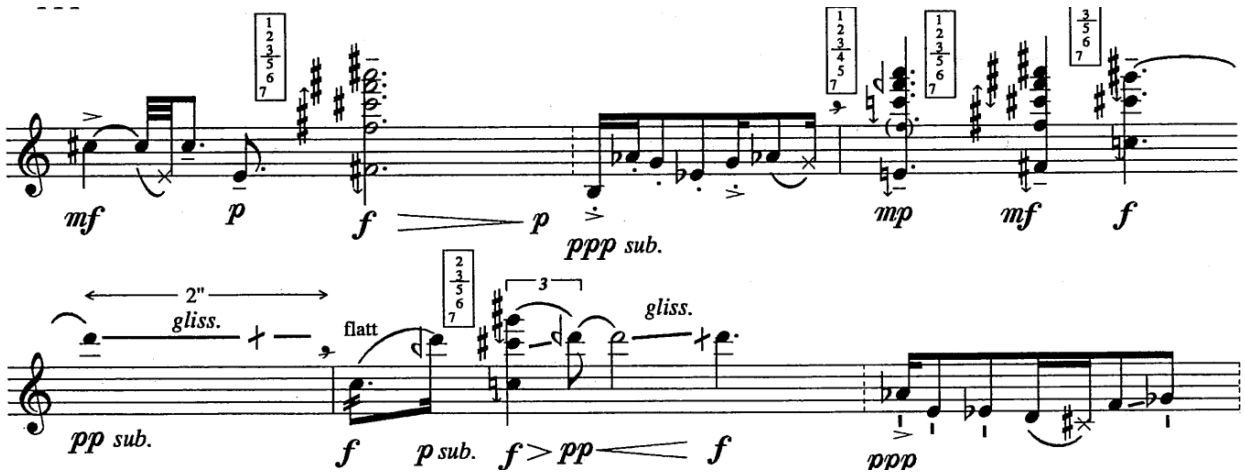
[220] Like Lauba, Havel was also a part of the "Bordelais school" of composers who wrote works for Londeix and his students.
[221] Eric Drott, "The End(s) of Genre," *Journal of Music Theory* 57, no. 1 (2013): 7. Drott mostly examines works by spectralist and mid-20th century composers, but the concept can be applied here.
[222] The prevalence of blues, and blues *and* the contemporary saxophone idiom combined in the remainder of the piece further illustrate this divide.

Table 6-2. *Steady Study on the Boogie* Form Chart

Section	Genres and Styles (as Genre: Style)	Virtual Agency
Introduction (1–8)	"Genreless" contemporary music (CM): saxophone idiomatic	
Section A (9–62)	Blues: boogie-woogie; CM: minimalism/postminimalism	Virtual agent identified and characterized
Transition (63–76)	Blues: boogie-woogie; "Genreless" CM: saxophone idiomatic	Psychological integration of past
Section B (77–177)	Blues: boogie-woogie (distorted); Concert music: etude	Integrated virtual subjectivity
Coda (178–185)	Blues: boogie-woogie; CM: minimalism	



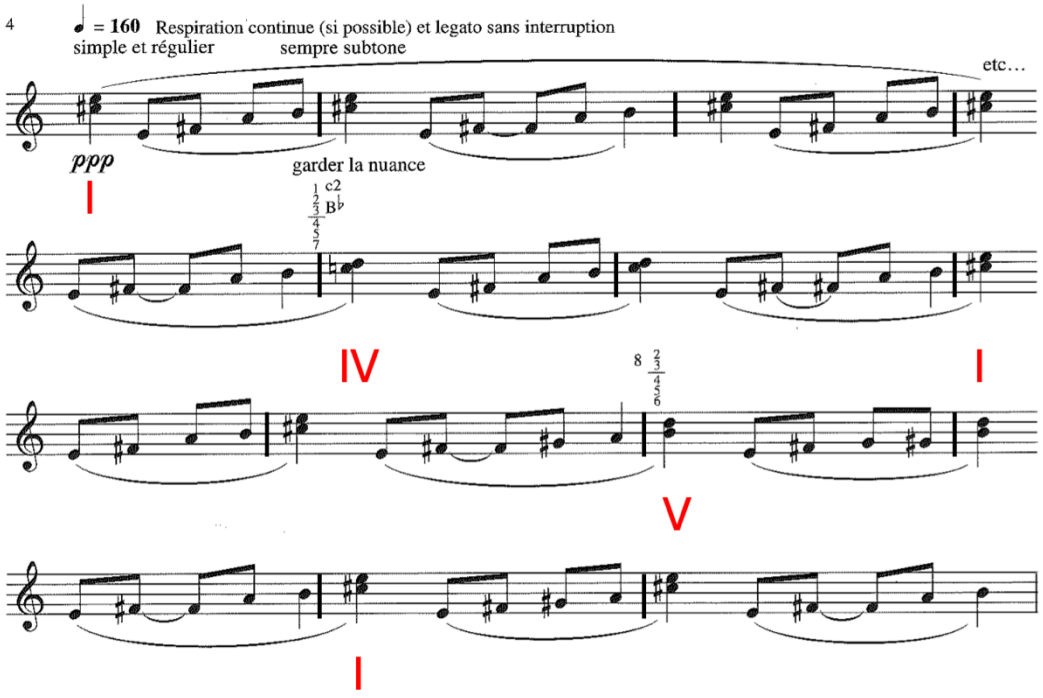
Example 6-24. Denisov, *Sonate*, beginning of second movement. Soft dynamics, lack of meter, and multiphonics are characteristics of the contemporary saxophone genre.



Example 6-25. Havel, *Oxyton*, end of first page. Rapid dynamic shifts, slap tongue, multiphonics, glissandi, flutter tongue, and lack of meter are characteristics of the contemporary saxophone genre.

Section A finds the first "steadiness" of the piece: a steady, but metrically asymmetric, rhythmic figure is repeated. Its melodic language is derived from the A pentatonic collection (at first just major, but later both collections are used) and its harmonic progression from the 12-bar blues progression. Dyad multiphonics project the harmonies of the 12-bar blues progression; the pitches in these multiphonics can be difficult to recognize, but the change in timbre between them contributes to perceived harmonic changes (see Example 6-26 below with barlines added to see how the progression unfolds). Repetitive rhythmic figures and the 12-bar blues structure reference boogie-woogie, albeit in a more abstract way. In fact, it is Lauba's paratextual assertion of genre in the title which leads the listener to identify boogie-woogie as the primary stylistic referent of Section A. Typical boogie-woogie rhythmic figures (see Example 6-23 above) are not heard, inferred meters between each "chorus" are almost constantly shifting by additive or subtractive processes, and bars' meters within each chorus are asymmetrical in

duration and grouping, save for two marked sections (A_6 and A_7, explained below).[223] However, the steady repetition of these figures and the additive and subtractive processes between choruses reference minimalism, forming a coexistence between it and boogie-woogie. Common elements such as the constancy of rhythmic pulse and simplicity of harmonic language are emphasized to minimize friction between the styles, establishing a virtual agency which is positively-valued and cooperative.



Example 6-26. Lauba, *Steady Study on the Boogie*, first chorus of section A with added barlines.

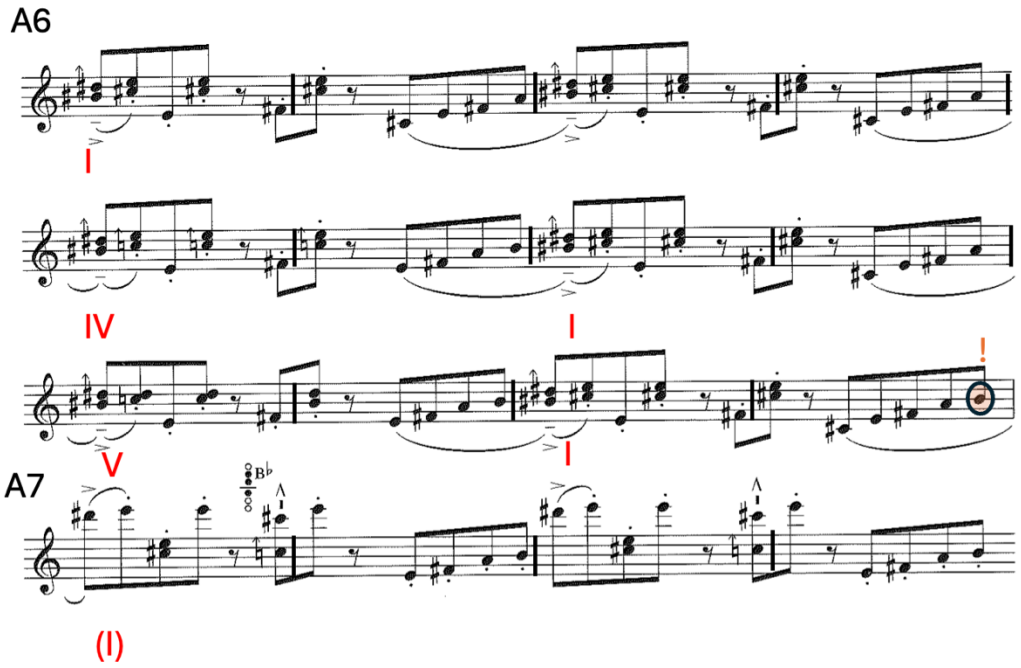
Section A's metric construction relies on a process dictated by the harmonies of a 12-bar blues form: each chorus repeats a set of two alternating meters, changing harmonies as expected,

[223] I use the word "inferred" because many of the meters I have designated within each section do not exactly match with the beaming in the sheet music. "Chorus" refers to repetitions of form such as 12-bar blues in its entirety, which is referred to as a chorus in jazz and blues music.

and as each new "chorus" begins, a new set of alternating meters is introduced and repeated. Table 6-3 below shows the meters found in each subsection. The alternating meters' asymmetry may initially be considered a distortion of boogie-woogie, and thus marked in its stylistic context, but such asymmetry becomes unmarked with each repetition, with minimal repetition emerging as a negotiating factor which nullifies purported metric distortions and strengthens stylistic coexistence. Notably, A_6 and A_7 are marked by their symmetrical metric structure where every "bar" is in $\frac{6}{8}$, sounding like a swung $\frac{4}{4}$. Unchanging meter and swing, common global characteristics of the boogie-woogie style, are foregrounded by sudden metric symmetry. When this metrical asymmetry emerges seemingly from nothing but a random process, coexistence becomes strong, and it as if the virtual agent, while participating in this process, achieves its highest feelings of cooperation yet. This is not permanent—between A_6 and A_7, an extra eighth note is appended to the end of A_6, a marked moment which slightly distorts the minimalist style by violating a principle of minimal repetition, and boogie-woogie by creating yet another metric asymmetry in a previously symmetrical environment (see Example 6-27 below). From this effect emerges the first conflict for the virtual agent (whether it be internal or external), in part due to a temporary deviation from "static" time to "dynamic" time.

Table 6-3. Time signatures in section A of *Steady Study on the Boogie*.

Section	Time Signatures	Additional Notes
A_1	$\frac{3}{4}$; $\frac{4}{4}$	
A_2	$\frac{9}{8}$; $\frac{4}{4}$	
A_3	$\frac{9}{8}$; $\frac{4}{4}$	
A_4	$\frac{11}{8}$ (3+2+2+2); $\frac{3}{4}$	
A_5	$\frac{13}{8}$ (3+2+2+2+2); $\frac{3}{4}$	
A_6	$\frac{6}{8}$; $\frac{6}{8}$	Like a swung $\frac{4}{4}$; marked moment between A_6 and A_7
A_7	$\frac{6}{8}$; $\frac{6}{8}$	Like a swung $\frac{4}{4}$
A_8	$\frac{6}{8}$; $\frac{4}{4}$	
A_9	$\frac{6}{8}$; $\frac{6}{4}$	
A_{10}	$\frac{3}{4}$; $\frac{7}{8}$ (3+2+2)	
A_{11}	$\frac{9}{8}$; $\frac{9}{8}$ (3+2+2+2)	
A_{12}	$\frac{4}{4}$; $\frac{3}{4}$	



Example 6-27. Lauba, *Steady Study on the Boogie*, A6 and A7 with bar lines added. Marked moment highlighted in orange.

In music, feelings of time can be expressed in different ways. Nemesio García-Carril Puy draws a distinction between a dynamic view of time used in non-minimalist concert music repertoire and a static view of time used by minimalist composers. In a dynamic view of time, there are essentially three different temporal regions: the past, present, and future. The existence and "special character" of the present, the directionality from present to future, and time's objective flow (i.e. that it moves forward) are three primary features of dynamic time. Although repetition does exist in non-minimalist music, it is different from minimal repetition. For example, although a chaconne contains a repeated figure through its entirety, places in time are

ordered according to textural changes around this voice.[224] In general, Western concert music outside of minimalism relies on dynamic time's linearity, continuity, and progression, whether those are expressed by goal direction in the tonal system or "nondirected linearity" in the post-tonal system.[225] Notions of dynamic time could lead to inferences of intentionality and self-reflection, what Hatten calls "embodying a virtual agent" and "interiorizing virtual subjectivity," respectively. In other words, static time complicates inferences of virtual agency or virtual subjectivity until it is broken.

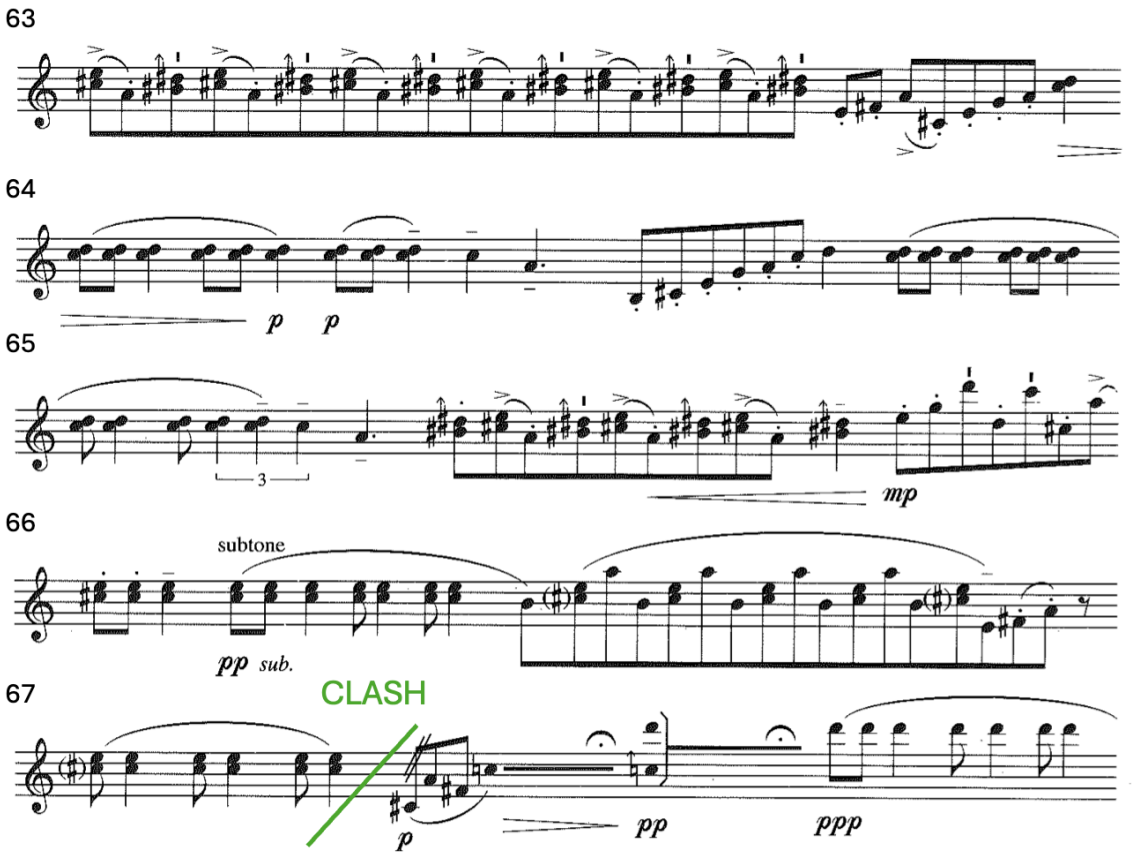
According to Puy, minimalist musical processes express a static view of time through their use of *minimal* repetition. The works "*stand for* the features that characterize time according to that view, namely: there is not an objectively distinguished present; time does not have an objective direction, and time does not have an objective flow or passage."[226] For Puy, "objective" time corresponds with a universally agreed-upon past, present, and future. While there are variations in meter and ambitus between each repetition, each chorus unit of section A is recognizable as such due to the prevailing harmonic structure of the 12-bar blues and the small variations added with each chorus. Each 12-bar cell's rhythmic profile persists within the cell, and repetition of the 12-bar form is expected by the listener.[227] Except for marked moments articulated by changes within a single chorus (A_6) and the emergence of a swing feel in the same chorus, rank value between each cell is equalized, and "[the] elements of a performance of this piece at t_1 do not affect the elements at t_2."[228] Furthermore, section A has a fractal structure. Each unit is twelve "bars" (inferred through rhythmic groupings), and there are twelve of these units

[224] Nemesio García-Carril Puy, "Musical Minimalism and the Metaphysics of Time," *Revista Portuguesa de Filosofia* 74, no. 4 (2018): 1276–1286.
[225] Jonathan D. Kramer, "New Temporalities in Music," *Criticial Inquiry* 7, no. 3 (1981): 542.
[226] Ibid, 1280.
[227] A static temporal frame is not a factor in boogie-woogie, because right hand figurations vary between repeats.
[228] Ibid, 1289. This applies to elements within and between choruses.

until the transition begins. Locally, section A is largely fixed in time, and it is only through a break in pattern at the transition and stylistic/motivic reference to the introduction that a dynamic view of time is implied. These marked moments fracture the "flow state" of the virtual agent in section A, giving rise to an emergent virtual agent and virtual subjectivity with multiple temporal frames of reference. Despite the constant motion in section A, there is little goal-orientation or necessary continuity for the agent apart from its completion of each new cycle. The high degree of stylistic coexistence colors this flow state positively, but the agent does little to break from this state until the transition. The effect produced is one of a virtual agent *being* rather than *acting*, with the listener observing its actions.

In the transition, the agent's identity persists by the continued use of multiphonics and metric groupings found in section A, but it incorporates previously separate material from the introduction, which adds complexity to the virtual agent and gives rise to virtual subjectivity. In the transition, a more general blues genre is referenced—the harmonic progression of the 12-bar blues is removed, the rhythmic ostinato of boogie-woogie disappears, and the agent assumes a more improvisatory character. Multiphonics reference harmonies as they did before, but they do not proceed as expected, obsessively oscillating between I and IV, never reaching the dominant. Certain phrases are punctuated with an altered version of the time-destabilizing motive that occurred between sections A_6 and A_7 earlier (see the ends of measures 63 and 64 in Example 6-28 below). In the new dynamic temporal frame, the agent's obsession with the disruptive break from its flow state in the previous section (the marked moment between A_6 and A_7) is made apparent. Obsession with the motive and inability to reach V to continue harmonic progression signifies an inability to move forward psychologically. After this, the juxtaposition clash (now unprepared and harsher than a similar clash between the introduction and section A) in the

middle of measure 67 (Example 6-28) marks a return to the contemporary music genre, returning to a point in time before the minimalism/boogie-woogie section, recontextualizing the figures found in the introduction as a part of the virtual agent. Although the juxtaposition clash is harsher than its past counterpart, its abruptness is positive—it is an epiphany for the virtual agent in the middle of past-centered thoughts. Such recontextualization and integration by virtual agent give rise to a reflective virtual subjectivity. The "lightbulb moment" for the virtual agent is made possible by the introduction's special character as a framing gesture, initially existing outside of the virtual agent.

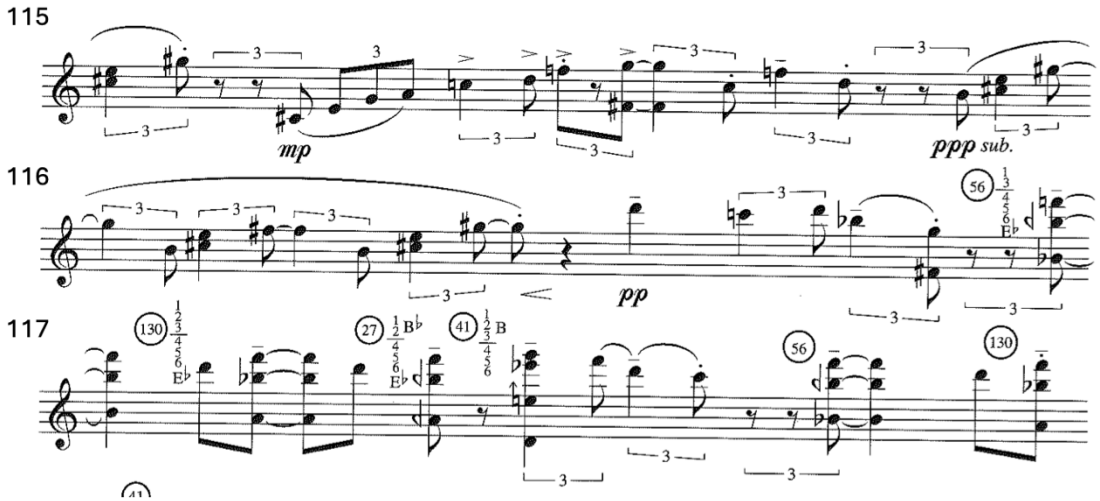


Example 6-28. Lauba, *Steady Study on the Boogie*, measures 63–67.

The virtual subjectivity that arises from the juxtaposition clash in measure 67 is one of psychological integration. It references past material which "disturbed" the agent and allows a new facet of the agent to appear shortly thereafter in section B. Integration is virtualized by oppositions in temporal framing aided by clash dividers. Because of the lack of minimal repetition in the introduction, time is dynamic, but a lack of virtual environmental forces makes agency difficult to infer. The introduction's separation from the etude's paratext further alienates it from what follows: there is no "steadiness" in rhythm (or even in tone production because of the multiphonics' instability) and references to boogie-woogie are nowhere to be found. Because section A is so strongly linked to the work's paratext, the introduction is related in kind to a "framing gesture" which Michael Klein also identifies at the beginning of Chopin's fourth *Ballade*.[229] Separated from section A in temporal frame and genre by the clash divider, this introductory framing gesture implies that the material and genre exist outside of the immediate surroundings of the virtual agent (perhaps in the past or in its imagination). In measure 67, the obsessive and ruminating virtual agent turns to something that exists initially outside of itself, possibly turning to the spiritual world or an avoided past to gain strength and move forward. The juxtaposition clash pattern repeats twice in measures 70–76, where the blues genre appears more harmonically distorted on its return due to the presence of B♭ over an A7 harmony. The final juxtaposition clash at the end of measure 74 is the smoothest thus far, pivoting around D5, suggesting a final psychological integration by the virtual agent. This integration proves successful, and section B begins, formally marked by another juxtaposition clash.

[229] Michael Klein, "Chopin's Fourth Ballade as Musical Narrative," *Music Theory Spectrum* 26, no. 1 (2004): 39.

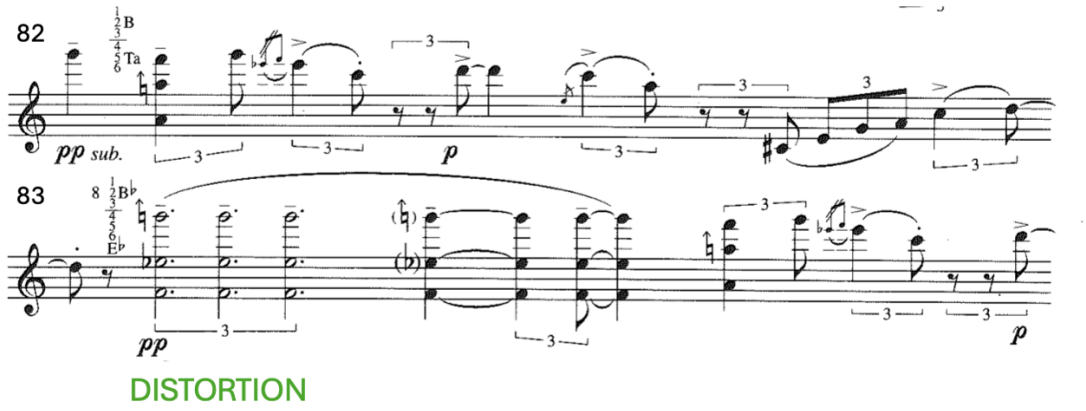
Section B abandons minimalism altogether, favoring a more rambunctious, swung blues style in the key of A. It is stylistically distorted by the lack of clear meter and fuzziness of A as tonal center as the section proceeds. Whereas section A's minimal repetition referenced the ostinato of the boogie-woogie style heard in the left hand of the piano, section B references the swinging improvisatory figures played by a boogie-woogie pianist's right hand (see Example 6-29 below). In boogie-woogie, the left hand of the piano provides the rhythmic and harmonic foundation while the right hand includes more melodic gestures (which may be improvised). A boogie-woogie pianist's hand independence requires pristine technique and virtuosity, but a monophonic instrument is limited in expressing virtuosity of this nature—this is circumvented by formally separating the musical streams of the pianist's hands. Section A's covert virtuosity (circular breathing meant to go unnoticed) contrasts with section B's overt virtuosity (fast tempo, metric distortion, and greater use of multiphonics), marking the section more clearly within the etude genre while exemplifying two different sides of virtuosity. In section B, multiphonics are not tied to saxophone contemporary music references or used to provide harmonic structure in a progression like they were in section A. Instead, they are used to accent syncopated figures much like a boogie-woogie pianist would in their improvised right-hand figures (see Example 6-29), signaling a newly "unlocked" manner of expression in the agent through integration of the two disparate genre fields from before.



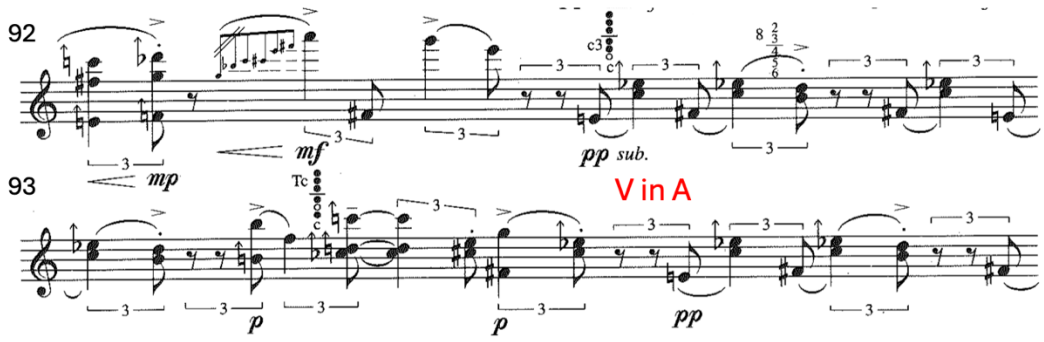
Example 6-29. Lauba, *Steady Study on the Boogie*, measures 115–117. Pianistic figures created by multiphonics.

The primary tension in section B arises from various levels of steadiness in different parameters; steadiness' strength ironically lessens the prevalence of virtuosity and the etude genre despite the paratext's suggestion of its importance as an aspect of "study." Distortions in steadiness are thus the governing factor in the stylistic spectrum between a rhythmically steady boogie-woogie and virtuosity in service of the concert etude genre. Measures 77–82 are steady in their adherence to the A pentatonic collections (sometimes with added blue note and without an implied harmonic change to IV) and to a swinging rhythm, although a steady meter is not present. This changes in measure 83, when half-note triplet multiphonics distort both the swing feel and A pentatonic collections (see Example 6-30 below). The agent returns to its previous steadiness in swing, but B♭ is added, distorting the A pentatonic collection further. A similar half-note triplet figure occurs in measure 88, and grace note flourishes are added in measure 89, amplifying metric distortion, virtuosity, and "etudeness." Measures 92–94 introduce a metrically

orienting motive implying V, ironically stabilizing the virtual agent in metric and rhythmic space over a harmonically unstable V (see Example 6-31 below). Oscillation between high degrees of metric and melodic/harmonic distortion continues until measure 121, where distortion peaks as more dissonant multiphonics enter and a meandering upper voice between E and C♯ obsessively repeats.



Example 6-30. Lauba, *Steady Study on the Boogie*, measures 82 and 83.



Example 6-31. Lauba, *Steady Study on the Boogie*, measures 92 and 93.

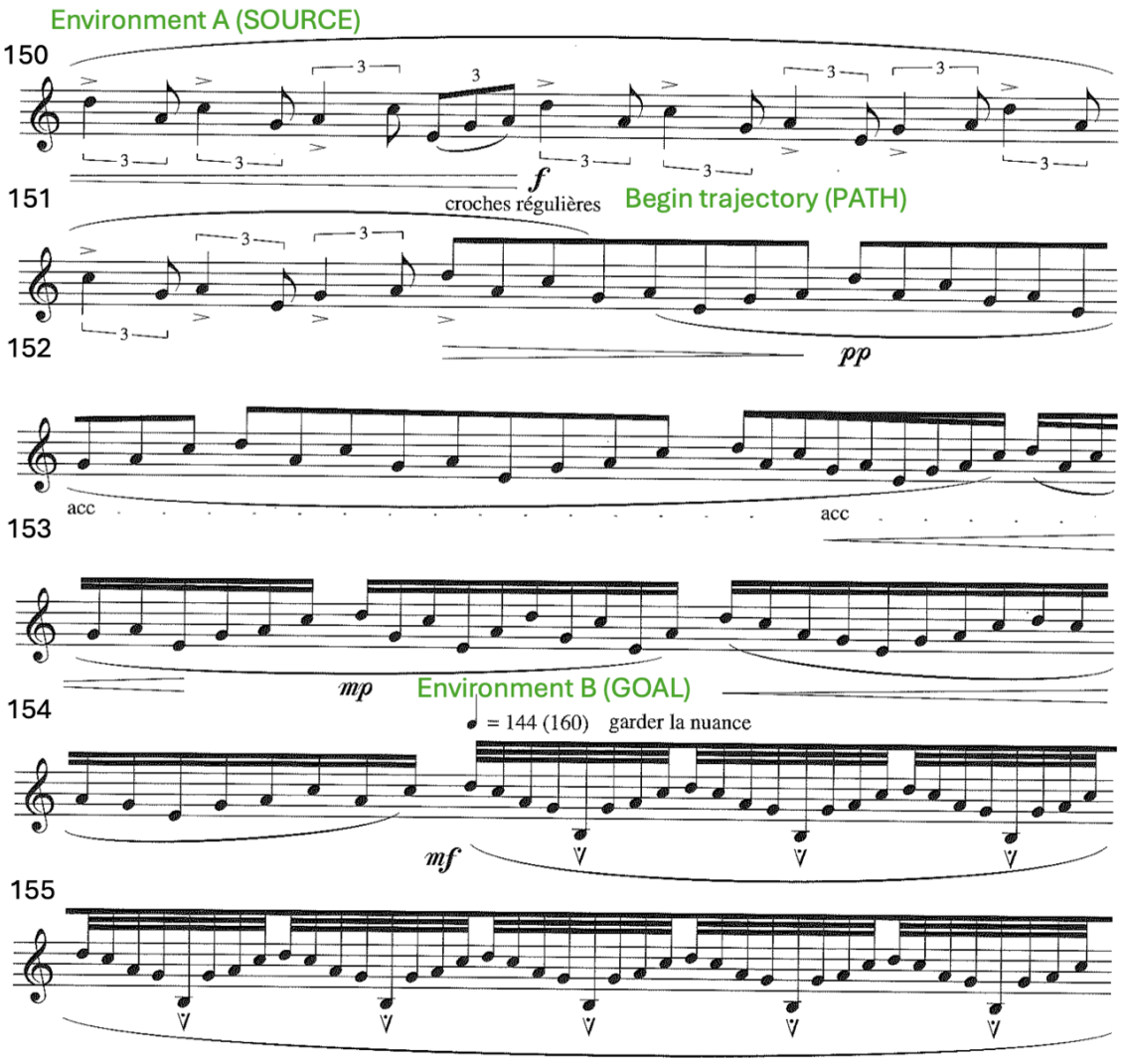
Distortion figures, as well as virtuosity, are subdued in measure 126's figure emphasizing swing feel and the A pentatonic collections (apart from brief pockets of distortion in measures 135 and 138–140). Section B's pockets of distortion both orient the agent in different portions of

a stylistic spectrum and express raucousness, contrasting with the rhythmic austerity and static temporal frame of section A. Up until measure 150, section B is essentially a virtual subjectivity broken free of constraints imposed on it in the previous sections: distortions are used to enhance expressivity rather than interrupt them, and integration between the previously oppositional genres and styles is achieved (evidenced by the new usage of multiphonics). Measures 77–149 are a coexistence between boogie-woogie and concert etude (specifically idiomatic saxophone) genres, with distortions that work bidirectionally to orient the virtual subjectivity's style on a spectrum. The free movement along this spectrum is a full realization of a coexistent virtual subjectivity after the virtual agent's psychological integration at the end of section A.

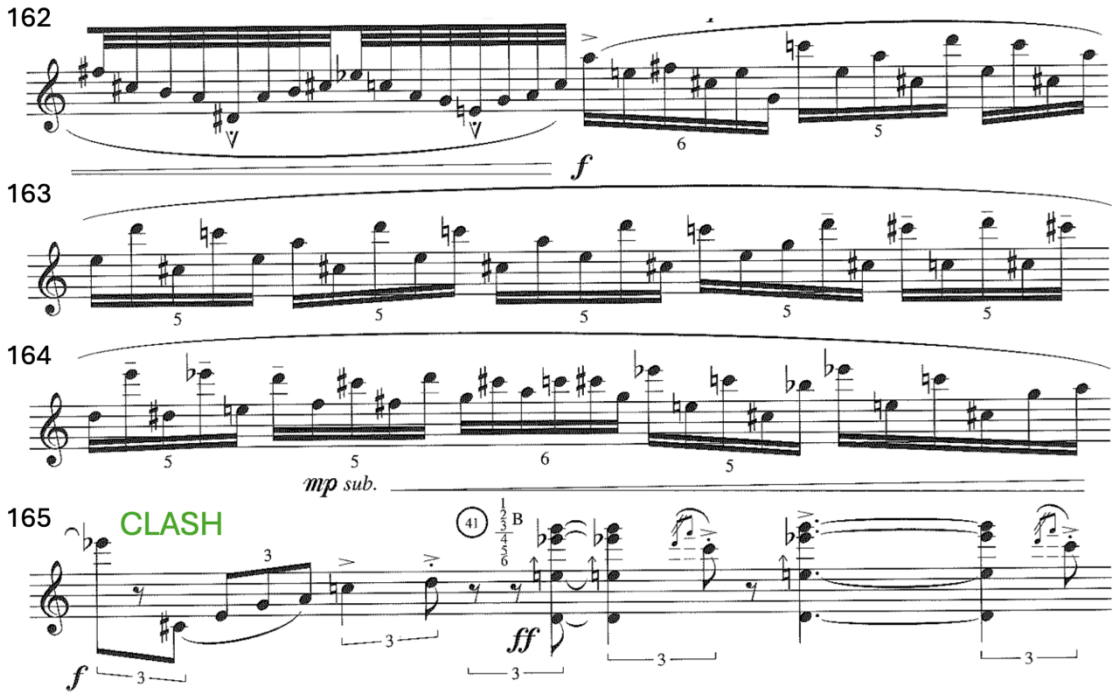
In measure 150, rhythmic and melodic steadiness in the blues genre are heightened. This steadiness is necessarily accompanied by a lack of technical showmanship as before, stylistically diverting the music away from the concert etude genre. The trajectory between measures 150–154 serves to reinvigorate the virtuosity of the piece's virtual subjectivity in a rhythmically logical, and thus premeditated and intentional, way (see Example 6-32 below). Swung eighth notes become even, then an extra eighth note is appended to the repeating figure in measure 151, recalling a similar instance between A_6 and A_7. But there is a key difference: the virtual agent has taken control and deliberately appended this note, instead of experiencing it as an interruption. Speed slowly increases and the contour changes in measure 152, followed by a complete realization of the new arpeggiating motive in measure 153, which morphs into an even more virtuosic disjunct contour figure halfway through measure 162 (see Example 6-33 below). This gradual process is a trajectory from the blues genre to the concert etude genre, with little reference to blues until measure 165, where a short blues "lick" stylistically wrenches the music back through a juxtaposition clash (see the final line of Example 6-33). The virtual subjectivity

of the etude reaches its emotional climax between measures 162–167 where energy and speed reach their maximum, the virtual agent screams *fortissimo* multiphonics in a much fuller spectrum and longer duration than previously, and a *fortissimo* altissimo D marked with a "long" fermata is played. This harsh juxtaposition clash, in keeping with the virtual agent's intentional trajectory into a more overt virtuosic concert etude genre (devoid of outside stylistic references), solidifies its hybrid identity, where the GOAL's greater virtuosity is punctuated, not interrupted, by a blues lick. Although a "clash" between genres, the harshness of the clash does not problematize the music's virtual subjectivity. Instead, it enhances a sense of emotional catharsis. A virtualized sense of emotional catharsis, a positively-valued purging of repressed emotions, is achieved by integration of two major genres found in the etude. Here, virtual agency helps to inform what mixture strategy is at play on a larger scale: a positively-valued virtual subjectivity

recontextualizes rapid changes in style and genre as a fully-realized coexistence between the two sides of the hybrid virtual agent and virtual subjectivity.



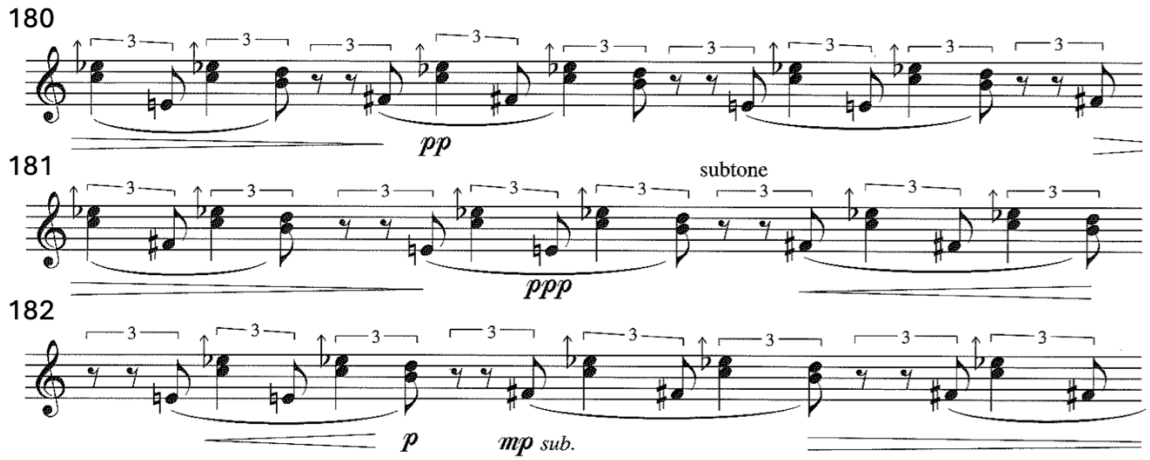
Example 6-32. Lauba, *Steady Study on the Boogie*, measures 150–155.



Example 6-33. Lauba, *Steady Study on the Boogie*, measures 162–165.

After the catharsis, there is a short recapitulation of material from immediately before the trajectory which retains the general contour and rhythmic swing from its source material, but the use of A pentatonic becomes fuzzy because of the number of chromatic notes. Alongside the contour, hints of A's pitch centricity and the etude's prominent C♯ and E dyad multiphonic imply a persistence of the virtual agent's identity, but is changed in some way, perhaps confused after its outburst. After briefly gaining its footing in A minor pentatonic in measure 176 once again, a final emotional outburst signified by similar multiphonics from before is played, but this decrescendos to *piano*, and the coda begins. The coda marks a return to minimal repetition like that found in section A using a rhythmically-stabilizing motive first found in measures 92 and 93 (see Example 6-31 from earlier; the motive occurs at the end of 92 and beginning of 93). The

motives' variations differ in their lowest anacrusis notes (E vs. F♯), but are otherwise similar, thus forming a larger unit comprised of two smaller motivic variations (see Example 6-34 below). In measure 182, the former motive is removed, and only the second remains, repeated an indefinite number of times *en dipraîssant* (disappearing). After it disappears, a final *subito forte* blues lick closes off the etude, echoing the earlier catharsis.



Example 6-34. Lauba, *Steady Study on the Boogie*, measures 180–182.

Steady Study on the Boogie's form and sense of virtual subjectivity is dictated by various temporal frames as implied by genre references that occur throughout. The introduction, with hardly any repetitive gestures, is a dynamic view, quasi-recitative in its character, but because of the lack of virtual environmental forces, virtual agency is difficult to infer. The introduction is later revealed to happen outside of the temporal scope, and perhaps physical dimension, of the piece during the transition from section A to B. Section A frames time statically due to the use of minimal repetition, except for the marked violation of minimal repetition between A_6 and A_7. This deviation from minimal repetition is thematized in the transition, revealing a reflective

agent, and further emphasizing the *past* characteristic of the dynamic temporal frame which emerges in the section. Section B through the coda is a wholly dynamic view of time, full of quasi-improvisatory twists and turns, signifying a virtual agent who has fully integrated past experiences and previously clearly-bounded genres in the service of expression. The return to a static temporal frame at the end is strange when considered as a part of the virtual agent, but is compatible with a virtual subjectivity which moves between dynamic and static temporal frames. These different frames bookend the piece, and the final blues lick self-consciously reasserts the dynamic view of time, in effect signifying "this is the ending." This abrupt clash between temporal frames mirrors the stylistic clash in measure 165 which served as a cathartic moment. Importantly, these differing views of time are subsumed under the entire piece's virtual subjectivity of a dynamic temporal frame. Pockets of static time serve to characterize the virtual agent and establish temporal *steadiness* while remaining outside of the virtual agent's actions as time flows. Finally, as the final static time passage constantly plays a B and D dyad, it is essentially a large extension of V. This is preceded by the catharsis in measure 166 on an altissimo D, which, when considered in the context of its preceding pitches, sounds a IV harmony. *Steady Study* is essentially a long-form expression of a 12-bar blues form, fractally nested in the form by repetition and pockets of differing temporal frames.

CONCLUSION AND NEED FOR FURTHER STUDY

Christian Lauba's concert etudes for the saxophone continue to have a tremendous influence on writing for the saxophone in concert music. Despite their influence, this study is one of few examining any of Lauba's concert etudes in depth. The analytical approach utilizing the methodologies of Bruno Alcalde and Robert S. Hatten for the preceding analyses was chosen for two specific reasons: (1) much of Lauba's music relies heavily on the manipulation of multiple styles and genres in the span of one work, therefore deeming his works musically hybrid and (2) one of the aims of this study is to create musical analysis which is intelligible and useful for performers studying his works. Bruno Alcalde's framework for musical hybridity allows for analysis of style and genre manipulation, while Robert S. Hatten's theories of virtual agency allows for analysis which, based on my personal experience as a performer, enhances the preparation and performance of these works. By synthesizing these analytical frameworks into one methodology for my analyses, Lauba's music is made more intelligible for performers who may be overwhelmed by the sheer technical demands of his music. This framework puts the music and the experience of the listener above purely technical demands—these characteristics can be forgotten as one prepares for performance of a Lauba concert "etude," a word which carries much generic and perhaps psychological baggage.

In the concert etudes analyzed in Chapter 6, interactions between virtual agency and mixture strategies aid in clarifying each etude's form and changes in expression. Considering mixture strategies within the context of virtual agency also invites more nuanced interpretations;

mixture strategies do not necessarily align with their normative positive or negative valuations which Alcalde assigns to them.[230] Juxtaposition clash as a formal divider is a common element in Lauba's concert etudes. These often coincide with a change in the experience of virtual agency: the virtual agent undergoes a newfound external or internal conflict, its emotional state is changed in some way, a new virtual actor is introduced to the music (either as a separate actor or a different facet of the virtual agent's experience), etc. Although Lauba's concert etudes for saxophone are monophonic, overlap clash is made possible by agential continuity through a passage which rapidly shifts between characters. Coexistence often involves overlap in non-monophonic repertoire, but Lauba uses the strategy by emphasizing common elements between styles or genres in one formal section which shift between styles or genres outside of this connecting element. Coexistence is normatively positively valued, but in Lauba's music, a disruption of balance between elements coinciding with a change in some other parameter tied to the expression of an agent (e.g. note duration, dynamic, range, contour) signifies a conflict which the virtual agent must come to terms with throughout the course of the piece. Distortion is used as a developmental tool: it develops material by distorting an aspect of an identifiable style, and is often nested in trajectories, functioning as the impetus for a simultaneous stylistic and agential change in state. Distortion's normative negative valuation may be undercut according to its agential context. Because trajectory is flexible, its normative valuation is not so strongly rooted as the other mixture strategies. The experience of virtual agency helps assign a valuation to a trajectory. It also interacts with the embodied schema of SOURCE-PATH-GOAL: the virtual agent deliberately causes a change in state. Trajectory and coexistence are also used as large-

[230] Alcalde does not discount non-normative valuations of mixture strategies entirely, but he privileges their normative usage. To summarize, clash is negative due to friction between styles or genres, coexistence is positive due to coherence between styles or genres, distortion is negative due to the perception of impurity, and trajectory's valuation is determined by the mixture strategies nested within.

scale strategies in *Flamenco* and *Steady Study on the Boogie*, respectively.[231] Agential continuity facilitates large-scale mixture strategies in Lauba's works. Despite the observations gleaned from only three pieces in Lauba's saxophone etude repertoire, there remains much work to be done in refining this methodology and interpreting his other works.

Besides Lauba's musically hybrid concert etudes for the saxophone, there are several other Lauba works which remain to be analyzed. The methodology used in this document may be applied to his *non*-concert etude pieces which feature musical hybridity in works for saxophone and for other instruments. For saxophone, perhaps the only work by Lauba not designated as a concert etude which can be described in this way is *Hard* (1988); for other instruments there are *Brasil sem fim* (1990; for piano), *Awabi* (2006; for flute), and *Long Ago* (composition date unknown; for cello). While Lauba does privilege style and genre manipulation as a key part of musical discourse in many of his saxophone concert etudes, there exist a number of works which are not musically hybrid, and thus not appropriate for this exact methodology. However, the virtual agential aspects identified in the analyses in Chapter 6 can inform analyses of such works, especially in their formal organization. Examples include *Sud* for alto saxophone and piano (1989), *Dies Irae* for soprano saxophone and organ (1991), and all of the original nine etudes (1992–1994) except *Tadj*, which utilizes musical hybridity. As shown in Chapter 6's analyses, Lauba is a self-referential composer who uses particular gestures as emotional signifiers in his music. Because of this, these signifiers can be used to develop a lexicon of Lauba's musical idiolect for further analysis no matter the analytical methodology chosen.

Christian Lauba has had tremendous influence on the saxophone repertoire and the community's level of playing influenced by his works' widespread adoption. It is for these

[231] This is not to say that the other mixture strategies cannot function on a larger scale, but these strategies align with Lauba's purported goal of "stylistic synthesis" discussed in Chapter 1.

reasons that Jean-Marie Londeix characterized him as the "Saxophone Chopin."[232] Despite his formidable influence, there exists no deep theoretical examination of his works and their musical language. His works are often musically hybrid, but exclusively analyzing his music through this lens cannot capture the expressivity of his music, which he deems its most important aspect. Lack of theoretical research also presents a difficulty to saxophonists studying his works who wish to reach a deeper understanding of Lauba's music through analysis. This paper seeks to improve upon these deficiencies by synthesizing Alcalde's mixture strategies for hybrid music and Hatten's theories of virtual agency. The combination of these methodologies allows for analysis which encompasses important aspects of Lauba's works (style, genre, and expressivity) so that his works can be more deeply understood by performers. Importantly, the methodology utilized in this document is meant to be flexible and adaptable to Lauba's saxophone etudes utilizing musical hybridity—the three analyses in Chapter 6 are *possible* readings, not definitive readings. It is my goal that saxophonists will use this document to inform their preparations of his work, going beyond technical execution to reach the expressive core of Lauba's concert etudes.

[232] Ku, "Four Recitals and an Essay," 1.

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