

UNIVERSITY OF OTTAWA
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Towards a Generative Theory of Emotion, Meaning, and Expression in Musical Performance

Thesis presented under the supervision of Dr. Dillon Parmer as fulfillment of
M.A. Music requirements

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ABSTRACT

The purpose of this thesis is to assess theories of emotion, meaning, and expression in music from the perspective of the performer. While a significant body of research is devoted to theories about such matters—to which I will refer collectively as “theories of communicative content”—there is a general lack of attention paid to how such theories apply in actual music performance. In other words, these theories tend to avoid explicating not only how music conveys such content in acts of performance, but also how performers, through such acts, imbue music with communicative content. I seek to address this oversight because the process of applying communicative content in performance, indeed, the very process of performing itself, may offer insight into the mechanisms involved for making music meaningful and expressive. To that end, I will investigate evidence from actual musical practice and from actual music practitioners. The thesis will consider current research on expression, meaning, and emotion in music, propose a new model that derives from performance itself, and assess old and new models alike through case-study interviews with professional-level performers. By bringing the performer’s voice into the discussion, this thesis aims to formulate a model that not only gives an accurate account of how music becomes meaningful in performance, but also provides musicians with clearly defined methods for how to make music in ways that are emotionally charged and meaningfully expressive.

ACKNOWLEDGEMENTS

The completion of this thesis would not be possible without the assistance and support of many people. I would first like to thank Dr. Parmer for his expert advice, encouragement, and patience throughout the completion of this thesis. Dr. Parmer continually challenged me to think more critically and refine my writing skills, and I am indebted to him for so much of what I have learned while writing my thesis.

I would also like to thank each performer who volunteered as interviewees for this thesis. I am so grateful for their willingness to participate, and the time and opinions that each performer shared for this thesis.

I thank Dr. Comeau, who, from time to time, offered extremely helpful advice—especially as I was applying for ethics clearance.

Thank you to all of my readers, who have taken the time to critically assess my work and offer their professional advice.

Finally, I want to thank all my family and friends who helped me through two tough years with prayers and encouragement. I specifically want to thank my parents for their love and support, and Alaina and Tania for their editing advice. I especially thank Jeremy who was there for me in so many ways. Lastly, I thank God for His constant care: “I can do all things through Him who gives me strength.” I am very blessed to have had such a wonderful experience at the University of Ottawa, School of Music, and I could not have come to this point if it were not for all the people I have specifically mentioned, as well as so many others.

Table of Contents

ABSTRACT	ii
ACKNOWLEDGEMENTS	iii
CHAPTER I: Setting the Stage	1
CHAPTER II: Gap Exposed	12
2.1 Philosophical/Speculative Theories	13
2.2 Scientific/Empirical Theories	24
2.3 Theories from Reflective Practice	30
CHAPTER III: Filling the Gap	44
CHAPTER IV: The Performer's Perspective	62
CONCLUSION: What Now?	74
APPENDIX A: Interview #1	79
APPENDIX B: Interview# 2	92
APPENDIX C: Interview #3.....	103
APPENDIX D: Interview #4	111
APPENDIX E: Interview #5.....	122
APPENDIX F: Discussion questions.....	130
BIBLIOGRAPHY	131
ETHICS APPROVAL NOTICE	135

CHAPTER 1: Setting the Stage

This introductory chapter sketches out the total musical process in which musical emotion, meaning, and expression are embedded. It also presents an outline of the entire thesis with a focus especially on the definitions of the main terms to be used throughout.

In the Western Classical tradition, the total musical process generally involves the participation of three agencies: composers, performers, and listeners. Although it is entirely possible that these agencies will not necessarily be mutually exclusive (as when composers playing their own compositions are also listening to what they are playing), each agency is distinct and I will maintain that distinction by highlighting the material outcome each agent leaves behind in the total musical process: composers leave behind scores, performers leave behind performances (live or recorded), and listeners leave behind their impressions. Dillon Parmer sees these material outcomes as arising out of a process in which sound images (the imaginary conceptualizations of music which exist in the inaccessible interior of each agent) give rise to scores, performances, and impressions or accounts.¹ Even though the total musical process begins in an act of composition, moves through an act of performance, and ends in an act of listening, it is clear that performance is a crucial component in this process, a nexus tethering compositional acts to listener response. As such, performance stands out in this process as a necessary step even if

¹ Dillon R. Parmer, "Musicology as Epiphenomenon: Derivative Disciplinarity, Performing, and the Deconstruction of the Musical Work," *Repercussions* 10 (Spring, 2007): 30-37.

listeners seem to listen through performances for what they see in scores. I will, therefore, focus exclusively on the performer's role in this transaction and lay out the major concepts and terms that seem to apply in how the performing act becomes emotionally charged and meaningfully expressive. Where applicable, I will refer to definitions from existing scholarship. The following list gives the terms that will be discussed:

- **Communicative content**
- **Gestures: Bodily, Facial, Vocal**
- **Meaning**
- **Emotion**
- **Expression**
- **Sound image**

Communicative content—a catchall term for musical emotion, meaning, and expression (EME)—refers to any and all musical signification attaching to, residing in, or aroused by music both in musical works and performances. While communicative content is present in every step of the total music process, I will focus exclusively on the specific moment in the total musical process when the tonal configuration of a score is turned into audible material reality. Since this moment necessarily includes what performers do to turn the instructions found in the score into music, we must refine our terminology in a way that takes into account what transpires in this moment.

During a performance, the performer brings communicative content to life through various actions and movements, all of which might be referred to

collectively as **gestures**. Some performing gestures are improvised spontaneously, while others are **bodily actions** and **facial/vocal expressions** that a performer intentionally prepares prior to the performing moment. I use the word “intentional” in order to rule out accidental gestures that happen unexpectedly in performance (although one might argue that a performer anticipates and prepares for these as well). This thesis, however, focuses on the intentional gestures that are linked to sound production, whether they are gestures that make direct sounds, indirectly affect sounds, or complement the sounds being made. W. Luke Windsor calls for a further refinement that distinguishes “between such expressive movements as called for by the score and those merely implied by it, or added by the performer.”² Contrary to Windsor’s recommendation, this thesis asserts that the performer alone is responsible for creating performance gestures, and that the score merely specifies the framework within which those gestures take place. Finally, gestures are also—echoing Mine Dogantan-Dack—first and foremost “musically relevant for the performer themselves,”³ meaning that they serve a purpose for the performer before any other agents.

Earlier I mentioned that communicative content is a catchall term for musical emotion, meaning, and expression (EME). Although this thesis addresses EME as a whole, it is important to highlight the differences between emotion, meaning, and

² W. Luke Windsor, “Gestures in Music-making: Action, Information and Perception,” in *New Perspectives on Music and Gesture*, ed. Anthony Gritten and Elaine King (Surrey, England: Ashgate Publishing Limited), 50.

³ Mine Dogantan-Dack, “In the Beginning was Gesture: Piano Touch and the Phenomenology of the Performing Body,” in *New Perspectives on Music and Gesture*, ed. Anthony Gritten and Elaine King (Surrey, England: Ashgate Publishing), 247.

expression in a way that leads to a more nuanced understanding of what communicative content entails. .

Simply put, **meaning** is the intention or signification of something. Although meaning may exist outside of human involvement, the two are closely linked, since meaning is often made evident/ grasped through active human understanding. **Emotion** then is the human reaction or feeling that is attached to/comes from—the perceived meaning. Lastly, **expression** is the human tool used to turn the reaction of the meaning (the emotion) into an audible reality.

Since this thesis focuses specifically on musical EME in the performing moment it is necessary to explain musical EME within that moment, from the performer's perspective, where the performer creates musical EME. In the table that follows, I pose several questions directed at the performer as a way to demonstrate how the performer processes musical EME within the performing moment.

Meaning	Emotion	Expression
What is your understanding of the piece?	What are your feelings/reactions that come out of your understanding?	How do you display/reveal the emotions you feel? (<i>gestures</i>)
What is your understanding of the significance of the piece?	What specific reactions/states of consciousness do you attach to the meaning?	How do you show your emotions to other people?
<i>Sound image is created from the meaning that a performer attaches to the piece.</i>	<i>The performer does not necessarily have to "feel" the emotions for him/herself. For example, the performer may come to understand that a piece should be played "sadly," even if he/she does not feel sad.</i>	How do you explain the meaning in a way that others will understand/grasp?

The table also introduces the term **sound image**, a term I created to refer to the expressive intention that a performer attaches to the score. The sound image is the performer's idea/vision for how a score will sound or what it will mean. The sound image originates in the mind and stems from the meaning that a performer attaches to a score. Although the table presumes that the process of EME in the performing moment is linear, in reality, musical EME occurs simultaneously. Presently, I refrain from explaining the procedure further (chapter three picks up the process of EME from where I leave it now) and return to defining the main terms of this thesis.

In music scholarship there is more or less a consensus that the phenomenon of musical meaning is grounded in some form of human involvement. While Eric Clarke describes this involvement strictly from the listener's perspective, his ecological approach is worth noting. Clarke explains:

In ecological theory, perception and meaning are closely related. When people perceive what is happening around them, they are trying to understand, and adapt to, what is going on. In this sense they are engaged with the meanings of the events in their environment...to hear a sound and recognize what it is (for example the sound of the mail being delivered through the letterbox) is to understand its perceptual meaning, which will result in corresponding actions. By contrast, to hear a sound and *not* recognize what it is, is to fail to understand its meanings and thus to act appropriately.⁴

Although Clarke emphasizes the listener's perception, his explanation for meaning can just as easily work from the perception of the performer. Consider, for example, replacing "to hear a sound and recognize what it is" with "to see as score and recognize what it is." Despite the focus on the listener, Clarke's ecological theory for musical meaning is not unlike the explanation of musical EME that I present in this thesis. Clarke, makes further reference to the origin of musical meaning: "Perception happened actively: hence a close relationship between the words "perception" and "action." Actions lead to, enhance, and direct perception, and are in turn the result of, and response to, perception."⁵ The "perception" and "action" that Clarke speaks of resembles the "sound image" and "gestures" presented in this thesis. Unfortunately, Clarke does not take the performer's perspective into consideration.

⁴ Eric Clarke, *Ways of Listening: An Ecological Approach to the Perception of Musical Meaning* (New York: Oxford University Press, 2005), 7.

⁵ *Ibid.*, 19.

Steven Davies, a leading philosopher of music in this domain of research, describes musical meaning as deriving from an active and personal engagement:

Composers intend to make something that invites attention, engagement, and consideration rather than aiming to stimulate a mindless reflex, and that they succeed in producing works rewarding in just this way, suggests to me that we might reasonably talk of music's meaning as what is grasped by the person who understands it.⁶

Although "the person who understands it" tends to be, in Davies's view, the listener-spectator, there is no reason why that person could not also be a performer. Indeed, Reginald Gerig identifies comparable forms of "attention, engagement, and consideration" from the perspective of precisely this subjectivity:

The thorough development of the basic physical tools has been of the most vital concern to keyboard performers and pedagogues across the centuries... The historical piano technical literature abounds with admonitions from the great; and while they all stress the urgency of attaining this goal, they do not lose sight of the fact that there is something more. The technical objective at the same time becomes *the* means to a far greater end—the projection of a meaningful interpretation, the re-creation of fine piano literature with heart and mind, as well as the physical element, totally involved.⁷

Although Davies and Gerig emphasize different agencies, they both recognize that music is made meaningful through active human engagement. However, while Davies searches for meaning in how listeners engage with the score, and Gerig is more concerned with technique, this thesis locates meaning in the process by which the performer makes sounds during the performing moment. In other words, this thesis argues that performers make musical meaning when they transform their sound image into an audible material reality. Emotion, meaning, expression, and

⁶ Stephen Davies, *Musical Meaning and Expression* (New York: Cornell University Press, 1994), ix.

⁷ Reginald R. Gerig, *Famous Pianists and Their Technique* (Indiana: Indiana University Press, 2007), 1.

significance all emerge, therefore, when technique allows that image to be realized as an act of performance. Later chapters will discuss in more detail how this process allows for meaning to accrue in the performing moment.

Even though meaning creation is bound up in the performing agency, it is necessary to consider how an audience might affect the meanings performers create. In the West European Classical music tradition, the audience expects that a professional performer will deliver a performance infused with meaning. This expectation does not alter the origin of meaning, but the expectation could have an effect on how the performer chooses to deliver that meaning in a performance. For example, a performer might choreograph highly dramatic gestures into a performance to convince the audience that his or her playing is meaningful, emotionally connected. The example opens up a can of worms: there are opposing stances on the necessity or sincerity of dramatic gestures in performance. While searching for an example of this disagreement, I stumbled across a YouTube video montage called “Drama at the Piano: Pianists making unnecessary gestures while playing,” which shows clips of famous pianists using arguably unneeded gestures.⁸ In the viewer commentary below the video, some viewers argued that gestures are appropriate for various reasons, while others found the extra movements disturbing. I suspect the debate will continue as long as there are critically acclaimed performers who use dramatic bodily and facial gestures in performance.

While expression and emotion might be used interchangeably in musicology, the terms are not entirely synonymous. Emotion is an inward state of mind or

⁸ <<https://www.youtube.com/watch?v=ruKHcLka274>> Accessed July 5, 2015.

feeling, while expression is an outward conveyance of an emotion. Together, emotion and expression form a cause-and-effect relationship: emotion is what gives rise to expression. Understood this way, musical expression is the outward, tangible result—the perceivable representation—of a felt emotion. Patrik Juslin and John Sloboda define musical expression in this way:

A quite brief but intense affective reaction that usually involves a number of sub-components—subjective feeling, physiological arousal, expression, action tendency, and regulation—that are more or less “synchronized.” Emotions focus on specific “objects” and last minutes to a few hours (e.g. happiness, sadness).⁹

Without expression, emotions would remain only an internally felt sensation. The difference, therefore, is that emotion is a state of being while expression is a visible reaction to one’s state. Simply, emotion is something that is felt or experienced and, often times, reacted upon. Malcolm Budd distinguishes between two types of emotion, episodic and dispositional:

As an episode, an emotion is an occurrence: it is something felt, experienced or undergone at a certain time.... Understood dispositionally, an emotion involves a tendency to undergo the emotion when certain thoughts are present to the mind: under these conditions episodes of the emotion are likely to occur...¹⁰

While Budd’s episodic definition of emotion is relatively obvious, his consideration of dispositional emotion is perhaps less familiar. In the dispositional sense, Budd accounts for the prevalence of certain emotional outlooks, in light of a specific thought or scenario. Budd gives the example of someone, who, being afraid of another person has the tendency to always feel fear whenever he is around that

⁹ Patrik N. Juslin and John A. Sloboda, *Handbook of Music and Emotion: Theory, Research, Applications* (Oxford: Oxford University Press, 1993), 11.

¹⁰ Malcolm Budd, *Music and the Emotions: The Philosophical Theories* (New York: Routledge Inc., 1992), 1.

person.¹¹ Although Budd's second consideration is interesting, it is perhaps unnecessary. Budd himself points out its limitations, advising the reader to focus on emotions episodically.

Beyond this, two final points need to be made about communicative content. First, while this thesis divides expression, as a part of the overarching term "communicative content," into three subcategories, **facial**, **bodily**, and **vocal expression**, the reader may notice that the term "gesture" will replace the term "expression."¹² This is not a mistake even if it attests to the frustrations that come from working with abstract ideas. Rather, facial, bodily, and vocal expressions all take physical form in a type of gesture—such as a raised eyebrow (facial), sweeping hand (bodily), and singing voice (vocal)—hence the close relationship and occasional interchange of terms. Second, although this thesis speaks strictly from the performer's perspective in order to address an oversight in existing research, it recognizes that communicative content can be found in other places along the music-making process. A composer, for example, may be influenced by felt emotions while writing, and the listeners may also identify with communicative content for themselves, and respond to the music they listen to with their own bodily gestures. Nevertheless, the focus of this thesis will remain on the expression of the performer.

Having presented the topic and terminology of this thesis, in the following pages I examine theories of communicative content from the perspective of the performer. First, **Chapter 2: Gap Exposed** reviews the literature on the matter of emotion, meaning, and expression in music. This study of the literature reveals

¹¹ Malcolm Budd, *Music and the Emotions: The Philosophical Theories*, 1.

¹² Gesture replaces expression most obviously in chapter three, pages 51-58.

three general areas of research—Philosophical/Speculative theories (2.1) Scientific/Empirical theories (2.2) and Reflective Practice theories (2.3), and also exposes the relative absence of the performing agency in such theories. **Chapter 3: Filling The Gap** offers a new methodology that fills the gap exposed in chapter two. Moving away from score analysis and listener-based understanding, the chapter constructs a theoretical framework for understanding emotion, meaning, and expression from within the performing experience. This new model suggests that emotion, meaning, and expression in music arise as performance goal outcomes in actual performance. **Chapter 4: The Performer's Perspective** assesses both this new model, as well as a selected examples of models discussed in chapter three, in relation to interviews with real-world performers. The chapter explains the procedure used for the interviews (4.1), offers a formal translation of the data (4.2) and discusses the individual and collective results (4.3). Lastly, the **Conclusion: What Now?** discusses the implications the preceding assessment has on broader matters of emotion, meaning, and expression.

CHAPTER 2: Gap Exposed

Music research about the west European classical tradition contains a plethora of theories about the music and its communicative content. Instead of summarizing each theory—a task which is outside the scope of this thesis—the review of literature constituting this chapter focuses specifically on the long standing works that serve as foundational pieces, as well as some of the emerging scholarship that reveals future directions on matters of music and communicative content. My primary aim with this review of literature is to reveal the extent to which the performer's perspective is absent throughout.

Although the list of literature is long, the theories represented among the works can be grouped into three broad categories of research: that which is based in philosophical/speculative theory (2.1), that which makes use of scientific/empirical theory (2.2), and that which derives from reflective practice (2.3). These subdivisions are by no means a simple black-and-white-designation for all research pertaining to musical emotion, meaning, and expression. Because some studies can fit in more than one category, the divisions function not only as general types for organizing and understanding an extensive body of research, but also as a means for providing readers with a sense of where this thesis might be situated in the discussion. What follows is a more detailed summary of some of the most prominent scholarly research conducted in each of the three areas.

2.1 Philosophical/Speculative Theories

Philosophical/Speculative theories continue to be marked by the recurring investigation of questions such as “what does music mean/express/emote” and “how does music mean/express/emote.”¹³ In the case of west European classical music, this area of study is still largely conducted from the perspective of the listener-spectator and most often focuses on scores and musical structures encoded with the notation. I begin with a brief summary of the historical perspectives that have given rise to present philosophical/speculative theories, then move on to examine current and emerging perspectives.

It comes as no surprise that philosophy accounts for some of the earliest known approaches to music and the emotions. Music’s power to represent and arouse emotions is attested to in the writings of both Plato and Aristotle, for instance. But without knowing how their music sounded, it is next to impossible for us to understand how their music generated or became imbued with communicative content.¹⁴ In the seventeenth century, philosopher René Descartes developed what later came to be called the “Cartesian Mind,” a philosophy that elevates the study of the mind above the body. For the next two hundred years, this emphasis on the mind caused many philosophers to neglect the importance of the body in their studies.¹⁵

¹³ Definitions of terms such as emotion, meaning, and expression vary according to theorists and are often included in their musicological discussions. These terms and others are defined in this thesis starting on page two of the introduction.

¹⁴ Piero Weiss and Richard Taruskin, *Music in the Western World: A History in Documents* 2nd ed. (Belmont, CA.:Thomas/Schirmer: 2008), 1.

¹⁵ Mine Dogantan-Dack, “In the Beginning was Gesture: Piano Touch and the Phenomenology of the Performing Body,” 243-244.

The nineteenth century ushered in a new wave of influential (and often opposing) theories on music and the emotions, including Arthur Schopenhauer's theory that the expressiveness of music is located within the music itself. Schopenhauer argues that music can express universal feelings and impulses in concrete form, even without the use of words:

Music expresses in an exceedingly universal language, in a homogenous material, that is, in mere tones, and with greatest distinctness and truth, the inner being, in-itself, of the world, which we think of under the concept of will, according to its most distinct manifestation.¹⁶

Eduard Hanslick, however, writes that music cannot sensibly be said to represent any emotion at all: "Music...has no aim (object) and the mere fact that this particular art is so closely bound up with our feelings, by no means justifies the assumption that its aesthetic principles depend on this union."¹⁷ Instead, Hanslick posits that emotion is dependent on the listener's interpretation: "There is no casual nexus between a musical composition and the feelings it may excite, as the latter vary with our experience and impressibility."¹⁸ Despite this denial, philosophers of music continued to forge a link between music and feelings well into the twentieth century. Leonard B. Meyer, for instance, offers another possible explanation in *Emotion and Meaning in Music*.¹⁹ Here, Meyer acknowledges both felt emotion and emotion in the music but called for a distinction between the two. Meyer's work seems to have sparked the interest of many philosophers, since another outpouring

¹⁶ Arthur Schopenhauer, *The World as Will and Representation*, Vol. 1, trans. E.F. J. Payne (Indian Hills, CO: Falcon's Wings Press, 1959), 264.

¹⁷ Eduard Hanslick, *The Beautiful In Music: A Contribution to the Revisal of Musical Aesthetics*, trans. Gustav Cohen (New York: Novello, Ewer and Co., 1891), 19.

¹⁸ *Ibid.*, 25.

¹⁹ Leonard B. Meyer, *Emotion and Meaning in Music* (Chicago: University of Chicago Press: 1961).

of publications on the relationship of music and the emotions followed shortly thereafter. These works cover a broad spectrum of research, ranging from philosophy through aesthetics to academic music criticism and analysis, and certain branches of what was once called the new musicology. It is to this more recent literature that I now turn.

The philosophical/speculative approach continues to welcome new explanations for the expressive nature of music, such as the transmission theory—one of the more recent additions to the discussion. The transmission theory holds that a composer has an experience inside him/herself that he/she wants to transmit to others (namely, the listeners). In order to do so, the composer must find a way to externalize his experience, which he or she does by creating a composition. While composing, the composer transfers his or her own emotions into musical sounds, which are transferred back into emotions when the listener hears the music. Most transmission theorists describe the experiences transmitted via the music as moods, feelings, and emotions. Deryck Cooke's transmission theory observes the correlations between emotions and particular music patterns of sound that have been used to express emotions, including the tonal relationships between the twelve notes of west European scales, and volume, time, and pitch—which further emphasize the tonal relationships.²⁰ Because the expressive meanings of the sound patterns are consistent, they can form—as Cooke explains—a vocabulary of music: "Music is, in fact, 'extra-musical'...since notes, like words, have emotional connotations; it is...the supreme expression of universal emotions, in an entirely

²⁰ Deryck Cooke discusses these four elements of musical expression in *The Language of Music* (London: Oxford University Press, 1959), 34-112.

personal way.”²¹ Malcolm Budd offers both praise and criticism for Cooke’s theory. On one hand, Budd claims that Cooke’s transmission theory is the best of its kind, but on the other hand, Budd points out a fundamental error in the transmission form of the expression theory:

Its separation of what gives music its value—according to the theory, the experience it transmits from composer to listener—from the music itself...therefore it regards music purely as a tool: the function of the tool is to arouse in the listener the experience the composer wishes him to feel.²²

Budd’s issue with the transmission form is that it misrepresents the value of music in that the theory delimits value according to the transmission of an experience from composer to listener.²³ Budd does not believe that such an experience even takes place.²⁴

One way that scholars have avoided the problems with transmission theories is by locating communicate content in the music itself. Steven Davies, for instance, advocates for this theory in his *Musical Meaning and Expression* (1994)—an important reference for those writing about emotion, meaning, and expression from a philosophical point of view.²⁵ Because Davies believes that emotion and expression reside within the music itself, he “locates the significance of music as internal to the work, as residing in intrinsic properties...[arguing], in particular, that the emotions expressed in music are properties of the work.”²⁶

²¹ Ibid., 33.

²² Malcolm Budd, *Music and The Emotions: The Philosophical Theories*, 123.

²³ Ibid.

²⁴ Ibid., 124.

²⁵ Stephen Davies, *Musical Meaning and Expression* (Ithaca: Cornell University Press, 1994).

²⁶ Davies, *Musical Meaning and Expression*, 201.

In more recent years, Davies has focused specifically on musical performance, a turn that Davies could easily connect to his preceding theory of emotion, meaning, and expression. Davies explains the necessary conditions of a performance in terms of three interrelated intentions: an intention to match the performance to the work's content, an intention to follow most of the instructions that apply to the work, and an intention to create a causal chain that links the performance to the work's creation. Spending significant time on the idea of matching, Davies attempts to explain how individual performances, although different from one another, coincide with the original work. It would be appropriate for Davies to justify the differences among performances as a result of the individual interpretations of emotion, meaning, and expression brought to each performance. Davies, however, only hints at such a possibility with a passing acknowledgment of the existence of the performer's interpretational space, as he moves on to discuss in greater detail the role of notational mistakes in performance matching.²⁷

While Davies emphasizes the score above the performer, alleging that performance is expressive so long as the performer follows the score accurately, he recognizes that there is still more to achieving an expressive performance:²⁸

The present analysis is not yet satisfactory, however. It undervalues the performer's contribution to the performance's expressiveness by implying that she need only copy or re-create what has been achieved already by the composer... Many of the fine details of performances are left to the performer's discretion, and the ways she handles them comprise her interpretation of the piece.²⁹

²⁷ Stephen Davies, *Musical Works and Performances: A Philosophical Exploration* (Oxford: Clarendon Press, 2004), 152.

²⁸ Stephen Davies, "Once Again, This Time With Feeling," *The Journal of Aesthetic Education* 38, no. 2 (2004): 3.

²⁹ *Ibid.*, 4.

Although Davies identifies the performer's discretion in what he calls "the interpretation space," he follows his acknowledgement with a warning that the performer's perspective often compromises the interpretation. Davies advises the performer to shy away from using too much expressive character, arguing that, in doing so, the performer either loses control of the performance or distracts the listener. Instead, Davies directs the performer back to the score: "the education of musicians should focus more on technique, nuances of interpretation, and "authentic" modes of playing [rather] than on self-expression or on sharing the music's expressive moods."³⁰

Budd looks critically at the theory that music itself embodies emotion, and argues: "it cannot be literally true that music embodies emotion, for it is not a living body which feels its own bodily processes."³¹ The impossibility of this theory inspires Budd to come up with an explanation for why music is so often wrongly characterized by emotions. Budd mainly focuses on Carroll C. Pratt's theory, laid out in *The Meaning of Music*, in which Pratt defends the embodiment theory of musical emotion through a look at movements of and in the body. Budd's critique argues that Pratt's theory fails to provide a convincing argument that supports embodied emotions in music.

Dismissing the transmission form and the theory that music embodies emotion, Budd points out a need for a theory that takes into account the actual experience of music:

³⁰ Davies, "Once Again, This Time With Feeling," 6.

³¹ Malcolm Budd, *Music and the Emotions: The Philosophical Theories*, 37.

Now my interest here is...a correct theory of musical expression: a theory which explains what it is for music to be expressive of emotion, what it is for music to be heard as expressive of emotion, what kinds of value can attach to musical expressiveness.³²

By attaching the meaning of expression to the human body, Budd envisions a theory that acknowledges the embodied experience of music.³³ Budd considers two existing theories that involve music as if it were the human expression of emotion, but finds them as equally wanting as any theory based on a transmission form.³⁴ The problem with the theories under consideration is that they speak exclusively from the listener's experience, which does not give Budd a satisfying answer for "what it is for music to be expressive of emotion," since the listener's emotional experience is personal and cannot accurately explain the expression of emotion in the actual music-making moment.³⁵ While Budd leaves room for the possibility that another existing or future theory may offer a better explanation, he once more does not offer a new theory to compensate for the failures of the existing ones. Still, Budd's work is significant in that it exposes a serious gap in the literature.

Nevertheless, many scholars continue to explain music's ability to express or emote, and they avoid the pitfalls of previous theories by invoking some form of analogy. Peter Kivy, for instance, compares musical emotions to the physical behavioral expression in humans. Music, as he sees it, contains or conveys emotions

³² Malcolm Budd, *Music and the Emotions*, 125.

³³ *Ibid.*

³⁴ The two theories mentioned by Budd are R. K. Elliott, "Aesthetic Theory and the Experience of Art," *Proceedings of the Aristotelian Society* 67 (January 1966): 111-126; and Kendall Walton, "Fearing Fictions," *Journal of Philosophy* 75, no.1 (January 1978): 5-27.

³⁵ Malcolm Budd, *Music and the Emotions*, 125.

that lie within the range of obvious behavioral expressiveness.³⁶ Such behavioral expressiveness includes, movement, gesture, and posture, and also resemblances of emotional speech. Nevertheless, Kivy dismisses felt emotion, claiming that felt emotion is “imponderable and, perhaps, without the requisite structure.”³⁷ To illustrate, he uses the image of a sad looking St. Bernard. Although the face of a St. Bernard looks sad, it does not necessarily mean that the dog is actually feeling sad. Kivy accounts for musical expression in the same way. Although the music may sound like a particular emotion it does not mean that the markers of emotion are necessarily experiencing the emotion themselves. Kivy describes his theory of musical expression as “an account of how it is that music can be expressive of the emotions...not a theory of how music can express them.”³⁸ This theory, therefore, does not necessarily deny that music arouses garden-variety emotions in the listener, but is instead concerned with how music can be expressive of emotions, theorizing on what goes on when music is described in emotional terms and why there is wide agreement in identifying labels of emotions (broadly speaking) for many musical works.

Jerrold Levinson is a leading contributor to music criticism and aesthetics, who takes a similar approach to Kivy’s by also relating expressiveness in music to expressive human gesture.³⁹ Levinson, however, distinguishes human behavior from musical expression for several reasons. First, he posits that music does not

³⁶ Peter Kivy, *The Corded Shell: Reflections on Musical Expression* (Princeton: Princeton University Press, 1980).

³⁷ Ibid., 52.

³⁸ Ibid., 14.

³⁹ Jerrold Levinson, *Contemplating Art Essays in Aesthetics* (Oxford: Clarendon, 2006).

actually exhibit behavior as such, second, musical gestures are metaphoric rather than literal, and third, the character of expressive music is not always the immediate result of emotion experienced by the listener.⁴⁰ Because of these differences, Levinson sees music as having emotional qualities rather than expressing any sort of emotional state: “Music expresses an emotion only to the extent that we are disposed to hear it as the expression of an emotion, but through different means, by a person or person-like entity.”⁴¹

Although the philosophical/speculative approach continues to expand, it is void, as Budd laments, of a “theory [that] does justice to the phenomenon of music.”⁴² Cooke’s transmission-based theory, for example, limits musical emotion, meaning, and expression to an oversimplified musical vocabulary that cannot explain how the composer, performer, and listener often have vast differences in their interpretations of the same piece of music.

Davies shows how the theory that music embodies expression or emotion is no closer to reality than the transmission theory. While his study focuses mostly on notational mistakes, it is also important to consider whether emotion, meaning, and expression improves or hinders a performance. Davies’ discussion on matching and notational errors, is, therefore, limiting, and would benefit from recognizing that emotion, meaning, and expression largely determine how to distinguish a good performance from a bad one, even when they are both considered equal in terms of matching. Davies also argues that it is impossible for theorists to ignore the human

⁴⁰ These three points are discussed with greater detail in chapter six, pp91-108 of Levinson’s *Contemplating Art Essays in Aesthetics*.

⁴¹ Levinson, *Contemplating Art Essays in Aesthetics*, 93.

⁴² Malcolm Budd, *Music and The Emotions*, xii.

element involved in the creation of musical emotion or expression, despite holding to the belief that a detailed score study can accurately explain musical emotion.

Even theories that compare emotion or expression to human behavior or human gesture do not always provide a complete picture of the human element involved in the creation of musical emotion. Levinson's theory, for example, seems to call for a discussion of the expressive intentions of performance gestures, and yet, the listener is Levinson's main focus. Disappointingly, insights from the performer's perspective are scarcely found. Kivy's theory (that musical expression resembles human expressive behavior) faces a similar problem among others. It is a theory based on very general concepts, admitted even by the author himself. Although Kivy is correct in pointing out a majority of an audience can identify the same general emotion in a passage of music, he does not fully consider how this majority decision comes into being. No doubt, social and cultural conventions come into play, but what about highlighting the role of performer in cultivating the performance to resemble these general emotions and human behaviors?⁴³ In an attempt to understand how one hears expressiveness in music, it would be fitting to consider how the performer, through his or her actions, is responsible for giving rise to the listener's emotions but, unfortunately, Kivy neglects this perspective. While Kivy makes revisions to *The Corded Shell* in more recent works, the role of the performer is still ignored in his newfound conclusions.

Of all the philosophical/speculative theorists, Budd is both the closest to and farthest from understanding the performer's contribution to musical

⁴³ To see how social and cultural conventions come into Kivy's discussion, refer to chapter nine of his *The Corded Shell* (Princeton: Princeton University Press, 1980).

emotion/expression. Budd's critical eye exposes the weaknesses in pre-existing theories, including those by Deryck Cooke, Leonard B. Meyers, Leo Tolstoy, Arthur Schoopenhauer, Edmund Gurney, and Susanne K. Langer.⁴⁴ Although Budd's critique is not followed up by an alternative solution, Budd discovers that the listener's perspective of musical emotion does not give an accurate picture of what it means to express emotion in the actual music-making moment. While Budd does not bring the performer into play in his own writing, this thesis takes Budd's discovery seriously by concerning itself with what performers and performance might contribute to a theory for the expression of emotions in music.

Because philosophical/speculative theories reduce music's communicative content to only what can be read in scores, such theories tend to see musical meaning and expression as a transaction between composer and listener-spectators and subsequently disregard the role performers play not only in the transmission of, but also, and perhaps more importantly, the creation of communicative content. Scientific or empirical theories would seem to fill this gap by shifting the focus from musical works and scores to performers themselves.

⁴⁴Malcolm Budd's *Music and the Emotions* discusses the following list of scholars: Deryck Cooke, *The Language of Music* (London: Oxford University Press, 1959); Leonard B. Meyer, *Emotion and Meaning in Music* (Chicago: Chicago University Press, 1961); Leo Tolstoy and Aylmer Maude, trans., *What is Art?* (Toronto: George N. Morang, 1899); Arthur Schopenhauer, *The World as Will and Representation* (Indian Hills, Colo.: Falcon's Wing Press, 1958); Edmund Gurney, *The Power of Sound*, (New York: Basic Books, 1966), first published in London, 1880; Susanne K. Langer, *Philosophy in a New Key* (New York; Toronto: New American Library, 1951).

2.2 Scientific/Empirical Theories

Researchers that employ scientific/empirical theories tend to study those aspects of performance that are readily observable, measurable, and testable. Although it is impossible to review each of the many specialized disciplines of study that fall under this category, I will focus on the general trends of such research by examining pedagogical theories (Davidson; Williamon), multi-disciplinary theories (Cook & Dibben; Peretz), and psychological theories (Parsons; Sloboda & Juslin).⁴⁵

When recent scientific/empirical theories focus on matters of musical expression in real-life teaching and learning settings, they seem to emphasize pedagogy. A leading contributor in this line of research, Jane Davidson focuses especially on expressive body movement in musical performance from solo classical pianists to chamber orchestras. Indeed, she was among the first scholars to speak to the intricacies of gesture in performance and its communicative effects, and,

⁴⁵Jane W. Davidson, "Bodily Communication in Musical Performance," in *Musical Communication*, ed. Dorothy Miell Raymond MacDonald, and David J. Hargreaves (Oxford: Oxford University Press, 2005); Jane W. Davidson, "Bodily movement and facial actions in expressive musical performance by solo and duo instrumentalists: Two distinctive case studies," *Psychology of Music* 40 (2012): 595–633; Jane W. Davidson, Stephanie E. Pitts, and Jorge Salgado Correia, "Reconciling Technical and Expressive Elements in Musical Instrument Teaching: Working with Children," *Journal of Aesthetic Education* 35 (Autumn, 2001): 51-62; Aaron Williamon, *Musical Excellence: Strategies and Techniques to Enhance Performance* (Oxford: Oxford University Press, 2004); Nicholas Cook and Nicola Dibben, "Emotion in Culture and History." In *Handbook of Music and Emotion: Theory, Research, Applications*, ed. Patrik N. Juslin and John Sloboda, 45-72 (Oxford: Oxford University Press, 2010); Isabelle Peretz, "Towards a Neurobiology of Musical Emotions." In *Handbook of Music and Emotion: Theory, Research, Applications*, ed. Patrik N. Juslin and John Sloboda, 99-125 (Oxford: Oxford University Press, 2010); Lawrence M. Parsons, Justine Sergent, Donald A. Hodges, and Peter T. Fox, "The Brain Basis of Piano Performance" *Neuropsychologia* 43 (2005): 199-215; John Sloboda, "Assessing Music Psychology Research: Values, Properties, and Outcomes," in *Exploring the Musical Mind: Cognition, Emotion, Ability, Function*, ed. John Sloboda (Oxford: Oxford University Press, 2005).

consequently, her groundbreaking work is repeatedly referenced. Through various case studies, Davidson's research has not only confirmed that meaningful performances contain highly expressive body movements, but also that the early incorporation of such movements into how musicians make music from a young age is so very important.⁴⁶ While Davidson's research stresses the importance of gesture in performance, it simultaneously exposes the lack of technical and expressive elements in musical instruction.⁴⁷ Since music theory and the techniques of playing are easy to test and control, they are a large focus in the conventional mode of teaching, leaving little attention for expressive playing.⁴⁸ Because expression is such an important part of performing, especially at a mature level of practice, Davidson suggests the need to rewrite the pedagogical teaching methods to include a focus on the expressive elements of instrument playing from childhood onwards.⁴⁹

Other scholars have conducted research along similar lines. Aaron Williamon, for instance, applies scientific methods to foster understanding of music learning and teaching. Williamon offers new perspectives and practical guidance for

⁴⁶ Jane W. Davidson, "Bodily movement and facial actions in expressive musical performance by solo and duo instrumentalists: Two distinctive case studies" *Psychology of Music*, 40 (2012): 595 – 633.

⁴⁷ Jane W. Davidson, Stephanie E. Pitts, and Jorge Salgado Correia, "Reconciling Technical and Expressive Elements in Musical Instrument Teaching: Working with Children." *Journal of Aesthetic Education*, 35 (Autumn, 2001): 51-62.

⁴⁸ Jane W. Davidson, et al, "Reconciling Technical and Expressive Elements in Musical Instrument Teaching," 52.

⁴⁹ This summary of Davidson's research has been taken from the above mentioned studies, and her professional profile, which can be found on the official site for the University of Western Australia at <<http://www.findanexpert.unimelb.edu.au/display/person544493>>

enhancing performance and managing the stress that accompanies performance.⁵⁰ Since Williamon sees expressive or emotional playing as an essential component of performance, he develops a new method for teaching expressivity—called *Cognitive Feedback* (CFB)—based on recent developments in musical science, psychology, technology, and acoustics.⁵¹ To make CFB accessible to performers, Cooke develops a computer software program that performers can use to help them foster their ability to play expressively. The program first has a performer record several performances of the same melody with the goal of expressing a particular emotion (the performer can choose an emotion from a list that the program provides). Ideally, the performer will record more than one version of whatever emotion he or she is attempting to convey. Once finished, the performer will obtain feedback from the software. The software compares the performer's use of expressive cues in his or her recordings to the results of a listener model that is already installed in the program.⁵² After comparing the recordings to listener judgments, the performer has a chance to repeat the first task, in an attempt to improve his or her expressive cues, according to the provided feedback. The success of the CFB program convinces Williamon that the problems with musical expressivity are easily managed with an empirical-based solution such as the computer system program he has created.

⁵⁰ Aaron Williamon, "Feedback Learning of Musical Expressivity," in *Musical Excellence: Strategies and Techniques to Enhance Performance*, ed. Aaron Williamon (Oxford: Oxford University Press, 2004), 247-270.

⁵¹ Ibid., 248-265.

⁵² For information on how the computer software program has come up with the feedback, see page 260-262 of Aaron Williamon's "Feedback Learning of Musical Expressivity."

Nicholas Cook and Nicola Dibben are notable advocates of the scientific/empirical approach for explaining musical expression, meaning, and emotion. In their review of the literature, they conclude that the discussion would benefit from cross-fertilization with other disciplines: "Attempts to develop explicit theoretical models for the attribution of meaning to music, however, are a recent development and arise out of a promising intersection of music theory, psychology, and cognitive science."⁵³ Cook and Dibbens' prediction for future interdisciplinary research is becoming a reality within the scientific/empirical category. Isabella Peretz, for example, combines a psychological and biological focus on emotional responses to music, in conjunction with music's social and critical value. More specifically, Peretz explores the function of the brain in hopes of gaining a better understanding of the biological basis of human cognition and emotion (i.e. to see the extent to which musical emotions are biologically determined).⁵⁴ Unfortunately, the performer's point of view is not taken into account, as Peretz concludes that the neurobiological viewpoint on musically expressed emotion needs time to develop before more theories or perspectives are considered. It remains uncertain whether or not future multi-disciplinary studies will keep the performer's perspective in mind.

Since emotion connects to mental process and behavior, it is featured in many psychological studies. Lawrence M. Parsons, who works specifically in the neuropsychological field of research, studies the brains of professional musicians to

⁵³ Nicholas Cook and Nicola Dibben, "Emotion in Culture and History," in *Handbook of Music and Emotion: Theory, Research, Applications*, ed. Patrik N. Juslin and John Sloboda (Oxford: Oxford University Press, 2010), 68.

⁵⁴ Isabelle Peretz, "Towards a Neurobiology of Musical Emotions," in *Handbook of Music and Emotion: Theory, Research, Applications*, ed. Patrik N. Juslin and John Sloboda (Oxford: Oxford University Press, 2010), 100-125.

uncover which areas of the brain are used while playing through contrasting pieces or exercises.⁵⁵ While Parsons' findings are not followed up with any real-world application, the results of such work may inspire other scholars to build on the findings.

John A. Sloboda—a leading music psychologist himself—identifies one of the major weaknesses in most psychological studies as the lack of a real-world application: “Social benefit is not a consideration in the training of many psychology researchers (perhaps even most). Ethical considerations tend to be confined narrowly to the treatment of experimental volunteers.”⁵⁶ Without real-world application, Sloboda questions how useful psychological studies are beyond an interest in learning about music psychology. He hypothesizes that psychological studies do not often include such an application for reasons ranging from the restraints on academic freedom to results that are socially unbeneficial.⁵⁷ While Parson's research proves that Sloboda's concern is legitimate, the lack of a real-life application is not as concerning as is the missing performer's perspective in scientific/empirical studies. On the whole, scientific/empirical theories measure the emotional responses to music, i.e. the listener's emotional reaction to music, and consequently leave out the performer's perspective. Sloboda and Juslin, for instance, attest (without concern) to this prevailing perspective in empirical studies:

⁵⁵ Lawrence M. Parsons, Justine Sergent, Donald A. Hodges, and Peter T. Fox, “The Brain Basis of Piano Performance” *Neuropsychologia* 43 (2005): 199-215.

⁵⁶ John Sloboda, “Assessing Music Psychology Research: Values, Properties, and Outcomes,” in *Exploring the Musical Mind: Cognition, Emotion, Ability, Function*, ed. John Sloboda (Oxford: Oxford University Press, 2005), 396.

⁵⁷ *Ibid.*, 413-415.

Emotion is increasingly regarded as a phenomenon that features various subcomponents (e.g. subjective feeling, emotional expression, physiological reaction, action tendencies), which can all be used to measure emotional responses (Juslin & Västfjäll, 2008; Scherer & Zentner, 2001; for a recent review, see Mauss & Robinson, 2009). There continue to be debates concerning whether music can arouse ‘genuine’, ‘everyday’, or ‘garden variety’ emotions, and, if so, which emotions they might be. Thus, an important goal is to improve the ways that responses to music are measured, so that more valid conclusions about the experienced states can be drawn.⁵⁸

Even Jane Davidson’s research—which studies the performer and applies to real-world situations—does not talk about the perspective of the performer, since Davidson focuses mainly on a listener-based observation. Mine Dogantan-Dack explains:

While constituting an important step towards an understanding of musical performance as a truly embodied event, it is important to note that Davidson’s research has focused on the experiences of observes/onlookers; her aim has been to explore ‘what sort of movement characteristics might guide observer perception’ (Davidson 2007:384).⁵⁹

In most scientific/empirical theories—Davidson’s included—if the performer is mentioned, he or she is an object of study. Although research that uses the performer as an object of study can offer valuable contributions with real-world benefits, it is important to note that these studies differ markedly from studies that formulate theories from reflective practice.

⁵⁸ John Sloboda and Patrik Juslin, *Handbook of Music and Emotion: Theory, Research*, 5-6.

⁵⁹ Mine Dogantan-Dack, “In the Beginning was Gesture: Piano Touch and the Phenomenology of the Performing Body,” 247.

2.3 Theories from Reflective Practice

In the domain of music studies, the research paradigm of reflective practice recognizes the performer not as an object of study but as an essential contributor to the formulation of theories that model or account for understanding the matter at hand. In other words, performing constitutes a type of field experience that can serve as a source of information. For the present thesis, that information can point to new theories of meaning, expression, and emotion in music. Although the paradigm of reflective practice is relatively new in music, there are some precedents for it in the literature. In this domain the performer is sometimes presented as an equal contributor to the creation of musical meaning (i.e. Lawrence Kramer, *Interpreting Music*). Other times, scholars focus on the ways in which emotion penetrates into many areas of a performer's life (i.e. Robert Woody and Gary McPherson, "Emotion in the Lives of Performers"). Reflective practice also gives a scholar an opportunity to discuss personal experiences (i.e. Elisabeth Leguin, *Boccherini's Body: An Essay in Carnal Musicology*) or the experiences of others (i.e. Reginald Gerig, *Famous Pianists and Their Technique*). Finally, there are a small number of scholars who explain the communicative content of music through an examination of a performer's gestures (i.e. W. Luke Windsor, "Gestures in Music-making: Action, Information, and Perception"; Roger Chaffin, Learning Claire de Lune: Retrieval Practice and Expert Memorization"; Mine Dogtan-Dack, "In the Beginning Was Gesture: Piano Touch and the Phenomenology of the Performing Body"). Although all but one of the reflective practice theories do not fully recognize

the performer's responsibility in delivering the communicative content of music, they are still important contributions from an otherwise overlooked perspective.⁶⁰

Although unusual for him, Lawrence Kramer has more recently taken on the reflective practice approach to explain the relationship between musical performance and musical meaning. While most scholars focus on either the performance or the work, Kramer adopts a position that simultaneously justifies both.⁶¹ To illustrate, he conducts a score-oriented interpretation and a performance-oriented reading of Chopin's Mazurka in B Minor, op. 33, no. 4, and, in either case, extracts examples of musical meaning.⁶² Kramer solidifies his argument further with another example, this time referring to a performance of the *Scherzo* in Mahler's Fourth Symphony. Kramer describes how the soloist, even before she sings a note, evokes meaning through her costume, actions, and expressions:

Young, slim, and dressed in a violet gown, the singer evoked at least three different iconographic traditions... She was an angelic presence glorified by the sublime outburst her appearance heralded; she was a prefiguration of the figure of the child in heaven she would soon

⁶⁰ Lawrence Kramer, *Interpreting Music* (California: University of California Press, 2011); Robert H. Woody and Gary E. McPherson, "Emotion and Motivation in the Lives of Performers," in *Handbook of Music and Emotion: Theory, Research, Applications*, ed. Patrik N. Juslin and John Sloboda (Oxford: Oxford University Press, 2010); Elisabeth Leguin, *Boccherini's Body: An Essay in Carnal Musicology* (Berkeley and Los Angeles: University of California Press, 2006); Reginald R. Gerig, *Famous Pianists and Their Technique* (Indiana: Indiana University Press, 2007); W. Luke Windsor, "Gestures in Music-Making: Action, Information and Perception," in *New Perspectives of Music and Gesture*, ed. Anthony Gritten and Elaine King (Burlington, VT: Ashgate Publishing, 2010); Roger Chaffin, "Learning Claire de Lune: Retrieval practice and expert memorization," *Music Perception* 24, no. 4 (April 2007); Mine Dogantan-Dack, "In the Beginning was Gesture: Piano Touch and the Phenomenology of the Performing Body," in *New Perspectives on Music and Gesture*, ed. Anthony Gritten and Elaine King (Surrey, England: Ashgate Publishing).

⁶¹ Lawrence Kramer, *Interpreting Music* (California: University of California Press, 2011), 259.

⁶² *Ibid.*, 265ff.

embody, the figure into which the angelic presence would—to what end?—subsequently *decline*; and she was a personification of mortal vulnerability in its traditionally most idealized and pathetic form, precisely that of a young woman—a Beatrice, a Laura, a Maiden wooed by the figure of Death, a fragile body caught, even rebuked, by the musical shockwave that enveloped it. Even before she sung a single note, then, the performance of this singer made it impossible to hear the subsequent finale with the same kind of naiveté that the finale itself expresses.⁶³

Immediately, Kramer clears any suspicions that his example is proof of the work lost in the performing act. Rather, Kramer connects the actions of the performer back to the music in the score: “The performance does not *refer* to the music in the score but enacts the score meaningfully in being performed. With classical scores, what the performance enacts is the musical work.”⁶⁴ The score and the performance, therefore, are inseparable, linked together by the musical work, and equally responsible for the creation and understanding of musical meaning. Although Kramer’s impartiality towards musical meaning does not allow him to recognize the full extent of the performer’s responsibility in the matter, his proposal skillfully shifts the scholarly perspective from the vantages of the score analyst and listener, or the externalist observer, to the actual performing moment and to the performer herself thereby creating a space for performers to speak to the matter at hand from within the domain of their personal field experience.

Robert Woody and Gary McPherson make a notable contribution to the reflective practice approach. Together, they examine the many roles that emotion plays in the lives of performers, including aspects of emotion and musical

⁶³ Lawrence Kramer, *Interpreting Music*, 273.

⁶⁴ *Ibid.*, 274.

performance.⁶⁵ Although they spend a great deal of time discussing the emotional rewards and disadvantages that are generated in the performing moment, they also recognize the performer's goal, which is to produce music that elicits an emotional response from listeners.⁶⁶ Woody and McPherson identify two ways that a performer strives to make their performance expressive: self-induced felt emotion and imagery/metaphor. According to their research, metaphors and imagery are popular teaching tools used by teachers and students in lessons.⁶⁷ Woody and McPherson's chapter on emotion and motivation in the life of the performer is not meant to challenge the current research on the topic but to emphasize how little research there is and to encourage the evolution of future discussions.

Although there are earlier precedents of reflective practice in feminist musicology, most scholars tend to delimit reflective practice in ways that subject performance-based knowledge to the listening experience and/or to score analysis.⁶⁸ George Fisher and Judy Lochhead, for instance, create a methodological framework that "recognizes the body as the active and creative site of musical meaning" and yet limit their discussion of performance gestures to the listener's

⁶⁵ Robert H. Woody and Gary E. McPherson, "Emotion and Motivation in the Lives of Performers," in *Handbook of Music and Emotion: Theory, Research, Applications*, ed. Patrik N. Juslin and John Sloboda (Oxford: Oxford University Press, 2010).

⁶⁶ Robert H. Woody and Gary E. McPherson, "Emotion and Motivation in the Lives of Performers," 411.

⁶⁷ The performers that were interviewed for this thesis acknowledged both approaches to expressivity that Woody and McPherson mention. The opinions on expression that came out of the interviews are discussed in chapter four.

⁶⁸ See for examples: Susanne Cusick, "Feminist Theory, Music Theory, and the Mind/Body Problem," *Perspectives of New Music*, 32, no.1 (Winter 2006), 8-27; and Tracy McMullen, "Corpo-Realities: Keepin' It Real in 'Music and Embodiment' Scholarship," *Current Musicology* 82 (Fall, 2006), 61-80.

point of view.⁶⁹ Other musicologists, such as Reginald Gerig, only survey famous performers for what they have to say about their use of techniques, and the benefits or disadvantages they felt ensued. Gerig claims that studying the great pianists of the past will help a present student to “apply his mental powers to the solving of practical keyboard problems, to a more perfect comprehension of technical truth and the laws of nature.”⁷⁰ While it is entirely appropriate to consult the perspectives of famous composers and performers, the aim of this thesis is to move the focus out of the past to the significance that present performers bring to active music making. Although Gerig’s work is interesting and valuable, Gerig’s reflective theory does not reflect the purposes and aims of this thesis.

In *Boccherini's Body: An Essay in Carnal Musicology*, Elisabeth Leguin applies her own performing experiences of Luigi Boccherini’s cello sonatas to what she calls a “carnal musicology,” i.e. a performance and body-orientated musicology. With meticulous detail, Leguin explains her experience of learning the first movement of Boccherini’s Cello Sonata in E-flat Major, and how the intricacies of the score invite the performer to “explore pleasure in the sliding and resistance of muscle fibers, and in the instrumental resonances that go into developing tone....”⁷¹ Leguin argues that, through her playing, she is able to bring Boccherini into being.⁷² Although Leguin’s carnal description of the music experience is radical, she still subjugates her analysis

⁶⁹ George Fischer and Judy Lochhead, “Analyzing from the Body,” *Theory and Practice*, 27 (2002), 37-67.

⁷⁰ Reginald R. Gerig, *Famous Pianists and Their Technique* (Indiana: Indiana University Press, 2007), 1.

⁷¹ Elisabeth Leguin, *Boccherini's Body: An Essay in Carnal Musicology* (Berkeley and Los Angeles: University of California Press, 2006) 23.

⁷² *Ibid.*, 25ff.

to preexisting ideology, to shed light on the often neglected life and works of Boccherini. Nevertheless, Leguin's personal observations reveal detailed information about the way in which a performer prepares a piece of music for performance, including how a performer deals with the physical comforts and discomforts that come with playing, and how he or she creates a satisfying interpretation of a piece.

So far, I have explored many theories for communicative content that disregard the performer completely, or that subject the performer to the perspective of the listener or the score. Although I have found some theories that present the performer as an important contributor to music's communicative content, we have not yet observed an example from scholarship that considers *how* the performer delivers a performance infused with communicative content. Within this subcategory of reflective practice theories, there is a trend that focuses on performance gestures, and the expressive implications of those gestures in performance. In the previous chapter, some of this scholarship was already introduced, but now I would like to expand on two notable perspectives on gestures.

W. Luke Windsor gives an extensive and accurate definition of performance gestures that go far beyond any basic term-definition. Windsor categorizes the movements made by musicians in two basic ways. First, he marks gestures by their importance to sound production. He further subdivides this first category into three more sub-types, including gestures that make direct sounds (those that are involved with the mechanics of playing an instrument), gestures that indirectly affect sounds (those that have no necessary physical role in making a sound, but affect the sound

that is made—Windsor’s example for this kind of a gesture is cyclical movement; i.e. head nodding or body swaying), and lastly, gestures that compliment sounds (those that do not have a direct or indirect link to the sound, yet seem to play a huge role in the performance; i.e. the raised eyebrow of an opera singer to signal surprise).⁷³ Windsor’s last type accounts for the gestures that are intentionally used for an expressive purpose. Windsor’s second major category takes on a more ecological approach, examining the first category to find out if sound and movement are related and whether or not a listener can detect the relationship. Although the second category is not of much interest to this thesis, Windsor’s first category offers an accurate description of the different types of gestures involved in music making.

Windsor notes that the physical makeup of an instrument limits the amount of body gestures that are available for a performer to use. Singers, for example, must minimize their movements on stage, since too much movement can jeopardize the quality of sound that they project from their instrument (the voice). Pianists are required (in most cases) to sit at their instrument, a position that restricts lower-body movement. A pianist does, however, have more hand gestures available in comparison to, say, a wind player, whose arms and hands are needed to prop up their instrument.

The other type of gesture the performer can use is facial gestures (otherwise known as facial expressions). Facial expression is arguably the most accessible tool that the performer can use for communication because facial expressions are so widely recognized as representations of feelings, thoughts, and emotions. As

⁷³ W. Luke Windsor, “Gestures in Music-Making: Action, Information and Perception,” 47.

representations, they will not necessarily indicate the complexity of the emotion, feeling, or thought, but they will give an indication that the performer is projecting some type of emotional state. A performer might prepare specific facial expressions to help the audience understand the mood or the meaning they wish to convey, such as a furrowed brow to accompany a passage that the performer wants to sound angry. Although facial expression seems like a useful tool for creating expressive performances, many performers hesitate to use them, and some even condemn the use of them completely.⁷⁴

It is important to note that both the bodily gestures and facial expressions a performer employs are, first and foremost, tools for the performer's benefit. This point of clarification is important: if facial expressions and body gestures are only discussed as visual aids for the listener, it would undermine the importance they serve for the performer, by turning the performer's sound image into audible reality. A performer might also choreograph gestures into their performance to help with storing and retrieving the piece from memory. Roger Chaffin explains that retrieval is triggered by "cues" which signal long-term memory to search for the desired information. A performer accesses the memory of a piece by using three specific types of cues, structural, expressive, and basic performative cues. Each cue represents one of the main aspects of a piece of music—or one of the ways to think

⁷⁴ I discovered this fact as I interviewed performers for this thesis. I was surprised to find that four out of the five performers did not think that facial expressions were useful for creating expressive performances. Performer 5 was especially vocal about the uselessness of facial expressions (refer to Appendix E, p. 117, Question 7). See also Performer 1's opinion: Appendix A, pp. 78-79, and Performer 2's opinion: Appendix B, p. 94).

about the same passage of music.⁷⁵ The cues remind the performer of the long-term memory and provoke the performer to respond in a way that will turn the memory into a tangible reality. Although Chaffin first presents performative cues as something the score itself dictates, later he writes about how the musician is the one to decide and employ interpretive/basic performance cues.⁷⁶ Cues used for memorization, of course, are not a part of the score itself but are invented by the performer who may look at things, such as a piece's form or structure, to help create cues. Although Chaffin recognizes, to some extent, the performer's involvement with making cues, he does not make a link between long-term memory retrieval and a performer's gestures as cues, or as a result of cues. In Chaffin's defense, it would be a difficult task to explore the relationship, since gestures tend to be minimal, and many of the subtle movements are, after some practice, automatically implicated. While Chaffin's study does indicate that performers use minimal gestures (especially those related to finger positions and movements), it would be interesting to see if memory retrieval is also connected to bigger gestures, such as a choreographed head nod, or an intentional hand lift. Such a study would want to focus more on the relationship between the performer and cues, rather than extracting cues from the score.

Mine Dogantan-Dack's work is the only example of reflective practice theory I have found to date that accurately accounts for what the performer has to say in regards to active music-making. To begin, Dogantan-Dack identifies Cartesian

⁷⁵ Roger Chaffin, "Learning Claire de Lune: Retrieval practice and expert memorization," *Music Perception* 24, no. 4 (April 2007), 379.

⁷⁶ Chaffin, "Learning Claire de Lune: Retrieval practice and expert memorization," 378.

dualism as having had a negative effect on developing theories from reflective practice in music:

For more than three centuries, the philosophy of Descartes, which radically separated the mind—and with it consciousness—from the body and the world, shaped much of Western sciences and humanities, and their epistemological foundations.⁷⁷

It has only been within the last twenty-five years that scholars have finally challenged such dualism with evidence that the body serves an important function, even in cognitive processes.⁷⁸ Since then, the body has moved to center stage in most social science and humanities studies, with the exception of musicology, where there still remains a tendency to leave the performing body, as it is experienced by the performer, out of the discussion. This tendency might derive (both consciously and unconsciously) from an underlying assumption that the performer has little contribute to academic writing. Dogantan-Dack recalls a famous quote by Schoenberg on this very matter:

Music need not be performed any more than books need to be read aloud, for its logic is perfectly represented on the printed page; and the performer, for all his intolerable arrogance, is totally unnecessary except as his interpretations make the music understandable to an audience unfortunate enough not to be able to read it in print.⁷⁹

While Schoenberg's position would not be so plainly echoed among today's scholars, the ideology behind it continues to shape the perspective of most music scholarship. To rectify the situation, Dogantan-Dack suggests moving to a performance-based musicology:

⁷⁷ Mine Dogantan-Dack, "In the Beginning was Gesture: Piano Touch and the Phenomenology of the Performing Body," 243.

⁷⁸ Ibid., 244.

⁷⁹ Schoenberg in Dika Newlin, *Schoenberg Remembered: Diaries and Recollections (1938-76)* (New York: Pendragon Press, 1980), 164.

In principle—and quite logically—this newly acquired ontological primacy of musical performance would place the performer at the foreground of music scholarship, and thereby encourage and support the exploration of the bodily and affective dimensions of music-making. Musicological practice, however, has not pursued this logic.⁸⁰

Of all the performance studies that Dogantan-Dack observes, scholarship has either been “too remote from the reality of performance and perceptions of the performer...[or] from the perspective of listener-researchers.”⁸¹ To compensate for the underrepresentation of an active musician in performance studies, Dogantan-Dack focuses on the body in musical performance by examining “the kinds of movements and gestures that are musically relevant for the performer themselves; and how...[performers] can verbalize the embodied knowledge involved in executing performance gestures.”⁸²

Dogantan-Dack argues that timbre or tone color is “at the foreground of the performer’s conscious experience of the music that they physically bring about.”⁸³ Since timbre is such an important element of performance, Dogantan-Dack explores gestures that a performer uses to create timbre, including “the pianistic touch,”⁸⁴ and “the ‘singing’ hand.”⁸⁵ Unlike Windsor, Dogantan-Dack does not divide gestures into smaller groups or functions, so here she addresses a single gesture (the pianistic touch) as having multiple functions, including mechanical control of timing

⁸⁰ Mine Dogantan-Dack, “In the Beginning was Gesture: Piano Touch and the Phenomenology of the Performing Body,” 246.

⁸¹ Ibid.

⁸² Ibid., 248.

⁸³ Mine Dogantan-Dack, *In the Beginning was Gesture*, 250.

⁸⁴ Ibid., 252-256.

⁸⁵ Ibid., 256-260.

and dynamics, as well as aesthetic control of expression and emotion.⁸⁶ One of the aspects of the pianistic touch that Dogantan-Dack advocates for is the “singing hand.”⁸⁷ Otherwise known as vocal expression, the singing hand is a model used by performers for creating expressive performances that simulate the expressivity of singing.⁸⁸ This model may be used a number of ways in practice, but perhaps the most common technique is to literally sing the melody of a piece to help a player identify the phrases and the inflections of the piece since the voice can do this more naturally than the hands.

Although Dogantan-Dack presents a well thought out argument, she (a concert pianist herself) points out a major difficulty with studying the performing body:

With increasing skill, mental representations for performance become successively more dissociated from the movements involved (Gabrielsson 2003: 204); while performing, performers often do not focus on their bodily movements but on conceptual issues such as interpretation.⁸⁹

Dogantan-Dack seems to think that it would be hard to study the gestures because they are so innate to performance, but I do not agree. By the time that a performer reaches performance, it is expected (both by the performer and the listener) that the gestures have become innate for a performer, but I believe that if someone were to approach a performer still in the learning stage, he or she would be able to identify many of the gestures used in performance. The difficulty only exists because

⁸⁶ Ibid., 253.

⁸⁷ Mine Dogantan-Dack, “In the Beginning was Gesture,” 256.

⁸⁸ Ibid.

⁸⁹ Ibid., 252.

scholars do not often employ such an approach to the study of gestures. Dogantan-Dack concludes her research with these words:

To establish a phenomenology of the body that performs music is a complex task: it almost certainly requires devising methodologies, conceptualizations, and perhaps even terminology... In this endeavor, the onus is on performers to break the mould surrounding their notorious image as inarticulate doers (Kerman 1985: 196), and bring to light what is involved in physically making music and what this entails for musicology.⁹⁰

It is certainly encouraging to find other scholars who share this thesis' sentiments on how the performing body can be used in scholarship. While Dogantan-Dack's work scratches the surface of this topic, my hope is that this thesis, by engaging in some of the very things Dogantan-Dack suggests, will serve as the next step towards establishing this new perspective in Western classical musicology.

As evidenced through the many literary examples, and especially the work of Dogantan-Dack, gestures serve a greater purpose than what scholarship usually concedes. Proof of the preparatory nature of these gestures lies in a simple observation of the performer's practice time, where the performer choreographs specific movements and expressions to use during a performance. Even the uncontrollable element of performance is accounted for, ironic as it may be to prepare for the unknown. Although the unknown aspect of performance can alter the prepared gestures, performers at a professional level are masters at using this element to their benefit rather than their demise. In scholarship, it is popular to focus on how performance gestures guide the listener's interpretation. While it is true that a listener may benefit from observing a performer's gestures, and may

⁹⁰ Mine Dogantan-Dack, *In the Beginning was Gesture*, 260.

judge the emotional or expressive content of a performance based on whether or not there were obvious gestures, it is also equally as true that a performer's gestures serve as tools for the performer him or herself, tools that he or she uses to make a personal sound image into an audible, material reality. It is this latter function, the one that allows a performer to create a meaningful and expressive performance, that the next chapters will focus on.

The primary aim of the review of literature is to demonstrate that most scholarship ignores the performer's perspective or subjugates it to the other musical agents (score, listener, composer, etc.). The review also reflects the current trend in scholarship, which is moving away from strictly philosophical/speculative theories towards scientific/empirical theories, reflective practice theories, and cross-fertilization studies that combine different approaches. Lastly, although the review identifies where this thesis fits among the pre-existing theories, it also highlights major differences between the pre-existing reflective practice theories and the generative theory of musical EME presented by this thesis. With the following chapter, this thesis constructs a new methodology for understanding how a generative theory of musical EME functions from the performer's perspective.

CHAPTER 3: Filling the Gap

This chapter seeks to fill the gap exposed in chapter two by formulating a model for how musical emotion, meaning, and expression might work, not from score- and listener-based understanding, but from within the performed experience of music. This model suggests that musical emotion, meaning, and expression arise as performance goal outcomes in actual performance. By focusing on the role the performer plays, the framework presented in this chapter differs structurally from theoretical models that derive from other musical agencies.

Inattention to the performer and performance sets musicology apart from other disciplines. Consider, for example, the study of linguistic sciences. In the early 20th century, Swiss linguist Ferdinand de Saussure emphasized how language is used in everyday life and thereby challenged existing methods of linguistic study that focused on the word in its written form. This challenge significantly impacted the theory of semiotics changing the face of that discipline completely.⁹¹ Although music is often accounted for in terms of how language is studied, few musicologists attempt a comparison between music performance and language performance. One such comparison will serve to illustrate how the work in a language performance study might apply to a music performance study. John L. Austin, a British philosopher of language, is remembered primarily for his theory of speech acts, which focuses on the performance of language. Austin criticizes linguistic

⁹¹ For more on Saussure's theory please refer to: Ferdinand de Saussure, *Écrits de linguistique générale* (Paris: Gallimard, c2002), or for an English secondary source see: Jonathan D. Culler, *Ferdinand de Saussure* (Ithaca, N.Y.: Cornell University Press, 1986).

philosophers who do not consider studying the performance of language: “It was for too long the assumption of philosophers that the business of a ‘statement’ can only be to ‘describe’ some state of affairs, or not ‘state some fact’, which it must do either truly or falsely.”⁹² Austin observes that people use language in two distinct ways: to do things, or to assert things. Since the two functions are different from each other, he argues that they should not be studied the same way. While some language can be studied traditionally (that is, grammatically, as statements of fact, or systematically), other uses of languages, such as speech acts, should be examined in their performative form (actually doing something) rather than as descriptions or assertions. Austin terms such acts as “performative acts,”⁹³ and the sentences that accompany these acts are called “performative utterances,” or “performatives” for short. The outcome of a performative is largely determined by the intentions, thoughts, and feelings of those involved in the act itself.⁹⁴ These outcomes only surface when one understands speech acts as doing something rather than looking only at the truth-value or assertion of speech acts.

Just as the purposes and outcomes of language in script form and as a speech act are different, so too does music function differently as a score (script) versus a performative utterance (act). While Austin identifies a list of circumstances that are necessary for performatives to function smoothly, musical performances are much the same, occurring after a number of things have happened in the practice time

⁹² J.L. Austin, *How to Do Things With Words* (Oxford: Clarendon, 1975), 2.

⁹³ *Ibid.*, 3-4.

⁹⁴ *Ibid.*, 16ff.

that leads up to the performance.⁹⁵ Austin's speech act theory is an example of how one scholar has successfully theorized from a performing perspective on a subject that has not traditionally been considered from that vantage. Although a consideration of how Austin's speech act theory applies to musical performative study extends beyond the scope of this thesis, it is a suggestive comparison that should prompt future investigation.

One of the ways in which the performer, or more specifically, performance has found its way into musicological scholarship is through discussions of "historically informed performance" (HIP). At its core, HIP adopts an approach to the performance of Western art music that adheres to the aesthetic criteria (e.g. instrumentation and technique) of the time period when the piece was composed. An interest in HIP first developed in the nineteenth century, with the production of critical and Urtext editions, but it was not until the 1970s that HIP became an essential aspect of all Western classical music performances. Initially, HIP was an important aspect of Baroque music, but it eventually expanded into all time periods, even into twentieth-century music. Musicologists pored over original manuscripts, diaries of composers, treatises, and other sources in an attempt to standardize the elements of a HIP, while performers took such research and applied it in their performances. The scholarly discussion on HIP is extensive and has generated many debates over who are the most historically informed writers and performers.⁹⁶

⁹⁵ Austin, J.L. *How to Do Things With Words*: 5-6.

⁹⁶ Some of the main secondary sources on authenticity include: Stephen Davies, *Musical Works and Performances: A Philosophical Exploration* (Oxford: Clarendon, 2001); Robert Donington, *The interpretation of early music* (London: Faber and Faber, 1989); Laurence Dreyfus, "Early Music defended against its devotees: a

In the 1990s, scholars and performers started to question the necessity of creating historically informed performances. Richard Taruskin, a particularly stern critic, wrote: "It sometimes seems as if authenticity, as word and as a concept, has been stood on its head."⁹⁷ Taruskin observes that most people concerned with "authentic" interpretation approach a musical performance as textual critics, and consequently "fail to make the fundamental distinction between music as tones-in-motion and music as notes-on-page."⁹⁸ This failure is found in many writings, where performances are not seen as acts, but rather as texts that achieve authenticity by following a concrete set of rules. In practice, however, authenticity—if that is even a thing—is created through the decision making of the performer. Taruskin provides an example from his own performing experience to support this point further: during a particular recording session, Taruskin recalls quarrelling with a director—who Taruskin refers to as a "scholar-performer with exacting standards of textual

theory of historical performance in the twentieth century," *The Musical Quarterly* 69, 3 (July 1983): 297-322; Aron Edidin, "Playing Bach His Way: Historical Authenticity, Personal Authenticity, and the Performance of Classical Music," *Journal of Aesthetic Education* 32, 4 (December 1998): 79-91; Harry Haskell, *The Early Music Revival: A History* (London: Thames and Hudson, 1988); Bruce Haynes, *The End of Early Music: A Period Performer's History of Music for the Twenty-first Century* (Oxford: Oxford University Press, 2007); Nicholas Kenyon, ed., *Authenticity and Early Music: a Symposium* (Oxford and New York: Oxford University Press, 1988); Joseph Kerman, "American Musicology in the 1990s," *The Journal of Musicology* 9, no. 2 (April 1991):131-fl; Peter Kivy, *Authenticities: Philosophical Reflections on Musical Performance* (Ithaca: Cornell University Press, 1995); Raymond Leppard, *Authenticity in Music* (London; Boston: Faber Music in association with Faber & Faber, 1988); David Milsom, *Classical and Romantic Music* (Farnham, Surrey, England; Burlington, VT, USA: Ashgate, 2011); Charles Rosen, *The Classical Style: Haydn, Mozart, Beethoven* (New York: W.W. Norton, 1997); Richard Taruskin, *Text and Act: Essays on Music and Performance* (New York: Oxford University Press, 1995).

⁹⁷ Richard Taruskin, *Text and Act: Essays on Music and Performance*, (New York: Oxford University Press, 1995), 67-68.

⁹⁸ *Ibid.*, 70.

authenticity”—on how to ornament the cadences in a particular passage. The argument was resolved with a compromise: the director assembled all the sources for the pieces that were being recorded, and supplied the players with embellishments drawn from alternative sources for the passages that the players wanted to ornament. In doing this, the director assured himself that the ornaments were “authentic.” Taruskin comments: “from that moment, I should say, date the doubts about the way musical scholars understand the nature of authenticity.”⁹⁹ Besides pointing out a disconnect between the way that authenticity is described and the way that it is made, Taruskin also points out the repercussion for using the term “authentic,” since it automatically implies a harsh judgment on performances that are “inauthentic.”

Other scholars object to the way that most Western Classical musicology treats authenticity or HIP. Peter le Huray, for instance, asks: “and what if the composer did give precise instructions as to speed, dynamics, articulation and instrumentation? Surely the performer must be the ultimate judge?”¹⁰⁰ The reader may sense a sarcastic tone in the unanswered question, especially since, only a few sentences later, le Huray mentions significant composers, such as Berlioz, who “felt passionately that music should not be tampered with,”¹⁰¹ and Oliver Messiaen who, “though aware of the limitations of conventional score notation...argues that good performance demands the closest attention to what the composer has written.”¹⁰² It

⁹⁹ Richard Taruskin, *Text and Act: Essays on Music and Performance*, 71.

¹⁰⁰ Peter le Huray, *Authenticity in Performance: Eighteenth-Century Case Studies*, (Cambridge: Cambridge University Press, 1990), 2.

¹⁰¹ *Ibid.*, 2.

¹⁰² *Ibid.*, 3.

is rightful to assume that le Huray agrees with prominent figures of the Western classical music tradition, who downplay the role that the performer plays when it comes to authenticity. And yet, le Huray admits that score analysis—the alternative solution to having a performer that makes decisions—is limited: “Authenticity is no dogma. There has never been, nor can there ever be one way of interpreting a composition.”¹⁰³ Although it is possible that the unique differences of each performer have something to do with the fact that there are multiple interpretations of compositions, le Huray does not suggest this. Every time he hints at it, the performer’s authority is quickly reduced by comments such as: “Humility must be a vital ingredient of the modern performer’s equipment.”¹⁰⁴ Le Huray highlights a fear in Western musicology, that, in giving license to the performer, the authority of the score, or the composer/listener, will be compromised. There is, however, no concrete proof to suggest that the listener, composer, score, and the performer cannot co-exist while maintaining their autonomy.

Although most discussions on authenticity focus on the score itself, or on the composer’s wishes, the performance (and the performer by association) is never completely ignored. Le Huray, for example, mentions the performer several times throughout his analysis.¹⁰⁵ Even if the authority of the performer is often missing in scholarly discussion, in reality, performers are, in le Huray’s words, the “ultimate decision makers,” since, regardless of what historical documents say, or what an

¹⁰³ Le Huray, *Authenticity in Performance: Eighteenth-Century Case Studies*, 4.

¹⁰⁴ Ibid.

¹⁰⁵ See chapter four, for example. After discussing the ornaments in Couperin’s *Huitième Orde*, le Huray concludes, “Once again it seems that the player was left to make the ultimate decision.” Peter le Huray, *Authenticity in Performance: Eighteenth-Century Case Studies*, (Cambridge: Cambridge University Press, 1990), 64.

original score says, it is the performer who executes the performance. Alan Hersh, writing as both scholar and performer, concurs:

I have come to believe that any composer relinquishes control over the performance of her or his compositions the moment a contractual agreement to publish is signed. What composer wants or expects the same response from every member of the audience? Why would the same composer want to limit the creative imagination of a gifted, or even an unimaginative reader and interpreter of the score?¹⁰⁶

Hersh's understanding of the performer's duties challenges scholars and performers to reconsider the performer's authority when it comes to authenticity, and, consequently, to come to terms with the limitations of HIP. Frans Brüggen, one of the world's most famous recorder players, once admitted, "Historical information could not account for more than 30-40 percent of his performance style."¹⁰⁷ Brüggen's comment makes one wonder if the limits of authenticity were acknowledged (i.e., if authenticity was not given such high priority) perhaps the so-called "interpretation challenges" would seem less of an obstacle for performance. Although HIP studies inevitably mentions the performer, it is still distinct from studies on the communicative content in performance, since the former is mainly concerned with past historical evidence, while the latter stems from the individual perspectives of modern-day performers in modern-day situations.

While few scholars challenge the foundations or traditions of musicology, even fewer attempt to create an alternative approach, especially one that centralizes the performer and performance. Among the notable few are John Shepherd and

¹⁰⁶ Alan Hersh, *A Pianist's Dictionary: Reflections on a Life*, (Maryland: Hamilton Books, 2010), viii.

¹⁰⁷ Nicholas Kenyon, *Authenticity and Early Music*, (New York: Oxford University Press, 1988), 6.

Peter Wicke, both of whom argue that music is not merely a form of leisure/entertainment but is central to the formation and reproduction of human societies. In a collaborative effort, Shepherd and Wicke attempt to feed musicology through cultural studies to serve as “a viable theory for the social and cultural constitution of music as a particular and irreducible form of human expression and knowledge.”¹⁰⁸ Rather than seeing music as a system of signs, Shepherd and Wicke contend that music is both “structured and structuring as a signifying process distinct from language.”¹⁰⁹ For further explanation, the authors construct a semiological model for performance that reveals how music functions as a social and cultural medium.

The “sonic saddle” is an essential component of the model. “Saddle,” a term first coined by Zuckerkandl, represents a continually unfolding present of sound structures and states of awareness, flowing to and from the human world. The sonic saddle can only be experienced when it is brought into material reality by some type of medium. The medium in this case is the actual sound of music, which is produced by an external source and is experienced as “the pathway for the investment of meaning.”¹¹⁰ Meaning, or “the element of signification,” is derived from and dependent on states of awareness. States of awareness—and elements of signification by extension—develop out of social processes and the communication that makes social processes possible. However, states of awareness can also exist independently of material reality, since individuals do not necessarily publicize

¹⁰⁸ John Shepherd and Peter Wicke, *Music and Cultural Theory*, (Malden, MA, Blackwell Publishers Inc., 1997), 2.

¹⁰⁹ Ibid., 102.

¹¹⁰ Ibid., 170.

every state of awareness that they experience.¹¹¹ Although Shepherd and Wicke's model separates the sonic saddle from the associated states of awareness, there is no such distinction in practice, since they are bound by the "instrumentality of articulation" of which playing an instrument might be one such articulation.¹¹²

Despite the fact that Shepherd and Wicke present their model as a performative semiological model, and despite the fact that they view music "as a product of body movement transduced into sound,"¹¹³ there is surprisingly little said about the role of the performer in such a model. For example, the authors do not explain how the performer attaches meaning to the medium, but instead, focus on the listener's opportunity to negotiate meaning, since the medium is processed through their individual interpretation.¹¹⁴ Similarly, details of the connection between music and the performer's body are left unexplored.¹¹⁵ The semiological model lacks a real-life application and, consequently, does not capture the significance of the performer's role in the production of musical meaning.

Dillon Parmer has developed a simpler, more straightforward model, called the "Geometry of the Musical Experience" that captures the illusiveness of the total musical experience:

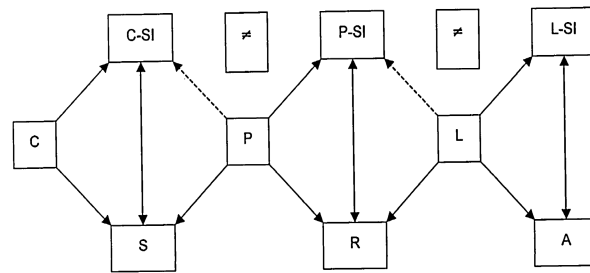
¹¹¹ Shepherd and Wicke, *Music and Cultural Theory*, 171.

¹¹² Ibid., 172.

¹¹³ Ibid., 180.

¹¹⁴ Ibid., 174-175.

¹¹⁵ Ibid., 178-182.



The Geometry of the Musical Experience¹¹⁶

Parmer's model highlights three essential agents involved in music making: the composer (C), the performer (P), and the listener (L). Each agent has a "sound image" (SI)—an agent's thoughts or ideas about how they want their material outcome—(S, R, A)—to look or sound. The material outcome, then, is the agent's sound image transformed into a perceptible, tangible form. The sound image and the material outcome are unique to each individual agent and the tasks that they perform: the composer's outcome is the score (S), the performer's is the realization of the score (R), and the listener's is the verbalized account of the performance, (A). The dotted lines indicate that there is no direct link between one agent and the sound image of another agent. Consequently, the performer's material outcome is not a direct realization of the composer's SI—but is rather the performer's perception/SI of the composer's material outcome (the score). This further implies that any theory, such as transmission theory, that posits a fixed sound image traveling along the entire music-making process from composer through performer

¹¹⁶ Dillon R. Parmer, "Musicology as Epiphenomenon: Derivative Disciplinarity, Performing, and the Deconstruction of the Musical Work," *Repercussions* 10 (Spring, 2007), 34.

to listener, is incorrect. If the musical experience only had a single, shared sound image, one would expect that the composer's material outcome (the score) would transfer over to the performer and the listener without discrepancies, that all performances would sound the same, and that all listeners would have similar responses. During the transmission process, however, each agent is held solely responsible for producing his or her own material outcome, which allows for individuality in the musical experience. In spite of this, scholarship tends to focus on the outcome of only one particular sound image—most often the composer's or the listener's outcome. Unfortunately, this focus on the composer's or listener's outcome will not produce a clear picture of the musical experience, for not only will it fail to recognize the codependent bond between the agents (since each new step can only begin once the previous step is completed), it also will fail to see the centrality of the performer in the music-making process. Parmer writes: "and of these three material outcomes, it is the performance that is paramount. If we accept that music exists only in and is defined by what is made audible through performing, the two other agents are dependent on the performer in an irrevocable way."¹¹⁷ As a go-between, the performer's task is threefold; having to receive the composer's material outcome, transform it into the performer's outcome, and transmit that outcome to the listener.

It is not surprising that, in existing scholarship, only a few models highlight the performer's contribution to the production of musical emotion, meaning, and expression. To compensate for the gap, I return to where chapter one left off the

¹¹⁷ Parmer, "Musicology as Epiphenomenon," 37.

“Process of EME in Performance.” This new linear model understands musical emotion, meaning, and expression as something that arises as performance goal outcomes in actual performance. The model is simple. It starts with a sound image, is followed by technical execution, and ends with the performance outcome:

Sound Image → Technical Execution → Performance Outcome

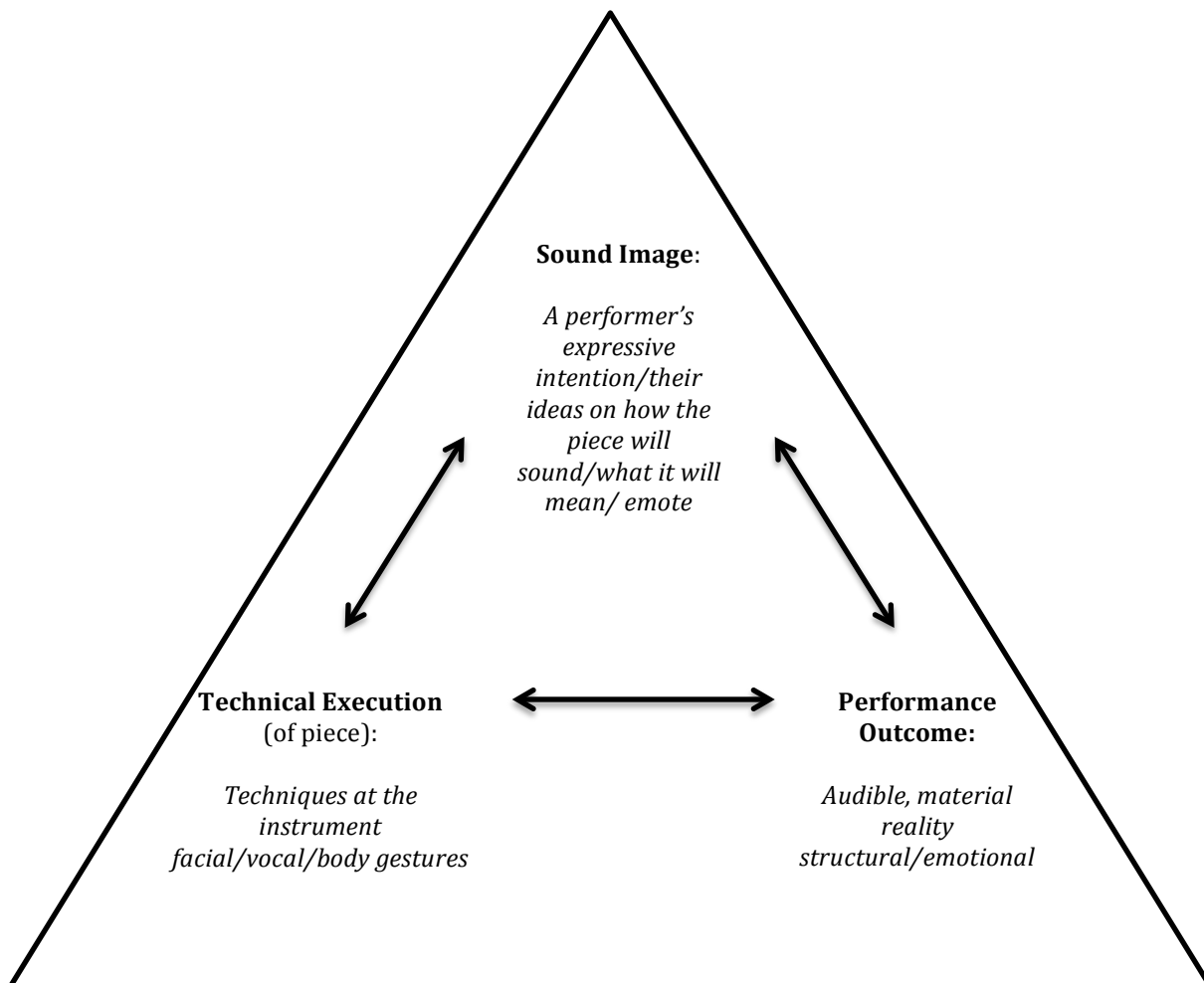
The process begins with a performer’s expressive intention, or, a performer’s *sound image*. The expressive intention, or the sound image, is the performer’s ideas or vision for how they want the piece to sound. A performer’s sound image is influenced by personal experience, exposure, and motivation, and can develop and change over time. For example, a young performer’s sound image may be less developed than that of a performer with many years of education, experience, and exposure to help shape a more complex and detailed sound image. Before transforming the sound image into another form, it is vital that a performer is confident with the sound image they have created. Otherwise, it is harder to convince the listeners later on in the process.

After the performer has settled on a sound image, they must turn that image into an audible reality. To do this, a performer focuses on the technical execution of the piece, employing those gestures necessary for carrying out the required techniques of the score. These gestures are the *intentional* bodily actions and facial/vocal expressions that a performer prepares prior to the performing moment. “Intentional” rules out accidental gestures that happen unexpectedly in a performance (although one might argue that performers even prepare for unintentional gestures) and are marked by their importance to the sound

production, whether they are gestures that make direct sounds, indirectly affect sounds, or compliment the sounds being made. When the performer's expressive intention and technical execution combine, they create "a performance outcome," which is the moment when the performer's original intention is executed into an audible material reality (sound) that the listener can grasp.

Although the process of EME in performance is generally thought of as a linear process, in reality it does not always happen that way. Often times, the performer will simultaneously make decisions about the technical execution and the expressive intention. The following model, eliminating the linear process, gives a more realistic sense of the reciprocal nature of the components involved in performance:

THE PROCESS OF EME IN PERFORMANCE



In this revised model, the double-headed arrows represent that all three parts, though individual, are also highly dependent on each other during the performance process. But the most important—and perhaps controversial—implication of the model is that the performer experiences the act of performing as emotional, meaningful, and expressive when the production of the performer's material outcome is motivated by an anterior intention. This means that emotion, meaning, and expression do not exist in the technical execution of what is presented

in the score, but rather, in how the performer's intention gives rise to the sound image. To show how the performer's intention—and not the technical execution—determines musical emotion, meaning, and expression, consider the following case, Russian concert pianist Vassily Primakov playing the Intermezzo of Brahms' Opus 117.¹¹⁸ Focusing specifically on the A section (measures 1-20), I have created a detailed outline of all the elements/components involved in what Primakov is doing to perform the excerpt expressively/musically.

1
Op. 117, No. 1

Schlaf sanft mein Kind, schlaf sanft und schön!
Mich dauert's sehr, dich weizen sehn.

Andante moderato

p dolce

poco a poco rit.

dim.

rit. molto

dolce

Section A of Brahms' Intermezzo, Opus 117¹¹⁹

¹¹⁸ This recording can be found on YouTube at:
<https://www.youtube.com/watch?v=dvhfG_SPbQ> and is also available from Bridgerecords.com.

¹¹⁹ Three Intermezzi, Op. 117 (Brahms, Johannes):
<[http://imslp.org/wiki/3_Intermezzi,_Op.117_\(Brahms,_Johannes\)](http://imslp.org/wiki/3_Intermezzi,_Op.117_(Brahms,_Johannes))>

Primakov begins to play only after a long period of silence (17 seconds). The movement of the performer's body highlights the simplicity of the melody: hunched shoulders and back slightly bent for the duration of the movement. For this piece, Primakov does not have to make large movements—such as sliding on the bench, aggressive head nods, swinging hands/arms—since the notes are concentrated on a small area of the keyboard and the tempo marking is slow. Primakov's few and subtle movements highlight the simplicity and gentleness of the melody. Body gestures are used in conjunction with the introduction of the melody's first theme: in the pick up to mm. 1-2, the first theme is introduced. Primakov synchronizes a head nod with the sixteenth-note rhythm at the end of m. 1 to help emphasize the melody, which finds itself in the middle of the harmonic texture at the end of m. 1. When the theme is immediately repeated in m. 2, Primakov leans in at the start of the repeat, employing a body gesture to draw attention to the melody. Although a steady, gentle rocking 6/8 rhythms is used throughout the movement, Primakov will sometimes stretch the length of notes or even pause—such as in the middle of m. 4—as a way to distinguish the phrases. At mm. 6-7, Primakov's body leans in at the same time that the left hand plays the descending octaves—effectively accentuating the octaves above what is happening in the treble clef. Small mouth movements are noted throughout the performance—such as pursed lips at m. 8—but the most obvious example comes at the end of m. 16, where Primakov open and closes his mouth to the rhythm of the octaves that continue into m. 17. Perhaps Primakov is singing the melody in his head as he plays, a technique some performers use to enhance voicing in their fingers (I recall doing this when I was learning Schumann's

Opus 142 No. 2). At m. 8, Primakov closes his eyes, and takes a deep breath, exhaling as he enters into the main melody once again at m. 9—a new way to highlight the recurring theme. One of the most significant moments, however, is at mm. 14-16, where Primakov employs a significant amount of movement. Leaning back, Primakov choreographs a gentle, sweeping head nod to match the sixteenth-note rhythm of m. 16, and immediately after, pauses dramatically before starting the octaves at m. 17, an indication that Primakov has chosen this part as the climax of the A section. Besides Primakov's body movements and tempo fluctuations, he also follows the tempo and dynamic markings indicated in the score itself (such as the *dolce* marking in m. 1, the *crescendo* and *decrescendo* in m.6-7, *rit. molto* mm. 20-21) to create a gentle, peaceful sound.

Although it appears that I have slipped into the subject position of the listener-spectator in my description of Primakov's playing, my aim is to demonstrate how technical execution, and performance outcome function in this example. Without the opportunity to talk with Primakov, it is only possible to speculate on the expressive intentions of Primakov. However, the purpose of this example is not so much for readers to guess Primakov's expressive intentions, nor to pay attention to what Primakov is doing with gesture as it is for readers to play the piece for themselves. Instead of looking at a musical example that invites the performer to employ dramatic movements, I chose an example that requires little movement. The A section of the Intermezzo is repetitive, challenging performers to create new meaning with each repetition. Primakov meets the challenge by introducing different combinations of gestures and movements each time the theme

is reiterated. Although the score's dynamic and tempo marking are worked into Primakov's performance, there are other significant elements in the performer's movements and gestures. These movements and gestures—no matter how seemingly insignificant or innate—play an important role in creating the communicative content of a performance. It is crucial to understand that what a performer does in terms of movement and gesture is, most often, not a visual aid for the listener but a tool to turn their sound image into audible, material reality. In other words, the performer's gestures help turn the emotion, meaning, and expression that they have chosen into perceivable form. Therefore, if one wants to gain a deeper understanding of how music is expressive, emotive, and meaningful, one must observe the performer, who effectively creates the communicative content of a piece.

CHAPTER 4: The Performer's Perspective

To test the theory that the performer creates musical EME in performance, I conducted fieldwork interviews with five professional pianists. Each interview was conducted with two main objectives in mind: 1) to assess if and how existing theories can apply in actual music-making, and 2) to see if a different theory for musical meaning, emotion, and expression is operative in performance. While this thesis has referred to musical emotion, meaning, and expression collectively as “communicative content,” during the interviews, I used the acronym EME (Expression, Meaning, Emotion) instead. Consequently, this chapter will make use of the acronym.

In order to keep the interview process and results manageable, the interviews were structured around a list of questions that focused on musical EME (see Appendix F). While the performers were given the list of questions prior to the interview, I did not explicitly describe my theory on musical EME until after each interview was completed. I looked exclusively for interviewees who were professional performers, and I limited the instrument to only piano to ensure a degree of consistency and to see to what extent professional pianists had similar views. While I asked the performers to limit any musical references to a selection of repertoire by Johannes Brahms, this request proved to be unnecessary, since most of the time in each interview was spent talking about musical EME more generally, rather than in reference to specific examples in actual works. When I reference or directly quote the performers, a number will replace a performer's name

(performer 1, performer 2, etc.) in order to maintain the confidentiality and anonymity of each performer.¹²⁰

Each interview began by asking the performer to define EME as it relates to music. It was not surprising that each performer found this difficult to answer—after all, some scholars spend entire books or dissertations to answer this question. Eventually, each performer gave a definition that mentioned a “transfer” or “communication process” in which the performer brings elements of the score to the listener. Performer 3, for example, comments:

Can I consult a dictionary? And then go from there? [*long pause*]
Because if I think of expression, I think the literal meaning would be something about communication. But usually when we refer to it in music, it has more of a motive, somewhat subjective quality... So if I was going to combine both, it would be something like expression is the art—maybe art’s the wrong word—but the art of *communicating* subjective matter to one’s public. (Appendix C, Question 1, p. 98)

Performer 2 makes a similar comment:

Expression, when you look at the word...it’s the noun version of expressing something. It’s the *transmission* of this stuff. It’s taking the stuff that you as a performer find in the composer’s work and give it to the audience. Expression. It’s like a transmission. Because that’s the role of the performer, I think. (Appendix B, Question 1, p. 87)

The answers mirror chapter three’s demonstration of performers as central figures in a transmission process of musical EME from composer to listener.

Defining EME made the performers think of the elements within the score.

Performer 1, for example, commented on the score’s “mechanics”:

¹²⁰ Interviews were conducted in accordance to the rules and regulations set by the University of Ottawa Office of Research Ethics Board, and with the approval of the University of Ottawa Office of Research Ethics Board.

Well, there's the mechanical side of it, how you do that stuff, or how you give the impression of that stuff, and then there is the effect of that stuff. So, EME the mechanics are things like: timing, shape, nuance, tonal control, voicing... all of that technical stuff creates EME. (Appendix A, Question 1, p, 74)

Although each interviewee linked the creation of EME to the score, it was interesting that the performers differed as to which “mechanic” was especially important for creating expressive performances. For example, while Performer 1 insisted that a performer “can’t be expressive if [they] don’t know how to read a slur,” (Appendix A, Question 11, page 77) Performer 2 thought it was especially important to be aware of rhythm and tempo (Appendix B, Question 18-19, page 80-81). The variety in the answers reveals the freedom of choice that a performer exercises as they interpret EME, and also offers a possible explanation to why the same piece can differ so drastically from one performance to the next.

Each performer, as expected, spoke candidly of the importance that EME serves in their own performing experiences. For Performer 4, “it’s the most important thing, I would say...” (Appendix D, Question 3, page 106) for Performer 2 it is “the heart of everything” (Appendix B, Question 5, page 118). Performer 1’s answer, however, went into more detail:

L: How important is EME in your performance, when you are playing?
Would you say it’s... you know, the number one thing?

1: Ideally yes, but sometimes you just got to get the notes down... of course it’s important—it should be the most important—but it can’t be the most important if you don’t have the goods to back it up... you have to have the technical facility behind it... so I think its equally as important as being able to control what your fingers are doing (Appendix A, Question 8, p. 3).

While Performer 1 agreed that EME is an essential part of musical performance, they also attach a condition that EME is only the most important when “technical facility” is in place. Performer 5 offered a similar response:

L: So do you think that is what separates a very good musician from an amateur? People who have it, people who don't?

5: Not only that, there is also the technical aspect; but if we just talk about emotions, I would say yes (Appendix E, Question 5, p. 2).

The stipulation reveals that EME is part of a larger procedure that includes other components—such as technical execution—which equally factor in to the overall success of a performance.

Although the performers admitted that mechanics and technique are necessary for executing musical EME, they also noted that dynamics, articulation, phrasing, slurs, harmony, and so on, are only the *tools* a performer uses to create meaningful or expressive performances, not EME in and of itself. Performer 1 remarks:

They [students/performers] can still do the expression markings, and should learn all of the dynamics, and articulations and all that stuff. But those things can be accomplished without having an emotional connection—that's the trick! You can't have emotion without those things, but you can have those things without emotion. (Appendix A, Question 10, p. 76).

To expand on Performer 1's words, successfully executing the mechanics of a score does not automatically entail that a performance is musically expressive or meaningful. Instead, in Performer 4's words, musical EME exists “outside the parameters of just the notes and notation” (Appendix D, Question 1, page 106). Each performer, when asked where they believed musical EME resided, pointed to a transaction that takes place between the agents. Although the importance of each

individual music agent was acknowledged, the interviewees who addressed the transaction in detail agreed that the performer's role is most central. Performer 3 notes: "I think the performer needs to put more of him or herself out there than the composer" (Appendix C, Question 5, page 99). The majority of the performers also placed musical EME in the actual performing moment. Performer 4 commented:

I would say it really resides in performance... I have said to students, the piece doesn't actually live until it's performed. It's not like literature, or a painting that exists as a defined ... it does exist in that state, but it doesn't fully exist in that state, because it hasn't been communicated through sound. And so it's in the act of performance that emotion is developed. (Appendix D, Question 2, p. 106)

By specifying the performing act, and the transaction that takes place in and through it, all the performers affirmed that musical EME resides within the interaction between agents, and they centralized the role of the performer in the process.

The interviewees' answers differ from a leading theory that emotion and expression reside within the music itself. Earlier we looked at Arthur Schopenhauer who argues that music embodies the deepest reality of all human experience and can, therefore, express universal feelings.¹²¹ Although Schopenhauer's theory may be sentimental, many modern scholars have a similar understanding of musical meaning. After criticizing several philosophical theories for musical meaning and expression, Stephen Davies concludes:

Expressiveness can be an objective property of musical works, though, obviously, the emotions expressed are not felt by the music. Music presents emotion characteristics...music can present an expressive appearance in its sounds...within musical styles, these natural

¹²¹ Arthur Schopenhauer, *The World as Will and Representation*, trans. E.F.J. Payne (New York: Dover Publications Inc., 1969): 264.

propensities for expressiveness are structured and refined by musical conventions.¹²²

Theories that locate musical meaning in the music itself only view the performer as a delivery system used for transmitting such intrinsic expression and emotion to listener. The performers from the interviews, however, do not think of the properties of the work as the locus in which musical EME reside. Rather, they view the work, and the score that encodes the instructions for recreating it, as a tool useful for creating musical EME. Consequently, the performers see themselves as the principal agent in the creation and transmission of musical EME.

The idea that musical EME occurs as a transaction among the agents of music is not a new concept. However, while prevalent transaction theories only identify one emotion, expression, or meaning that originates from the composer's wishes (refer back to Deryck Cooke's transmission theory, pp. 11ff), the performers did not reduce performance into a delivery system for transmitting the composer's feelings.

As Performer 5 comments:

Well, the score is what the composer wrote for you, and he probably wrote with some intention, but we don't know...because we don't know the composer...so we try with the knowledge we have...we try to understand what was the intention, but then eventually its up to you as a performer to take one road instead of the other, and decide what you think would be the best interpretation...which again is in terms of expressing emotion or feelings...and so, eventually it...I would say...resides in the performer to try and the audience, is the final person/chain...they will receive what you are expressing (Appendix E, Question 11, p. 120).

While Performer 5 agrees that composers have intentions for their composition, a performer has no way of knowing exactly what those intentions are, and, therefore,

¹²² Steven Davies, Davies, *Musical Meaning and Expression*, 277.

is left to make his or her own interpretative decisions. Performer 5's handle on intention finds itself in a large, divided scholarly debate. John Butt surveys many of the leading positions on this matter. Some, like Taruskin, agree that there is no way of knowing a composer's exact intention:

We cannot know intentions, for many reasons—or rather, we cannot know we know them. Composers do not always express them. If they do express them, they may do so disingenuously. Or they may be honestly mistaken, owing to the passage of time or a not necessarily consciously experienced change of taste.¹²³

Taruskin concludes that any reliance on intention rests on a fallacy, that one can actually know for certain a composer's intention. Peter Kivy does not share Taruskin's view, arguing instead that intention can not only be known, but is also less of a command and more of a suggestion open to a performer's judgment.¹²⁴ While Butt on one hand comments that the value of a composer's specific intentions change depending on the piece and must be evaluated on a case-to-case basis, he also turns the debate on intentionality away from the composer and on to performer:

Just as our interest in art *per se* rests on our understanding that it is *intentionally* created as art...our interest in pieces of music should be directed towards the human subjectivity involved in their creation, and, particularly, in the intentionality towards (and occasioned by) performance.¹²⁵

Suddenly, Butt's comment turns attention to the performer and performance in a significant way. Although Butt's own intention is to find a theory to "counterbalance the traditional way of viewing music history as merely the history of musical

¹²³ John Butt, *Playing with History: The Historical Approach to Musical Performance* (Cambridge: Cambridge University Press, 2002), 75.

¹²⁴ *Ibid.*, 75-76.

¹²⁵ *Ibid.*, 94.

works,” he opens up an opportunity for showing how the performer is responsible for deciding “how music relates to the world in which it first sounded and that in which it continues to sound.”¹²⁶

Discussing the transmission of musical EME and the intentions of agents made many of the performers think about historically informed performance (HIP). That these two topics go hand in hand is not surprising. As John Butt writes, “the whole concept of HIP brings up the issue of intentionality in a way that has never been formulated before. It encourages us to rethink our customary sense of the relationship between composer, work and performer.”¹²⁷ From the interviews, it was clear that the performers are not so much concerned with being authentic in the sense of being faithful to a composer’s intentions, as they are concerned with making their own intentions clear to their audience. Performer 4 talks about this as if it was something that developed over time:

I used to be, I mean, I grew up in a time where we were trying to go back to the original; it was the sort of height of the historically informed practice period. In the late 70s and 80s, it was a really dominant force in music making. And, people took sides on it, and still do to some degree...so I couldn’t help but be drawn into that.... But I feel like I’m moving away from that, the more that I perform...it feels more like...it’s more important to get across my reaction to the piece, because my emotional reaction to the piece will help the audience, and the audience doesn’t care, or doesn’t know, and perhaps doesn’t care, about the historical parameters of the piece...(Appendix D, Question 18, p. 112).

For Performer 4, focusing on a personal reaction is a by-product of musicology’s move away from discussions on authenticity and HIP. Even Performer 3, who did

¹²⁶ John Butt, *Playing with History: The Historical Approach to Musical Performance*, 95.

¹²⁷ Ibid., 78.

not talk directly about his own personal intentions, admitted that they could not be authentic in the way that the scholarship of the 1970s expected performers to be authentic (Appendix C, Question 6, pp. 99-100).

Even though the performers stressed the centrality of performers and the act of performing for EME, many of their answers included the listening agent as an essential component in the process. When asked to identify the ingredients of an ideal performance, all of their replies invoked the forging of a connection with the audience. While communicating with the audience was ideal, performers did not believe that *how* a listener perceives and reacts to a performance constitutes the success of a performance. Performers 1 and 5 were especially vocal on this point. Performer 1 admitted: “You know, I don’t think about my audience. I frankly don’t care... If the audience gets it, awesome! That is a bonus. I frankly don’t care if they get it or not...because you just got to get it done” (Appendix A, Question 16, p. 78). Performer 5 was similarly indifferent to the listener’s reaction, responding with: “no, I think about the way I want to play. If they [the audience] like it, they like it. If they don’t, they don’t” (Appendix E, Question 3, p. 117). Although the other performers responded with less apathy, each interviewee made it clear that they do not determine the success of their performance solely on the audience’s reaction. Instead, success was measured by the performer’s execution of the mechanics of the score, and their own emotional involvement within the performing moment (Appendix A, Question 17, p. 78-79).

Before the interview process, I hypothesized that performers use facial and bodily gestures to help them turn musical EME into an audible material reality. I

hoped that the performers would be able to show how they use movements, both bodily and facial, to create musical EME. To my surprise, only one performer agreed that facial gestures were useful for making emotional connection with their audience (Appendix A, Question 20, p. 79). The others did not place much importance on such gesturing. All the performers, however, agreed that any gestures—excluding those for playing the keys and natural reactions that might arise—are useless, and are not indicators of real musical EME. Performer 5 called these other gestures “marketing gestures,” and explained that performers use this type of gesture to convince the audience that they are more involved in their performance (Appendix E, Question 7, p. 118). By distinguishing between appropriate and unnecessary gestures, the performers made a very important point that cannot be missed: the gestures associated with musical EME are not first and foremost gestures for the listener’s benefit. They are gestures for the performer’s benefit. This revelation highlights the gap in scholarship that was exposed in chapter two: while scholarship often discusses the affect that performance gestures have on the listener-viewing experience, it rarely considers the impact such gestures have on the performer using them. Even Davidson, a leading contributor to gestural research, focuses exclusively on listener response. While such research does not address how gesture functions within the domain of the performer’s experience, the interviews suggest that such gestures are largely present to enhance the performer’s experience.

When asked if it was necessary for each performer to feel the emotion, meaning, or expression that they communicate through performance, most of the

performers—the exception was Performer 4—said that they do not employ felt emotions but instead choreograph emotions into their practice. Performer 1 shared an interesting story of how he/she learned to play expressively:

I learned a lot about expression from working with people as an accompanist. Two teachers from the Cornelius Reed School did something, they took cue cards with labels on them, have someone singing an aria and take a different emotional label that doesn't necessarily have anything to do with the text, so, for example, put up the card "jealousy" to a love song. And it would change not just how the singer sounded, but the kinds of physical facial expressions they used and posture too (Appendix A, Question 20, p. 79).

Performer 1's story not only reveals that musical EME can influence how a piece will sound, but also that musical EME is made from a sound image in the performer's mind. In Performer 1's example, the sound image was stimulated by the word that was written on the card. In performance practice, however, the sound image might be influenced or shaped by a more complex set of factors. According to Performer 1, imagery helps them create a sound image, especially when it comes to Bach's music, which they describe as a "blank canvass." Performer 1 talks about adding imagery to Bach's First Prelude:

Thinking of even the First Prelude—the one that's just a series of broken chords...if you can think of an image for that, then you can make it sound like all kinds of different things. You can add three or four different images to that and it's three or four different pieces! You know, whereas anybody could just sit and play the notes, and it will sound like wall paper...then if you start thinking about adding a storyline to that, then, instead of prescribing—oh, get louder here, get quieter here, take time here, here's a cadence... instead of doing that, then your image does all that for you...and then those things become more part of how you are experiencing the piece rather than a prescriptive list of things you have to remember to do... and that is always going to be more effective if it comes from some place within, rather than "I have to remember to get louder at that point." And that's the difference between a crescendo and a dramatic impetus (Appendix A, Question 7, pp. 75-76).

Although Performer 1 did not describe a specific image, they later mentioned that cartoon images work well for creating images. Besides imagery, Performer 1 believes that exposure to “really good, expressive performances” will also broaden a performer’s knowledge of musical EME (Appendix A, Question 4 and 7, pp. 74-75).

All the performers agreed that musical EME develops and changes through playing and practicing experience. Performer 5 addresses this in great detail, explaining how the same piece can evolve through time when the performer changes their approach—or their sound image (Appendix E, Question 8, p. 119). Therefore, whether performers feel or choreograph musical EME, musical EME comes from a performer’s sound image, which is then transformed into audible, material reality via the bodily and facial gestures that a performer uses to play their instrument. Even if these interviews failed to demonstrate unequivocally that performers are the essential producers of musical emotion, meaning, and expression, they (the interviews) have shown that what performers have to say are not only central to the discussion of musical EME, but may actually point to an alternate theory of musical meaning, emotion, and expression embedded in performance practice.

CONCLUSION: What Now?

This thesis has attempted to formulate a new model for musical meaning, expression, and emotion (collectively referred to as “communicative content”) from the point of view of the performing musician. I have called this model generative because such content seems to reside not in the music itself but arises from—is generated by—an expressive intention that motivates how a musician creates sound. In Chapter Two, I explained why such a theory is largely unexplored—in general, existing musicological literature disregards the performer’s perspective, choosing instead to address and conceptualize music from the position of the listener-spectator. Out of all the theories under assessment, only one understood how essential the performer is to a theory for communicative content. To demonstrate how the performer can be represented in the scholarly discussion, Chapter Three proposed a new model for communicative content (the process of EME in performance) that centralizes the performer. The analysis of a performance by pianist Vassily Primakov revealed how technical execution and performance outcome (two of the three bases of the model) function in performance. Unfortunately, left without an opportunity to consult the performer, I was not able to identify the expressive intentions or the source of those intentions that influenced Primakov’s playing. Consequently, I conducted interviews with professional performers, intending to uncover more information about how performers see communicative content, and to affirm my theory that communicative content develops from a performer’s sound image. The interviews in Chapter Four not only provided performers with an opportunity to contribute to the

discussion, they also affirmed that, within the act of performing, there is quite a different model for how musical meaning, expression, and emotion work than what is found in the musicological discourse. For example, while the literature assessment in Chapter Two revealed that most scholars tend to ignore the role performance might play when theorizing about communicative content, the performers that I interviewed did not subjugate themselves to the score or the listener but saw themselves as the central creators and distributors of musical emotion, meaning, and expression. As such, it is my hope that future musicological research will take into account what performers have to say, not just for the purposes of changing how music is understood in the abstract; I believe that there are many opportunities for researchers who are willing to build the performer's perspective into their thinking.

For example, the interview procedure could be expanded to open up more research opportunities. Within the confines of this thesis, I was only able to conduct five interviews, but in order to give the performer equal representation in scholarship, the interview procedure would have to be conducted on a much larger scale. If the interview procedure did expand, I believe even more research opportunities would arise. For example, although it is beyond the scope of this thesis to consider music pedagogy, I hypothesize that centralizing the performer's perspective in musicological research will facilitate the discovery of new strategies for teaching students how to address communicative content in their repertoire. Prior to writing this thesis, I had, on several occasions, experienced the difficulty that comes with teaching a student how to play expressively, or, with emotion. I

was, therefore, not surprised to find that each performer I interviewed admitted that he or she faced similar challenges. By giving more performers the opportunity to discuss how they create meaningful and expressive performances, performers would have the chance to share ideas and suggestions with each other, while scholars could use the information collectively to develop up with new methods for teaching students how to play with emotion, meaning, and expression. This would be no easy task for any musicologist to undertake, especially since it is the performers themselves who find it difficult to teach a student how to play expressively, meaningfully, and emotionally. That said, I believe that scholars and performers who adapt Chapter Three's model, *The Process of EME in Performance*, could not only generate new strategies for creating communicative content in the performing moment, but also transform the information into a pedagogical tool. In order to see how the performer comes to and executes an expression intention, I suggest that a scholar shadow performers from the moment they begin practicing for a performance until the final notes are played at the performances. By doing this, the entire process of EME in performance would be represented, and performers would (hopefully) have an easier time describing how they create communicative content.

While the interviews from this thesis give some proof that the performer has different ideas about creating communicative content, and, therefore, belongs in the discussion, the five interviews are not sufficient for producing methodologies or lesson plans that could be implemented into every-day practice. This proposal for

future scholarship might be best left in the hands of the experts in the field of pedagogical research.

More research conducted from the performer's perspective may also reveal new information about the functions and benefits of deliberately including facial and bodily gestures in ones' practice habits. Although most of the performers in the interviews were skeptical about the use of highly dramatic facial and bodily expressions, I hypothesize that the use of subtler—or presumably “natural”—gestures in practice and performance may serve not only as a tool to turn communicative content into audible material reality, but also as a preventative measure against performance injury. An examination of the gestures and movements that a performer makes at his or her instrument could expose bad posture or other types of muscle tension that can lead to long-term injuries. Consequently, future research on the affects that the performer's bodily and facial gestures have on communicative content has the potential of also benefitting injury-prevention research. Furthermore, future gesture studies may also benefit from a consideration of the dramatic arts, where bodily and facial expressions are such vital parts of theatre performance. Classically trained musicians may learn how to use expressive gestures by emulating the gestures used by theatre performers.

Besides hypotheses for future research, many questions remain to be posed and debated. For example, given the extent to which the listener-spectator's perspective dominates in musicology, is it even possible to fairly represent the performers' experience of music in scholarship? This is perhaps a defeatist point of view, but nevertheless something to seriously consider. On a more optimistic note,

can the methods used in this thesis be effectively applied to other topics of study? The performer's perspective may be missing from other scholarly discussions besides those on musical emotion, meaning, and expression, and, therefore, if considered, could potentially benefit other scholarly discussion that have previously ignored the performer. Finally, is it possible that (if scholarly discussions continue to consider the performer's perspective) the walls in academic institutions, which separate the performers from musicologists, will be torn down and rebuilt to replicate a new way of thinking?

To be sure, there are no easy answers to these questions. However, by facing these questions with a theory that defies conventional ways of thinking, it not adds to the ways scholars understand musical expression, meaning, and emotion, but it challenges musicology and affirms the continued evolution of the field as a whole.

APPENDIX A: Interview #1

Question 1

L: How do you define EME in music?

1: This is a hard question. Well, there's the mechanical side of it, how you do that stuff, or how you give the impression of that stuff, and then there is the effect of that stuff. So, EME the mechanics are things like: timing, shape, nuance, tonal control, voicing...all of that technical stuff creates EME, but you can do all things and still not have EME when you are performing. I don't think you can define it. In order for performance to have those things, you have to have some kind of fluidity that mimics how people think and feel, which is never metronomic, but at the same time you have to have a rhythmic framework that allows you enough flexibility to do these things without it sounding like a big run-on sentence.

Question 2

L: So you talked about mechanics, and you give a few examples, can you just repeat those?

1: Mechanics, ok, things like: timing, shaping, phrasing-whatever you take that to mean, its one of those nebulous terms, nuance, voicing, and articulation: all that stuff that is beyond the notes.. that's where I know you ask in number three, where EME resides? That's where that stuff resides. That stuff resides outside of the notes. A lot of it does, I mean it can also reside in the harmony, shape of the melodic line...and it depends...every piece is different. Right?

So, thinking specifically about Brahms, the most successful Brahms performances are those that, all of those mechanical things that I mentioned, those are the ones that... the most successful Brahms performances are the ones where the timing, and the nuance, and the accentuation, and all of that stuff, is sensitive to where the harmonies are leading it, and what the motivic manipulations are that are happening. Like, there is that moment in the 118, no. 2 where the theme inverts. And its this magical moment, and most people recognize it as an emotional moment. But knowing why its an emotional moment, that the theme inverts...then having that kind of harmonic technical awareness will allow you to look for other similar moments throughout.

Question 3

L: So when you said that in Op. 118, most people recognize that as an expressive, emotional moment... when you say people, who do you mean?

1: I think listeners as well as performers. The listener will see it as an emotional moment, if the performer does it responsibly, and not just bashes through it.

Question 4

L: So you talk about the listener, how the listener can pick up on that. How important is it for the listener to pick up on it? And when you are practicing, for a performance, how much are you thinking about the listener? And to what extent are you thinking about them?

1: Me personally, and in my teaching... when I'm preparing a piece for performance, I'm not necessarily so much thinking about manipulating the audience's reaction. Every once and awhile I do... but its more about responsibly preparing in a way that you have something to say. Anyone can play all the notes, but how do you communicate something? And there are ways that...sometimes you can't teach that stuff... I had a student once who was really brilliant and went on to grad school and she's doing really well, but at the time, somehow she's gotten past it and that's great, but at the time, I could not get her to play expressively! She did everything I told her to do: she sped up and she got slower, and she took time here, and she went louder here and quieter there... and she did all that stuff and it was just never expressive. And its one of those things that is really difficult to teach. One of the techniques I use is imagery.

1: And the more specific the image, the better, the more colorful, the more detailed the image... thinking of the image not just as a series of pictures, but as a really well-defined vibrant movie that you can manipulate with how you are interpreting ... that's when you can give the impression of something to say even if you don't know what you are trying to say. Doesn't matter what you are saying as long as you say something. And if you do, audiences hear that. And when I am working with a student, I can always tell if someone is in their image and when they are out of their image. Always tell. Every time.

Question 5

L: In your teaching experience has imagery worked for every student?

1: Some people resist it. No, it doesn't work for everybody... it works for most though.

Question 6

L: If it doesn't work, is there another thing you can go to, as a teacher?

1: If it doesn't work, than I find that I go back to mechanics- you know, speed up here, slow down here, make your rubato go with the phrasing... rubato is hard to teach because most people overuse it...ya...I haven't found a really good way to help non-expressive students become more expressive if they are resistant to imagery- I find imagery to be the most efficient, effective way to do that.

Question 7

L: for yourself as a player, when you are practicing for a performance, is that what you would do? You would revert back to the technical, the mechanical?

1: You have to have both, you have to have the technical facility and confidence in order to do the manipulation that you can do when you are working on the imagery. So, great example, I know its not Brahms, but Bach. Bach works really well with imagery because its like a blank canvass. Thinking of even the First Prelude- the one that's just a series of broken chords... if you can think of an image for that, than you can make it sound like all kinds of different things. You can add three or four different images to that and its three or four different pieces! You know, whereas anybody could just sit and play the notes, and it will sound like wall paper...then if

you start thinking about adding a storyline to that, then, instead of prescribing- oh, get louder here, get quieter here, take time here, here's a cadence... instead of doing that, then your image does all that for you...and then those things become more part of how you are experiencing the piece rather than a prescriptive list of things you have to remember to do.. and that is always going to be more effective if it comes from some place within, rather than "I have to remember to get louder at that point." And that's the difference between a crescendo and a dramatic impetus.

Question 8

L: How important is EME in your performance, when you are playing? Would you say it's... you know, the number one thing?

1: Ideally yes, but sometimes you just got to get the notes down... of course its important- it should be the most important- but it can't be the most important if you don't have the goods to back it up... you have to have the technical facility behind it... so I think its equally as important as being able to control what your fingers are doing.

Question 9

L: So when you are talking, its sort of like there's a division. There's the EME and then there's the technical. Am I wrong?

1: At the beginning stages, yes. I think then at the performance level then they work together. You can't have one without the other.

Question 10

L: So if you were to learn a piece, would you go and then just not think about EME, and then just go okay, "how am I going to..." or does it just sort of all happen at once?

1: Depends on the piece. Some pieces... and when I am working with students too... also the way I work with students, it depends on the kind of student- if you have somebody who already knows distinctively how to do rubato, or how to do shaping... than you don't really have to teach that stuff... it becomes part of what they are inferring already, but um, with some students who play more technically, sometimes I will say, "ok, when you are working on your repetitions for this passage, when you are working on your rhythms and your fingerings, include the crescendo there." But I think that you can't... the kind of expression that I am thinking of- which is beyond crescendos, and diminuendos, and all that stuff... the imagery stuff. The imagery stuff can't happen until you have a really firm idea of what's going on in the score... because the imagery has to come out of what's in the score. The imagery can't dictate what you play, except in the case of Bach where you have a blank canvass.... so there are always exceptions. So, at the technical, when they are learning the technical aspects of the thing, they can still do the expression markings, and should learn all of the dynamics, and articulations and all that stuff. But those things can be accomplished without having an emotional connection- that's the trick! You can't have emotion without those things but you can have those things without emotion.

Question 11

L: Where would you say EME resides?

1: Well, it all works together. I haven't mentioned, really, harmony...depends on composer... and Brahms definitely there is harmonic expression... and timing, articulation, and dynamics, and all that stuff. But I think that in performance the EME resides in the performer's mastery of the score, including all the stuff beyond the notes, and sensitivity to the harmony, and that little extra connection with whatever they are trying to communicate, however they get to that, whether its through imagery or some other way... its both together.

L: So, from that answer, I get that that is a part of the performer...

1: Mhmm...

L: But technical/mechanical is the tools they use to do that?

1: Ya! Yep.

1: Notation is not necessarily expressive. If you were to plug in standard notation to a computer feedback player you wouldn't necessarily get an expressive performance from that computer. There has to be that human quality, I haven't mentioned breathing which goes with timing, phrasing, ebb and flow and all that stuff...Notation: there is something in it, but you have *to do* something with it: unless you time that harmony just right, etc. and changing these things will change the expression too! And some composers try to prescribe exactly how the piece is to sound- Debussy for example is so specific! Brahms on the other hand is not so specific... well he does it in different ways. In Brahms you can't be expressive if you don't know how to read a slur. People don't know how to read slurs.

Question 12

L: Can you describe how to read a slur?

1: Ya! Whether Bach, Mozart, Chopin, etc. Slurs imply that you play legato under the slur, implies that there is some sort of release at the end of the slur, though not necessarily a dry break... what people don't usually get about slurs is the shape. The first note should be more emphasized, then there is a decrescendo at the end of the slur so the last note is the quietest, that way, if you do completely release the slur than you don't have this hiccup choking the end of it.

Question 13

L: How would ppl know about these slurs?

1: They would have to have someone who tells them, a teacher or by listening. The most successful performances are the ones that pay attention to the slurs.

Question 14

L: Buzz words from your definition of how to read a slur: shape, emphasize, release... what is the similarity between all these words? I got you to talk about it... is that enough?

1: Oh the physical action... "the drop roll" is the best way. [She shows me]. Manipulate the arm weight; make your arm heaviest when you want the sound to be

heaviest. If you look at slur, how it looks upside down is the shape that your arm should be during the slur. Trick is also how to release it without it sounding “choked”→ [she shows me on piano, with Op. 117, no. 2. Specifically talking about arm gestures, weight of thumb, etc.] This is all a big choreography: so if you take the shape of a slur, turn it upside down, that’s what your arm does. Then you will have the weight right (L: then you will have the expressive element) Yes. (L: so, a gesture/choreography, largely) Yes, for slurs! Even if it’s artificially added, they need emotional context.

Question 15

L: So, are you choreographing emotion?

1: Yes!

L: So its not necessarily what you feel?

1: I don’t think it matters what you feel. That is my point about imagery. It doesn’t matter what you feel, as long as you are feeling something. And the point is not to get your audience to feel the same as you, the point is that you are saying something, anything! As long as you have some kind of narrative so that you are communicating something. Its not a failure if the audience doesn’t feel what you felt, as long as you got them to feel something.

Question 16

L: What if you made said imagery and you have a terrible reception? In that case, how important is the listener’s reception?

1: You know, I don’t think about my audience. I frankly don’t care. I think that for successful performances to happen... maybe that is a question to have: who constitutes what is a successful performance? Is it the performer, audience, jurors... it depends! If I am not getting marked, I just want to get through the piece without it being a train wreck, and being engaged in the piece somehow. To do that, I use imagery, which also helps with memorizing. If the audience gets it, awesome! That is a bonus. I frankly don’t care if they get it or not... because you just got to get it done. Maybe if I were in Carnegie Hall I would think differently... but there again has the question what constitutes a successful performance for a Carnegie Hall performer? Well, might be the critics. So you have a different goal there.

L: (I talk about the business side, there to sell seats)

Question 17

L: If you were to have an ideal performance, what would it be?

1: One where I have a connection with the audience. So I say they don’t matter, and they kind of don’t... but a successful performance does have an element of audience satisfaction in it, bc you get back from the audience what you give them. It’s a circle. Successful performance is I’ve done all the technical things I was supposed to do (80% of them at least) and one where I was sufficiently and emotionally involved in what I was saying... that I was able to communicate that and get some kind of emotional response.

Question 18

L: You said, "Where I was sufficiently and emotionally involved"- what does that mean again? Is that where your imagery is happening?

1: Sometimes you don't need your imagery to get there... its when I feel I am getting an emotional response. Doesn't always happen. Giving yourself goosebumps. Sometimes imagery gets you there, but sometimes harmony, timing, etc. You are in superman mode up there in that moment, you know that you are there, you know you have the audience involved/engaged emotionally.

Question 19

L: In that moment what is it like?

1: You forget about the technical stuff, feels like it just happens... but it never just happens, you have to do all that work to get there... its all the technical, imagery, etc. learned in practice. Until you are at the point of being in control of the technical, imagery, you can't completely let yourself over to whatever emotional effect is happening, you will always be thinking of the other stuff that is not ready. It will pull you back. You can't have one without the er.

Question 20

L: Any other gestures that you use for expressive purposes?

1: Ya! Facial expressions are really handy- another way to get an emotional connection. Example: passage that you want to be ferocious: furrow your brow. Head tossing in Beethoven (in a big cadence for example). I think that comes from my background playing for opera singers. I learned a lot about expression from working with people as an accompanist. Two teachers from the Cornelius Reed School did something→ took cue cards with labels on them, have someone singing an aria and take a different emotional label that doesn't necessarily have anything to do with the text, so, for example, put up the card "jealousy" to a love song. And it would change not just how the singer sounded, but the kinds of physical facial expressions they used and posture too. Does translate to the piano too. So, posture is a gesture to use, how you distribute the weight in your feet without thumping the pedals, where your elbows are→ directly effects weight of arm, which directly affects the sound, facial expressions.

Question 21

L: What about vocal expression? Do you use it?

1: Not really, no. Most pianists are really resistant to it. Not good enough of a singer I guess. The only time I would use vocal in teaching/work, is if I would want to remove any technical stuff.... no never mind...

Question 22

L: Would you say that there is any benefit for the listener when you use facial expressions?

1: No, tool to get out expression. Depends though. Some pieces have some theatrical aspect to them→ like arm flailings...

L: Like, Lang Lang?

1: Well, that is the extreme. And you don't need to arm flailings to be expressive. Though there is a study: they show videos of elite piano competitions with sound and without sound, and then experts and non experts had to guess who won. The highest amount of accuracy between experts and non-experts came from the performances that did not have sound. So, you don't need to be Lang Lang flailing all over the place, but if you show through your posture and your expression and everything that its coming from with you, then it shows that you are emotionally connected to the piece, and it's the emotional connection that we want...anybody can play the notes, especially in this day and age. But not anybody can say something with the notes. So yes there is some element of theatricality to a piece, so yes I think body language does make a big difference. Good example of that is at the end of the piece... I am a big stickler at the end of a piece- so many ppl don't know what to do at the end of the piece. You dictate when the audience claps for you ... I don't know if that's an expression thing, but it's a body language thing. *Shows on the piano. They don't clap until you bring your hands down and tell them its time. And you can do that if you have had an expressively engaging performance. Works for multi-movement pieces too.

Question 23

L: Do you have any performers that you really like?

1: I tend not to watch them, I tend more to listen to them. My favorite composer is Richard Goode: good at Brahms and Beethoven. Do you know what I like about RG? Is he plays what's on the score. He doesn't change it, he just plays it. So all the slurs, he shapes them all. He does all the dynamic markings, and all the articulations. And not only that, he says something. What performances I like the least, is the ones that ignore all the shapes, etc. and they are still expressive, sure, but they are not accurate. What I like about RG is that he's accurate and expressive. Intelligently accurate. It's the most interesting, engaging, and intelligently expressive when you pay attention to what's there.

Question 24

L: And you say you don't like to watch them...?

1: Nope, no I don't. There was one where I went to a performance of Emmanuel Ax playing a concerto with St. Louis Symphony. He was playing a Mozart concerto. I like Emmanuel Ax too and I expected to be blown away. Mozart is one of those composers that if you don't have something to say then it doesn't communicate; and it didn't communicate. It was beautiful accurate, but it didn't say anything. And I was really disappointed.

Question 25

L: Can you pinpoint why?

1: I don't know! It just sounded like a piece that he played forever and ever and ever. It was expressive, there were crescendos, diminuendos, and timing and all that stuff... but it didn't have that extra level of communication...whatever that is... that "je ne sais quoi," that certain something, that "it" ... and he's spectacular.

L: Do you think your reaction was just a personal opinion?

1: It was a long time ago, but I seem to recall having that conversation with other people who were there with me, and they felt the same too...Just talking about- back to imagery and communication-when I do imagery in my master classes, Ill be working with someone and I'll say "ok, do you have an image?", they'll say "ya- it's a forest at night." "Ok, play the forest at night." So they will play it and then we will tweak it: so its little red riding hood going through the forest, and the big bad wolf is wearing this, and then this is in the basket, and it smells like this, and its this time of year...etc. Then, they will do it again (play it again) and they might start out in the imagery, and then fade away from it and then come back... and I can always hear it when they are in and out of the image. But the audience can hear it too. The people in the master class can hear it too! They will say "you were really engaged in it, and then I wasn't sure... and then you were really engaged in it again!" They can pick it up. You can hear that. And its not just me looking for it... a reasonably, intuitive, intelligent audience can hear that; and I think- I haven't done this kind of experiment with non-musical audiences- but I am pretty sure they can hear that too. I think that non-musical audiences might be a little more intimidated, though, giving their opinion... but if you are communicating... doesn't matter what it is, it goes across... people catch that.

Question 26

L: In your experience with students, do you find that the imagery technique is pretty new to them?

1: Ya, to the amount of detail that I make them do. It's all bugs bunny cartoons kind of imagery.

Question 27

L: Do you think that it's because there is a lack of teaching expression in their previous training?

1: Maybe... I don't know...

L: Is it maybe a maturity thing, as a performer?

1: You have these kids who come in, and they are just naturally expressive. Sometimes you have to teach it to them, and sometimes they just have it. The ones who just have it are rare, and the ones that have it and have technical facility are rarer still.

Question 28

L: You talked about how some students that just naturally have it... how do you know that, how can you pinpoint that?

1: You can just hear it.

L: If you had to pinpoint it... could you?

1 (Speaking with a specific student in mind): Excellent control over tone and variety of colours...

L: Do you think that they knew what they were doing?

1: Nope. No. This person had a really good instinct for harmonic nuance- when there were interesting harmonic moments, they knew to take just a little more time... they just had it in their experience... I don't know if its experience or not, I don't know if its from exposure...I don't know... but they just knew to do certain things at certain times to sound expressive... this other person I had to prescribe it a little bit.

Question 29

L: Do you think when you have to prescribe it, it can be as successful?

1: Its harder. I think that you can get to a certain level. I think there is a glass ceiling when you have to prescribe it, and the only thing that can get it beyond the glass ceiling is experience and lots and lots of exposure to really good expressive performances.

L: So, exposure is kind of important?

1: Ya, if you want to get to that elite level, yep. Definitely.

Question 30

L: What about cultural/social things like that, past experience?

1: I think its exposure, its still exposure. To having the kind of repertoire that they are (performers) are performing, to having the kind of performance practice norms in their head. So, for example: trying to teach someone performance practice nuances in Baroque music... if they don't have really good Baroque music performances in their listening experience, they won't have a clue what you are talking about. For example- and its not necessarily listening to exactly the pieces that they are learning, in fact, I think that is a bad idea, I usually tell people not to do that because then they copy, and then its not the same. When I have ppl working on Baroque pieces, there's the whole conversation of "is it a piano, is it a harpsichord? What is it?" I go make them listen to Tafel music orchestra recordings. The piano is like an orchestra, its not a harpsichord. But there are some things that the harpsichord does that you can and should know about... but it's a living, breathing thing, like an orchestra! It has nuance→ use them! So, I think exposure to cultural norms of the repertoire that you are doing... so, a student that is raised on pop music comes and tries to play Chopin, ok, they can follow directions and they might be talented, but they are not going to really know what expression in Chopin is really like, and how it is different from expression in Brahms. They are not going to know that until they listen to a lot of really good performances of those things, and know how they are different and how they are particular. Exposure, exposure, exposure!

Question 31

L: So, that's pulling out a textbook and reading?

1: No, that's listening. Ya, maybe some music history and context. Having some facility with being able to analyze what it is that-for example Op. 118, no. 2 when the motive inverts- being able to look at something and analyze why something might be expressive. But its always comparison when you have context. So if you are looking at how Brahms is expressive by inverting a motive, then look at how Bach does it. And he might do the same kind of procedure, but does it sound expressive in

a Bach fugue when you invert the subject? It can, depends on the context... *sigh. That's a hard question, Leanne. But the more context you have... every year we have ppl who say "why do we need to take music history, theory" "because you need context! Because you need to have techniques at your disposal to talk about what you are experiencing. So that teachers can say in very specific terms, give you something to describe the context that you are trying to experience. That is why you need all that stuff.... and you can't do music history without listening to it. Listening with an informed ear is really important. So I think performance practice is a big part of that... performance practice is like the convergence of performance in history. Baroque performance practice has come a long way in the last 30/40 years, so that we look at original documents, and that's how we know how to do a slur... by looking at those treatises or CPE Bach essay- which is like the big one you have to know... and when you have that context, then you can say this performance is more expressive because it understands the aesthetic norms of the time and can recreate them. Things like, "in Baroque music, Bach never wrote down any dynamics, so they must not have had any dynamic expression." Well ya they did, you just have to know how. And yes, so does that mean Brahms is more expressive than Bach because he puts in dynamics? No, its just different. The dynamics in Bach are created through a different way- through texture, timing, harmonic syntax.

Question 32

L: So, how important is it, we use the phrase "doing what the composer wants"... what do you think of that?

1: Depends on the composer, and how specific they are, and your knowledge of performance practice. So I don't think we can ever really say exactly what the composer wanted... sometimes the composer doesn't even know what they wanted... but some composers are more specific than others... like Debussy: extremely specific. Brahms is specific if you know where to look... like Mozart; if you know where to look. Beethoven is specific. Haydn is not. Schubert is not. I think that its your responsibility to learn every marking in that score. Its not ok to learn the notes and then.... How many times have I been in a lesson where someone's playing Beethoven for example, and they say "oh, I want to do a fortissimo there" and it's a pianissimo! Assume that Beethoven knew what he was doing! Its your responsibility as an interpreter to read what's there! That's my issue with Glen Gould- if you listen to Gould and follow the score- especially his 20th C stuff... Schoenberg where he's really specific- he changes stuff all the time!! Yes, he's expressive and he's convincing- but its not accurate! Drives me crazy! But, he was expressive and that's how he got to where he was... he was convincing. That's why I don't let ppl listen to Gould if they are listening to something that he has played... because he was so convincing in his expression that once you hear it that way, you can't hear it any other way. And that is I think a really great goal to strive for, well being true to the score as much as possible. I think that is a really basic responsibility.

Question 33

L: So, you've got the responsibility but you've also got the challenge of using what's there to be expressive.

1: Yep.

L: So would you as a performer say that you are less than the composer? Are you less than Bach? Brahms? When you approach a score do you feel... yes, we talk about responsibility, but does that make you less?

1: No. That makes you a partner. Because that music does not live without you. And when I say it's your responsibility to learn everything in the score, I think that if you have to have a respect for what the composer has done and you have to expect that they knew what they were doing. Beethoven wrote a pianissimo there on purpose, and if you don't like it, then there's something you don't understand.

Question 34

L: And that's not necessarily being less expressive...?

1: In that case, the performer's expression is not lining up with what the composer intended. Sometimes you have to dig. With Brahms you don't usually have to dig... he's pretty prescriptive.

L: I think that this is where this idea of what you are feeling vs. this choreography comes in... You don't necessarily have to be feeling emotion x when you are playing....

1: No, I think it's better if you don't! If you get too emotionally involved, you can't get through the thing... have you ever tried to play for a funeral? Phew! That's hard! That's where imagery is really handy, and that's why when I work with imagery, the imagery I use is usually cartoons. It's visually arresting, you can manipulate them to do physically impossible things, and it is an emotional experience that is outside of your own experience. I had this thing where I was learning the Brahms 118... I had just gone through a terrible breakup, so every time I play those pieces it's about that breakup- and that bugs me- I don't want to experience that every time. So, ya, no, ya... you can be emotionally connected but, if you are emotionally connected to it on a personal level it becomes more about your own experience and not what the music is telling you. So I think it is dangerous, actually, to bring your own emotions in.

L: Right. Your own emotions change so in performance, what happens if you are really sad and you are supposed to be playing something really happy.

1: Well, but that's ok too! I don't think that you necessarily need to practice what your expression will be. I think it's ok if it changes. And some people can only be expressive when it's their own experience. In my own experience, you have a more vibrant performance if it's not your own expression... though I think you have to have your own life experiences in there to have some sort of connection.

Question 35

L: Do you mean, a natural, cultural, social context that you are in? You can't take that part away.

1: Yep. Yep. This one student that I had who wasn't necessarily very expressive, she has had more life experience now, so I am hoping that it has... you got to go get your heart broken! So, yes you do have to experience that, but you don't necessarily want to be reliving it on stage.

1(Playing Brahms now): Dynamic change, harmonic turn= expressive moment, lots of slurs...Now, here's an interesting place where the slurs really have a big point, because here its causing a shift in the meter... give the impression of being unstable (sounds like the emphasis is on the second beat: 1, 2, 3... but its not! Its... 3, 1, 2... Inversion of the tune: so, as the tune is (plays it), so here its (plays the inversion). In the Paganini, the Rachmaninoff Paganini variations, the orchestral one? The second movement is the same thing: the inversion of the tune... but everyone is like "oh, its so beautiful!"... but it's the inversion of the tune! But that's one of those moments where there is a lot of stuff is converging.

L:Right, so just identifying and knowing where it is...

1: Mhmm!

Question 36

L: I am going to jump to the very last question because this is sort of the heart of the issue; the heart of the whole thesis. So far, I haven't heard any names of scholars, etc... so, number 13. Is there any authors (Brahms authors let's say).

1: I don't have time to read.

L: Right. But if it were really important to read, do you think you would?

1: Ya.

L: Do you think it is?

1: I think it is when you are looking for answers.

L: My question is, do you look into the musicological scholarship?

1: I certainly did when I was a student- that is how you get your context. That is one of the ways in which you can get your context. About Brahms specifically?..... Ya, most of the stuff I have encountered about Brahms is just analysis or biography.

Question 37

L: Do you find that scholarship on EME... is there anything that you have looked at?

1: I have not for Brahms. I have for Baroque stuff and for Beethoven... I've had some experience with that.

L: And has it been helpful?

1: Ya...I mean its been so long ago. Its hard because we are in different points in our careers right here. So when I was where you are, then yes! Definitely. I tried to read everything that I could and have all these conversations... and especially the stuff about Beethoven. There's this book called "Musical meaning: Beethoven" by Robert Hatten- who is a friend of mine, which is why I read it- but it was really useful. Things like...I think you as a musicologist, I'm sure, will totally appreciate this: I think that historical context is really important, to a certain extent some biographical context-though we have to be careful about reading too much into it,

but then if you are going for expression, than why not read too much into it! You just can't write about it. But, the readings/scholarships that I have been exposed to, kind of stopped at Beethoven and Schubert. I haven't had too much exposé- in a useful way-to later 19th c. stuff. And yes I read Dalhouse. I think I read Adorno—I don't even remember. Yes, I read Cone. Did I find it useful? Apparently not.

But I think though, that the stuff you learn from...especially Brahms. Brahms is this weird thing, because he is this old fashion 19th c. relic, at the turn (almost at the turn) of the 20th c; but you can still look at him through an earlier 19th C lens. He's still triadic, he is still using all the same procedures that Beethoven and Schubert used, and Schumann who I don't understand at all. He just kind of pushed them, without pushing tonality; he's still using the old rules, right?

Question 38

L: So that's kind of an analysis (triadic, tonality, etc.)... have you found in scholarship any direct uses of expression?

1: That's hard to write about.

L: Why do you think that is hard to write about?

1: Because when you write, you need to write provable things. It's not scholarly okay to write about subjective things because you can't prove them...in a way.

Question 39

L: Do you think there is a way to prove them?

1: Read the Hatten. In the Hatten, he talks about how knowledge of...again, its cultural context—sensitivity to cultural context—allows you the freedom to manipulate the expressive devices. For example, if you are trying to create a sense of emotional surprise. The audience or the performer has to understand why something is a surprise. Why is a 6 chord, why is a deceptive cadence a surprise? Especially to 21st c ears, that is lost on us now. So, in that sense, I think that scholarship can be useful, again, to set up historical context, so that.... Haydn is a great example of this. Whenever I'm teaching Haydn I always have to say "Ok, this is funny." And students are like "that's not funny. Ya it is! Because at this time audiences were expecting this. You have to know that stuff to know why something is special, noteworthy, funny, sad. You know, would a non-Western European audience have the same responses? I don't know... because they weren't schooled in the same cultural background. Is expression in Western classical music a universal? Probably not. I know that is not what you are looking for... but, do I read Brahms scholarly writings? Nope. Don't read them. I did when I was an undergrad, and nothings sticking.

Question 40

L: So... you're talking about how scholarship can help you- you used the example of Haydn: "that's funny, that's sad," but have you found in scholarship anything that says "that's funny, so here's an idea of how you can make that funny?"

1: I haven't seen that... but I haven't looked for that either. Its been a long time since I read an article, or gone to a conference...maybe its time. Um... no.

APPENDIX B: Interview# 2

Question 1

L: How do you define EME in music?

2: Well, expression... that is a difficult term. Because its like... expression of what? Of emotion? Of meaning? I am presuming that is what it means...

L: so you associate it with...

2: Ya, like, expression, when you look at the word...its the noun version of expressing something. It's the transmission of this stuff. It's taking the stuff that you as a performer find in the composer's work and giving it to the audience. Expression. It's like a transmission. Because that's the role of the performer, I think.

L: I kind of clumped them (EME) together, because they sort of all intertwine.

2: They absolutely intertwine. They are not synonymous.

L: No, and is there any big differences maybe, when you see all those three words...

2: They are absolutely are all related, but I think there are some subtle differences. Like, for example, in terms of meaning.... you know, I remember long ago hearing Richard Tauraskin give a lecture on Shostakovich 5. He was giving all this background information about how... you know, he subtitled it: an artist's response- a Soviet artist's response to just criticism. And its like... that is not emotion exactly, but it certainly is meaning! And whether it actually means that is another whole kettle... pandora's box... the whole meaning thing...and you know... I did a dissertation on Schumann's piano music, and I had to really, really defend myself on the idea that music actually means anything. You know, that it has definable content other than notes, and harmonies, and stuff.

Question 2

L: So you were kind of arguing that music can mean anything other than just the notes?

2: Basically what I was arguing in my thesis... Schumann's music- and by extension you could argue Brahms' music- owes so much to the structure of the Romantic literature of the period. And... this is something that I have always intended to do with Brahms actually, but we will see if I ever get around to it. But, you know... he was very obsessed with this guy Jean Paul- this author right? And so what I was doing, was I was drawing very specific structural parallels between with what Jean Paul was doing in his novels and what Schumann was doing in his music. And of course, with Brahms and Schumann, where do you draw the line? Where do you draw the line?

Question 3

L: so you were saying that there was direct meaning from these sources?

2: There was meaning in the sense that there were structural parallels... and I had to be so careful about saying "this music means this." Because there was so much skepticism about "well what do you mean that those are the notes that represent

Clara's name?" And there's all kinds of speculation in the literature and a lot of its arguable.

Question 4

L: how does- when you are talking about meaning in that sense- how does that translate to let's say... expression.

2: As a performer, being informed about those facts about a piece of music...I mean, for me, I can't help but go and look at that piece of music in a different way then. And so... for example, I am currently preparing a cycle by Szymanowski at the end of next month... all of it is based on the Odyssey: women in the Odyssey. So you go there, and its like "oh! That's the song of the sirens!" Odysseus is tied up to the mast, and everyone's got wax in their ears, and they're going by this island. And you hear it! You hear the ocean in, like the motions of the arpeggios... and you just start seeing it. And then, as a scholar all the questions come up: is it really that...how can you say that an arpeggio means the ocean. That is ridiculous. It's an open chord.

Question 5

L: well, ya, you can look at it structurally, but emotion... number two: how important are these aspects (EME) to your performance?

2: ya, well, to me, it's the heart of everything. That whole question about-that is the other thing I was going to say about question one- emotion; because emotion is...I mean, I don't know what a psychological definition of emotion is, but it is something that is aroused in someone, right? It's like a physical response. A physical and psychological response.

L: so, that to me is like a human-

2: it's a human element. Absolutely! And then there is the question of how much of that is your emotion as the performer? And then how much of it, are we talking about, the response of the listener to your performance? That's a whole other...

Question 6

L: Music is an interesting thing. It's a mystery in many regards, it has all this magical, mysterious things happening, and yet, it's also a business... so we've got this reality where the listener is important, and you have to sell seats. But at the same time... so here is a question: let's say, you've prepared and you are pretty confident, and you go and perform...and you execute it and you have this horrible reception from the listeners. How does that affect? And to what extent do the listeners affect your performance?

2: That is a very individual question. Different people are going to be affected differently by that kind of response...I'm trying to think if I have every been in that situation where people thought that I sucked...

L: in this situation, it could affect you in different ways... it could make you feel sad. But could it be that the listener's perspective is something different?

2: I think it absolutely is something different. I think there is no question that it is something different. Well, for example, last year I played a solo recital at Brock, and... the first piece on the program was Op. 118, and then the next was Schubert

Wandering Fantasy... and op.118, at the end I sorta felt like people were going “oh ya, that’s ok, that’s good, clap clap, clap.” Schubert Wandering Fantasy, I got a full standing ovation. But then afterwards, when I talked to individual people, a lot of people thought the Brahms was better. Which, objectively, would make sense because I’ve been playing the Brahms’ Op. 118 since I was 21 years old. The Schubert Wandering Fantasy I never performed before that day. So, that would make sense. And the Wandering Fantasy, I mean, the last four pages are basically a cadence... and everyone is responding to this, and its kinda like... but I knew there were people in that audience that were like... its Brock! They don’t even listen to classical music! They listen to Katy Perry or whatever... and so I can’t expect everyone to respond to Brahms the way I do.

Question 7

L: if you are preparing for a performance, are you ever thinking about the audience at all?

2: ya.

L: and to what degree? What are some thoughts maybe that you would have?

2: Well, you were my student, so you’ve heard me say, that you always have to have the imaginary concert hall in your head. That whole business of projection. You have to prepare for a situation in which you will be sitting in a concert hall playing for a bunch of people who are sitting in seats, not necessarily sitting, having a glass of wine in your living room-as nice as that would be. So ya, you have to- I mean there are a lot of intangibles in terms of the delivery of expression in music, but you have to make sure that they hear the melody. You have to make sure that you have some sense of fidelity to the dynamics that the composer wrote. Right?

Question 8

L: going back to Szymanowski. You were saying how it sort of has this story attached to it. So that obviously- and even with your own thesis- you were talking about how it changes the way you look at that piece from now on. So... what’s happening- can you describe more about that change...how is that being transformed? And to what is that being transformed?

2:Mhmm. So, for example, the first movement in the Szymanowski is sirens. I already knew about the sirens. We already knows what happens there. Calypso- you know about Calypso? I didn’t really know about Calypso until I- I mean I had read it, but I forgot. So I am playing this and there’s all these sort of (makes noise): these sort of alternating broken chord motions rushing down the keyboard, and I thought “wow, that’s freaking hard, and what does that have to do with Calypso?” And then I was reading it, and Odysseus was on the island for seven years. She forced him to stay there, right, and she wanted to marry him, and she was going to give him immortality, and eternal youth- and then they told the story about how some body gave some body immortality but they forgot the eternal youth part, and they ended up being this walking skeleton. So fine, he was going to get a sweet deal out of it, but he just wants to go home to Penelope. So every time he sort of gets wired up and he starts crying and he wants to go home to Penelope, she takes her shuttle and starts weaving. So she starts singing this beautiful song and going around the room with

her shuttle, with the melody on top... and I was like, "Oh! Look at that!" So Szymanowski alternates this cry (2 sings it) and Odysseus is like, "I want to go home!" And Calypso is like "No you don't, no you don't, no you don't." Now, Szymanowski is... this piece dates from something like... 1909... its much later, so the language is totally different. You don't see Brahms doing stuff like that. But at the same time, you can make some pretty strong connections.

Question 9

L: so in a piece like that one, you have a story that is sort of set for you. Do you do that often? To get EME, what kind of things are you doing?

2: So um, I think all of us as performers, are drawing on the musical associations that we have made over the course of our lives. So... say when I am playing a piece by Brahms, Op. 118 and it's the last movement and it goes (she plays it)... sings "Dire es irae" for the melody. You know, Brahms said about the resemblance of the first symphony to Beethoven's 9th- any ass could see that. And you hear that, and its one of the last pieces he wrote, and its in eflat minor, and its got all these sort of, beautiful, chromatic modulations in it, and its pretty easy to connect with something emotionally like that. Or in the third movement its called "Ballade." And you know that a ballad is a narrative poem. And he also wrote ballads early in his life of course- the Op. 10. And whether that is the same sort of thing as the Chopin ballads- I don't know if you are familiar with those- there's actually some good literature on those now. Especially the second ballad... about how you can connect them to specific poems. With Brahms obviously the connection is not obvious. There may be a connection. Brahms was very good at destroying evidence. But we also know he wrote a lot and he was familiar with that sort of thing. So if he writes something and calls it a ballad, you know that there is an implied story... or at the very least, that you need to convey that sense of urgency or forward momentum, that you would get in an exciting narrative poem.

Question 10

L: and so, I am wondering... "Forward moment"... but how does look? How do you do that? Through...

2: Um, part of it is through phrasal direction...so, you know, giving the feeling that you're hearing the structure and you are able to convey that to an audience. And to me that's about... well I could go on for hours about that, there's a lot of aspects to that. But, the very basics of it, is that you are hearing both the small and the big rhythms. So you can hear the structure of a work. So, for example Brahms' Ballade, Op. 118, no. 3. So this ballade, it has obvious ABA structure, and so obviously you are going to hear that. But at the same time within the sections you are going to hear where Brahms is taking you. Brahms, to me, is a very particular case, because he was very specific about his markings...of every kind of marking. So he kind of gives it to you, really.

L: and where as other composers might not...

2: well, for example, Bach gives you nothing. Nothing. And that's stylistic, and the practice of the period... but at the same time, some composers in that period give you more than Bach does.

2: (plays Op.118, no. 3) *ritenuto*, *tenuto* on that chord. *Subito piano*... he keeps the G pedal right? So it's unstable. You can hear that. It's not anymore G minor, it's E flat with G flat in the bass, it's unstable. And then you go to something that actually a more stable chord, but it's like, "why am I in f minor? Why?" Right? And so it just never stops. And so this is one of those points where you are like ya... this whole dichotomy between Brahms and Wagner doesn't really exist. It's actually something written eight years after Wagner died...so... ya!

Question 11

L: you refer a lot to the structure, analysis... so do you do that often? Do you kind of see that so that you can see where things are... but that is not enough. So then, what's the next step? So you are seeing where it is, so you can identify, and you can even identify "ok, so this is unstable." But that is not enough. To see it on a score is not enough- we don't give the listener a score. A listener couldn't take a score and go "wow, that is so emotional, that is so sad!" So, we need the thing between, the actual performance. So, what are you doing when you are playing to get those things across? Gestures? Or things you are doing to help you bring things across? How do you physically do that?

2: So in Brahms Ballade he says "*Allegro*." And *agico*, so you know you are not going to play it too slow. And then...he is so nice. He knows his work is so complicated that he stems the melody up all the time! He is just like "here it is!" You can't mistake it for being anywhere else! So that means that you have to voice it, and you have to make sure the other stuff is not so loud so it doesn't get in the way! (she plays) which means you have to put the weight into your pinky.

L:so voicing....

2:voicing, weight to where the melody is, it's got to project out... you've got to do that enough so that it projects out into a hall and it's obvious where that melody is.

L: so that's kind of the part where the listener comes in. You have to think of your audience, your hall, your venue.

2: that's right! You have to think of your venue. Maybe the type of piano that you are playing. Maybe you are playing in a church and there is a really echoey acoustic, and so you can't pedal as much and you have to voice more... otherwise it's going to get muddy and the audience will be like "what is this?"

Question 12

L: Where do you believe EME resides in reference to music? So we've got three major agents in music: you've got the composer, performer, and listener. But then you also have the score, which is obviously important. But then we have this mysterious EME... so in the music process I will call it, where do you think it resides?

2: I think that it's transactional. I don't think you can say that it resides in any one place on that spectrum. It's the interaction right?

L: the interaction between agents?

2: between agents, exactly. So in any case, emotion is elicited by a transaction. So... if Jeremy comes up to you and says "oh ya, this girl I knew from undergrad, she's going to stay on my couch for two weeks." That transaction elicits emotion. Transactions elicit emotions and depending on what is already resident in your experience... and

you know, the emotional content of your relationship with Jeremy, and the emotional content of how you believe relationships should be conducted, emotions are going to be elicited based on events.

Question 13

L: so where does this transaction take place? Or between whom does this transaction take place?

2: all the agents have a role in it... because Brahms wrote the music, and he wrote a score down that- you know- obviously in the case of Brahms with so much care in thinking about it. And this is I think, because of Brahms' situation in history, as one of the first generations of musicians that knew that musicologists were going to be studying their work in future. Mozart did not know this. He took so much care over what was going to be passed down through the ages. Not only with his own work but works of other people, like Schumann... when he edited Schumann's works. Ya, so that's already there, and so that's what we have to work with as a performer. And so no matter what I do, presumably, even if I am totally sloppy and don't pay attention to his articulations or his dynamics, I am still going to play roughly the notes that he wrote...even if I am a first year student.

Question 14

L: so when you are performing, if you were to perform that... would you say that you performing the composer's emotional intentions? Is it the composer's expression? or is it your own?

2: I could never take full credit for it, no, because... all of us have musical associations that we get as a result of our musical education and of our culture. For example, the very gross generalization that major is happy and minor is sad. That sort of thing... there are social conventions with music. Or that slow music is tender and expressive, and fast music is exciting... that kind of stuff. So there's a whole vocabulary...and obviously I see that you have been reading Meyer and Kivy, and all of these guys, so you know all about this, more than I do at the moment probably.

So those codifications are there in the score already. And no matter what I do, they are already there. So there is the element of what the composer has already put on the page, there is the element of how I see that. What's my relationship to that? And then there's the element of what are the people in the audience thinking when they hear it?

Question 15

L: Could you separate each part of the transaction? So when the composer says, "I want it to be loud here," he writes in a fortissimo. But is that emotion? Is it expression? I think it is certainly meaning... so at the beginning we talked about how there is a human aspect... like, this real, its happening now. The transaction between Jeremy and I is happening in that moment, in that time. So you have a score and its sort of paused in time, so its solid, finished, and you take that, and the performer grabs it and you say, "oh, this is this and that is that." So you make this story or this idea, and then it helps you to put expression into it? Maybe make it emotional as you perform it?

2: It helps me to connect to it emotionally, and thus to be able to create something that I hope will be accepted as an emotional transaction by my audience. But I have no way of guarantying or predicting their response.

L: So in that case, is it important... let's pretend that there isn't any listeners... so, listener aside, is it still important to be expressive? Without the listener, are you still being expressive, even without that transaction. So if you are playing hear...

2: to me that is a philosophical question. I don't really know. Am I being expressive? Because if expression is a transaction... I guess I am being expressive to myself... because as a performer you are always listening to your own performance.. so I guess there can never be a performance with no listener in the room. So in that case, the transaction is still taking place. So ya, and you're practicing to be expressive to other people, and you are judging that by the bench mark of "are you expressive to yourself?"

Question 16

L: and so, I have asked this before, but again, if you have failed... if the audience hasn't picked up on the expression, have you failed? Have you not been expressive? Or could it be that the audience was not listening? Because there are many factors with the audience, you could have an audience that is not listening.

2: No, and that's right, and there's the other... the whole cultural thing. I mean, I think about... have you heard old recordings of like Caruso and Nellie Melba from 1902 or whatever, and I listen to it and I feel like she's going... (imitates voice)... and you are like... "that's expressive?" Its expressive of me wanting to run out of the room screaming. But at the time she was considered to be the greatest opera singer in the world... Did she fail? Obviously not, because she's got records. So, I wouldn't consider it necessarily that I have totally failed. I would have the knee-jerk reaction that I haven't really done my job...but I don't think I could go around saying that I had totally failed.

Question 17

L: Some people might say: "wow, she plays with so much expression," and then someone might say: "oh, she doesn't." What do you think the difference is? What's the difference between someone who's playing expressively and someone who isn't?

2: There's a paradox in it too... because I learned from experience that you can be feeling all kinds of emotions, and you can really be feeling the music, and that might not be coming across to your audience... if you are not executing the gestures that elicit the transaction.

Question 18

L: so, what are these gestures?

2: so, to me... there are a lot of them. There's dynamics, and there's accentuation, and all that stuff. I think that the basic gestures of musical expression are rhythmic. And I think that a large part of the encoding of a 19th c. score- Brahms' score for example- depends on the performer's understanding of the rhythmic assumptions behind that score. You know, that the downbeat is the most important beat of the bar.

L: so you've got gestures within the score, and then performing... music is always an action...

2: ya, it is an action

L: even when we think about music, we don't... I mean, maybe performers are a little bit different, because if they really know a score well, they might look at a score and see it differently, but I think that when we think about music we associate it with how it sounds. So it's a sound... an action that is happening.

2: ya, it's a sound. It happens in time.

Question 19

L: so gestures in the score, but what about gestures in time?

2: well, the score implies how the time is going to pass. So Brahms says "ok, my ballade is in 4/4, its in common time, and it has strong accents on the downbeat, and he builds it up from these little motivic cells of 2 eighth notes followed by a dotted half... but then he builds up the excitement by adding more and more eighth notes, taking the place of the dotted half (she demonstrates with voice), and adding more of them in the accompaniment figures... so it builds up the rhythmic excitement that way. And so, as a performer, you can clearly delineate that, and you know like...I guess what I am getting at is that the performer has to be able to relate to the gestures that can be found intrinsically in the score. The performer has to be able to find where they are and then execute them.

Question 20

L: and how do they execute them?

2: piano technique is basically the art of executing gestures. Piano technique is sometimes described as being able to play stuff really fast, and being able to play your double thirds and arpeggios... piano technique is nothing more and nothing less than the means that you need to execute the gestures successfully.

L: so if you execute the gestures successfully, is that how you can become expressive?

2: ya.. because expression requires technique. Because people talk about "her technique's very good but she's not expressive." Well no, then her technique is not very good! Because she missed the point. Her technique might be very good, like, she can play all the notes in a row... at the correct metronome marking... but that's not executing gestures, is it?

L: so are there bodily gestures?

2: Well, ya, you are using your body to play the instrument, so bodily gesture is going to result in the notes coming out in a certain way. Now, some people, some people in the audience are really, really visual, and they think that someone playing like this (she demonstrates) is expressive.

L: Lang Lang... but you can have performers that hardly... they don't move, but they are still expressive.

2: Mark Andreomlet... who's technique is ten times what Lang Lang's is.. but anyway....

Question 21

L: so, bodily gestures. Do you have any one's that you like to think of specifically? Or what you focus on particularly?

2: Ya, most of my teaching is about distribution of weight. So, its...playing the piano is a simple matter of physics, right? Its gravity... and so, depending on the control you have over the transfer of weight from your body to the instrument, and also the freedom you have in terms of the amount of weight that is available to be distributed to the instrument. That kind of determines your pull up, as it were.

L: right, is there any other kind of gestures. What about facial gestures?

2: um... well, I am not playing the piano with my face, so.. I mean, someone might find my facial expression to contribute to the performance... that's very difficult. And I mean, I don't try to make a facial expression.

L: Right, like you don't choreograph-

2: I don't choreograph facial expressions. Some people probably do. Frankly, with the kind of repertoire I am playing, I have to concentrate way too hard to worry about stuff like that.

Question 22

L: So you say that you don't really use facial gestures or expressions, but bodily- for obvious reasons, but also even for expressive purposes, um-

2: sometimes, like for example, if there's a point in the piece where there is like two bars of rest and use the dramatic pause. Unfortunately, everybody thinks its over. So you have to kind of make some kind of gesture to make it look like its not over. I wish I didn't have to do that, but I do.

Question 23

L: so if you were to play for a recording vs. playing for a live performance, do you think that you would maybe change your approach at all? or would it be about the same?

2: my experience in recording is that it is the same. Ya, because my approach is totally geared towards what comes out the other end of the instrument.

L: so then, audience/listener isn't necessarily a factor. It doesn't.. a live audience is not necessarily changing-

2: ya. Well, a live audience is not in the room. They are not necessarily changing. I mean I have to practice pieces at this level of complexity for hours and years, in order to bring them to performance. I can't count on the inspiration of the moment. Maybe it will help, maybe it will just make me more nervous and make me screw up. You know, I have to prepare regardless.

Question 24

L: Preparation, you talk about inspiration in the moment... I mean, you do prepare for the moment of performing. You prepare for the unknown- which is ironic- but you try to, the best you can. So emotions, and meanings- we talked about the transaction- well, there is also the emotions you yourself could feel, do you rely on those? Or would you say that you more or less prepare a type of emotion, so that you know, if you are really sad but you have to perform this happy piece-

2: I prepare so that I am performing the same gestures regardless of my state of mind. I remember Tom Plaunt telling me at McGill that, you know, you have to prepare so that if you go on stage and you are having a crappy day, it doesn't matter, you can still come up with the goods. As a professional, that is your job.

Question 25

L: I am going to go to number 13; would you say that any philosophical or scientific theories on emotions, have helped as a performer. That you could say that "oh well, you know Budd said that..." I mean, if it has helped... in what way?

2: (Long pause). I can't say I have really thought about it in detail like this... but what's kind of interesting to me, neuro-scientifically, is the research into the primitive brain, right? The brain stem, and how it basically hasn't changed since like... the stone age. And so all of our fight or flight reactions, all of our sort of...almost auto-immune stress reactions are from the stem of the brain. And its kind of like music- well and other art forms too-film primarily- they go... it tries to go straight to that place. So, for example, if I play a diminished 7th chord in tremolo (she plays it)... you know, that the brain stem gets activated. That is what its doing. Basically all of these composers have been going around, finding out what is the...that the brain stem gets activated.

L: and do you think that, in the act of preparing for a performance, does that help you? Or is that more of just an interest...

2: I think that um, it becomes like a body of experience that you gain from performing a lot. Of what seems to affect people, what pushes their buttons so to speak...not that you are trying to manipulate them... but you have to convince them.

L: You have to convince them that you are giving them an accurate and emotional or expressive performance.

2: Ya, exactly. Well, and... ya, its interesting because as a musicologist you think of these things all the time. Performers I find- and you may have found this in your interviews- they don't tend to get theoretical. Because I think that they don't...maybe its because they want to see what they do is simpler than it actually is.

L: I think that it is also hard for the performers to talk about it, because some of the stuff just becomes so innate.

2: ya... well it feels like its an automatic response, but its not. Its not. You know, you are trained out of it. And you know, after 20 years, it feels like its innate, but it isn't, because you weren't doing it when you were 5, or even 15. Its all learned. Its culture. Music is culture. Music is an action, determined by culture.

Question 26

L: do you have one or two famous performers that you really like? And reasons for why you like them?

2: In terms of Brahms in particular, the guy I listen to the most was always Radu Lupu. Go and listen to it. And probably because...I heard him live once, and I heard his recordings of Brahms many times. When I heard him live, he was playing Mozart C minor concerto in Montreal. He had the ability to realize Brahms in a way that was scrupulously faithful to the score, and yet, it seemed like it was organic, that he was making it up on the spot, and there was nothing artificial about it. And that's the

genius of Brahms too, part of Brahms' music, but sometimes you hear performances of Brahms that are really pulled around a lot... like its Liszt or something. And it isn't that, and it takes a long time for a performer to develop that kind of maturity...

Question 27

L: when you are playing or practicing, and you've got like, mechanical or technical, and then you like, the EME... do you treat them separately?

2: shakes head

L: together? So, when you're practicing, they are sort of infused? Or... how do you see them and their relationship together?

2: Well as I said before, technique is the means of defecting expression. So, you know, and you see this less in Brahms than you do in other composers. Like for example, if you see Mozart and he's written 12 arpeggios in a row, you have to figure out why he did that. Brahms never does that. So you know, in the context of Brahms in particular, there is really no technique without expression... because although he may write something that is technically difficult to execute, he's not doing it to show off what a great pianist you are... maybe Paganini variations, but that's about it... even that... his aesthetic doesn't allow for the separation of technique and expression.

L: What would music be without this eme? I mean, we've been performing the same score, over and over again, but what keeps bringing people back? It's that moment, that sound, that...

2: that connection that they have with the music. The connection. The transaction.

Question 28

L: I wanted to ask you about your use of vocal expression? I don't know if that is the right way to say it, but I know- having studied with you- often times for phrasing, or voicing, you have told me to sing. And so, explain your reason for using that.

2: I think that most music- and I think that Brahms is absolutely included in this-is to some extent an emesis of the human voice...which I think also determines some of his expressive content. For example large intervallic leaps- harder for the human voice- so when you hear one, on the piano, its really easy to play a major 6th, or a major 9th, or a 13th, or whatever...you just press a couple of buttons. But you can't make it sound that way. You have to somehow bring across that there is some difficulty in leaping up that octave.... through the relative dynamic, through the attack, whatever. And singing is the best way to find out what that is, because then you hear in a voice what that phrase sounds like, and then you can imitate it in your hands.

APPENDIX C: Interview #3

Question 1

L: How do you define expression in terms of music? Musical expression?

3: How do I define expression... (Long pause)

L: If you want to pass, we can always go back to things, because it will develop as we go.

3: Can I consult a dictionary? And then go from there? (Long pause) Because if I think of expression, I think the literal meaning would be something about communication. But usually when we refer to it in music, it has more of a motive, somewhat subjective quality... So if I was going to combine both, it would be something like expression is the art- maybe art's the wrong word- but the art of communicating subjective matter to one's public.

Question 2

L: How important is EME in your performance?

3: I think its very important and I, uh, should I go on a tangent here? Or is the tangent going to come later?

L: Yes, you can go on a tangent whenever.

3: Ok. Um, there's a big debate as to who feels expressive. You know, is the performer supposed to live, um, the, say expression. And I think I used to play with the feeling that if I didn't feel it, then I couldn't convey it, and I think that's, um, what kinda Quantz (sp.) suggests in his treatise. Um, I found lately, that I am more concerned not about how I necessarily feel, but I'm trying to project, um, onto the audience, to make sure that they-you, know, I don't care how I feel- but I want to play it in a certain way that it will trigger what they feel. So I'm kind of at the moment taking a bit of myself out of it. Though, if I listen correctly, then I will react more or less the same way that they would react... but the original thought is more, let's say intellectual, or manipulative, I guess of the audience; rather than originally emotive as a performer.

L: so not personal emotions.

3: No! I mean, its not that I am emotionless when I perform, I really feel what I do, but I tend to, I kind of now have reversed it; where I react emotively/emotionally to what has just happened, rather than I have... ya. Does that make sense?

L: I think so...

3: I am going to try to make it more clearly. So, uh, a few years ago, I was playing a Scriabin Sonata- maybe 20 years ago. I was playing a Scriabin sonata, and my girlfriend of the time, her grandmother was there, and she had lost her husband or something like that. And basically I-I think that may have been the first time that I played with the intent of directing an emotion... Like, you know, I felt this is such beautiful music, I want you to not necessarily relive the loss, but I want its beauty to trigger tears; you know, to kind of feel kind of a sense of comfort and resolution in that beauty. So in a sense, I mean, I wasn't feeling teary eyed at all, but I'm projecting that emotion. That's basically it.

Question 3

L: Could it be, like another way of putting it, you are projecting an emotion that you have decided to project?

3: Yes.

L: so you are not necessarily feeling sad, but you want to emote that sadness; so you pick it.

3: I have felt sad before, so I know what they want to feel, now its not the time for me to be sad, it's a time for them to...

Question 4

L: so I have a question then, um, let's say you are going to a performance, and you just- something big just came up the other day, and it was really emotionally draining for you, and it was sad for you, so you actually in that moment are feeling sad. Would you... shut off those emotions for your performance? Or would you still use them?

3: I mean, they might surface, but I probably would shut them off. I mean, I played for my mom's funeral; and you know, its business when you get there. There comes a point where its not about the self as a performer. Its about the other people.

Question 5

L: Where do you believe EME resides? (In relation to music). So where does it live? So there's a whole bunch of agents of music: listener, composer, performer, and then there's the tool the score- arguably another agent... so with all those agents, all those parts of music, where do you think EME resides? Doesn't necessarily have to be one.

3: No, it doesn't. I mean, its everybody at play-except the paper- I mean, it can. It can: if you look at the music of R. Murray Schaffer for example, its extremely visual, so in a sense, you know, the music becomes a visual art at the same time- if you look at some of his scores. But uh, I find its equally the responsibility of the composer, and the performer...though there are times where its not, for example, I think in Bach... the music is so well-written, that I think that it could even transcend performance in a way. And diametrically opposed- I think that is the correct word- would be, you know, the fluff from the 19th century... kind of virtuosic thing where that music doesn't really exist without the performer. 2

L: would that be dependent on the instructions in the score perhaps?

3: No, I think that would be...I think that would just have to do with the quality of the music.

Question 6

L: When you are approaching a score- so anything of Brahms, you can pick a specific one if you want- how much are you thinking of the composer's wishes... and to what extent?

3:Uh (sigh), I would hope to say a lot... but I am not 100% sure. I am going to start it off with something my teacher said, and he was um, he was working on some Schubert Unfinished Sonatas, and... basically he imagined that he had a little Schubert bobble head on his shoulder while he was doing the process... and the composer [Schubert] was supervising what was going on. I try to think maybe the

same way... I, um, try to get to the essence of what the music is.... understanding that there is a disparity between the societies in which Brahms lived and where we are living now... and so that the performance I will give, will probably not be authentic, but I am trying to figure out what the original intention was.

Question 7

L: Mhmm, and do you ever go to Musicological literature to look for... if lets say you are really stumped on something, would you go to a scholar? Have you done that before? Or do you think that the score is enough? But I mean, we have literature...

3: Well, um I have a Master's in Musicology, so uh, ya!

L: So, do you do that still, on a regular basis?

3: Well, I don't practice, so if I need to: I know I am going to work on some Schumann, and for sure, I've started looking up some Schumann, and the answer's yes.

L: And before hand, you said "Well I have a Master's in Musicology"

3: And so, I'm probably going to answer yes to the question.

L: Do you think- I don't know, and maybe you can't speak for other performers who don't have Master's in Musicology, but maybe you can... do you think they would be less inclined to consult the literature?

3: I think it all depends on where they studied. If they had like, if performers kind of conservatory upbringing- not like RCM, but like, conservatory style where the focus is very much so on performance, then... I would say probably they would be less prone to kind of look to books, because that's just not part of their pedagogical training.

Question 8

L: So, do you think it can go either way then? I mean, the benefit of reading a book, and I don't have a specific one in mind, so, maybe you can think of one... you said Schumann, maybe you would approach... I mean, what kind of things would you be reading up on?

3: Well, for Schumann, I'm dealing now with Davidsbündler... so I am trying to figure out what the deal is with his gazillion personalities, who's real, who's not... and uh, you know, how they all fit in... I mean, its pretty complicated. So I think I am going to go...its be a mixture of probably music history and psychology as well, I think will play a role. I also in this case, I think I'm going to have to read some actual literature as well.

Question 9

L: Going back to more specifically EME... you said that it is important to your performance, um, so that you can indicate to an audience, project into the audience, an emotion, meaning, expression. So, now my question is, what does that look like? So, maybe a good scenario would be, a student who is not playing expressively. How do you know that a student isn't playing expressively? And then, what do you do to make a student play expressively?

3: Oh, that's really tough. That is not easy. Um... I'm currently having one of these struggles with a student... and... its complicated, because just saying "play with more

expression” usually amounts to not a whole lot... because there’s probably a kind of psychological block in the way that prevents... um, one from being expressive. Usually it’s a question of being kind of vulnerable... because its extremely personal kinda showing on the stage how you feel, or how one should feel. So I... I am trying to get at it through listening. Listening/reacting to how others play, and trying to get the same reactions in/through one’s own playing... that and I also try to, you know, you achieve expression by manipulating all the elements of music... so it can be rather scientific if you want... I think it usually works better and is more sincere if its kind of instinctive, but it can be somewhat scientific. So... understanding what happens to the sound, the time, to... all the different components of music can kind of trigger, if not emotion, at least a semblance of emotion.

Question 10

L: so I am really interested in that manipulating factor that you just talked about—you talked about sound and time; I’m wondering if you could maybe demonstrate some manipulations? In the Brahms... a passage that you could....

3: I’m going to play some of the last page from Op. 21, no. 1 Set of Variations. [plays passage] I just played it normally this time. So, if, let say, I would like a certain harmony, I would probably take time... uh... where would I... [plays passage again and uses rubato a bit to emphasize a harmony] I play it less, I play the repetition less to say “oh, this is really special.” So, I have just used time to kind of stretch to say, oh, I like this harmony, or I play with contrast of sound.... to, uh, give a specific color. Also... I kind of push the tempo when I want to intensify things. I mean, none of this is really marked in the score... it can be, but its not.

L: Its that manipulation, of what you have.

3: Ya.

Question 11

L: So, then are those things you would point out to students as well?

3: I would, but I try to do it in a way that doesn’t influence what a student should feel, and how a student should react. Like, I would point out, ‘you know the harmonies here, or you see the harmonies here, or... you know, the content of the music usually suggests something.

L: So, having said that, showing the manipulations of the elements.... you played it the first time, you know without-

3: Somewhat blandly.

L: Somewhat blandly...and then the second time, all those things you did changed it, and demonstrated expression... having shown that, do you have a different answer for where EME resides? Or how you define it? Having demonstrated what you did? I mean, in music specifically. So before you said “Art of communicating,” now would you be more specific? Art of communicating... something, something, something....

3: Ya, the art of communicating an emotional state... ya...something to that effect. I think I would rather have the answer kind of broad... to that question.

Question 12

L: Here's another question. Do you find through practice and performance that you gain a better understanding of EME as it relates to music? Why or why not? So I guess, does this develop with more practice, performance; stuff like that.

3: My answer, I think would be no. Because we always have... I mean, I imagine that all humans are expressive in one way or the other. Its just... practice will not change the expression... how one feels... but it will, I think, help channel it better. That being said, with experience, one starts to recognize musical topics with more ease. There are things that come up over and over. There's music that's dancy, music that's marchy, music that's... you know, sad.... you know... each kind of big emotion, they have their signature musical characteristics.

Question 13

L: Jumping to the listener, and the importance of the listener to your performances and things like that, um, when you're practicing for your performance, are you thinking of the listener? And, if yes, what kind of thoughts about the listener are you thinking? I know you gave the example of playing for the funeral of your ex girlfriend's mother... I mean in that case you were thinking specifically of a person in the audience. Do you do that often? Or not...

3: No, I don't do it specifically. But in just kind of abstract sense, yes.

L: What kind of things?

3: I feel like... let's say...I want to make someone laugh- which is not very often in Brahms...but if you uh, you know, you practice the timing of a punch line, or something like that... you know, so you have to imagine how an audience would feel if you play it a certain way, so you kind of have to have an imaginary audience to kind of really shape...

Question 14

L: If you were to practice, and you felt really confident... lets say, you want to make the audience laugh, so you have this imaginary audience as you are practicing, and you think you've nailed it, but then you get to your performance, and you don't get any feedback that tells you that they were really feeling that emotion, would you think that you have failed?

3: Yes. I would. But hopefully I recognize that my imaginary audience and my real audience are two very different things.

Question 15

L: So, in that regard, the listener's perspective is very important... um, because, well, in a sense, music is a business too... you want to sell seats, you want to convince...

3: Ya... and you talk to pretty much any performer, they always like to play for an audience that seems more attentive, more kind of engaged. But, you know, that's the goal of the performer: to engage them.

Question 16

L: Um, we talked about literature more broadly... but have you ever read any theories on EME in music? Have you ever come across anything like that?

3: I read some Hagel at some point, but I quickly forgot all of that... I don't think... not really.

L: So, if you have a student who's really struggling with being expressive, um, I know you talked about getting them to listen to other performances, and reacting to how others play... um, have you thought "Oh, maybe I should check out musicology, maybe there is something there written for them!"

3: Hmm, Maybe that would be a good idea!

L: Not necessarily! Yet...

3: I should wait for your book to come out.

Question 17

L: Ok, so, EME, very important to performance. But it seems hard to define, and even harder to teach? Like, but it seems also easy to identify: you can say, "oh, its pretty obvious that they are not playing with expression... but breaking it apart as to why, and what they are missing... I know you said maybe a psychological block..."

3: I think that the difference is giving a reading of a score, and giving a communication of the score. Its bogs down to that. At least, that is what I find. Because, you know, I have heard many times "that doesn't live." Its like a book. You can read a book, and you can feel things reading the book, but if I were to read you the book, and I would just go [he says in monotone voice "Jack and Jill went up the hill"]... you know, if I am just reading it... you know, everything is accurate, but I am not engaging any of the natural inflections that are suggested in the score.

Question 18

L: Right. Do you think that relates at all to gestures? The gestures that you would use? The physical gestures?

3: Uh.... (sigh)... ya, I think so, to a certain point....

L: For instance, if a student maybe does not understand a dynamic... that does come down to a certain gestures or a type of touch... where you're pressing into the keys a little more, and listening... um... but then there's also- I think of Lang Lang, who's all over the place, doing all this extra stuff.

3: Ya, I don't think you need whole lot of extra stuff. But I think your demeanor, or your attitude should reflect what the music is. We don't need all the extra stuff. I mean, sometimes it helps, the flashy stuff... or, in the end of pieces. The piano's not an instrument that sustains... in a way you can conduct the audience from the keyboard, to a certain extent.

Question 19

L: And in that case, where you are conducting, how important is it for the audience to see you? Or do you think that even if they don't have a good visual of you, they'll still get that sense of conducting.

3: I think that they probably will.

Question 20

L: So in those cases would you say that gestures are first and foremost not necessarily a visual for the audience, but, first and foremost, a tool for the performer to use?

3: That's a good question...I think both. Maybe? They're not definitely the primary thing. But they can in some cases help. They can kind of supplement I guess, or get someone- a performer- to better connect an emotional level of a piece.

L: When you get your students to listen to performances, do you get them to listen without visual?

3: No, I don't make a preference, as long as its quality.

L: So then visual doesn't necessarily matter for being expressive.

3: No, I don't think it does.

L: I mean it can for sure add, if you can see...

3: Ya, but I often I want, well not often, but sometimes I request that they listen actually with eyes closed. Because then, what it does, it shuts off one of the senses, and heightens the others, or so I believe. I don't have any research to prove that, but that is just what I think.

Question 21

L: How important is it in Brahms, to have EME?

3: Uh..... well, Brahms was human.. and uh, he had opinions, he had life interactive with people in good and bad ways... you know, he's just... just by being human, his music is human. I don't think he tried to de-humanize his music. Um... so I think the topics are- whether it be nature, whether it be social topics or religion, they discuss the human condition, and as such they elicit an emotional from both performer and audience, or at least they should.

Question 22

L: so, if you were to approach a piece, would you say that you maybe have an image or something in your mind when you are playing, so that you say "this piece is ____" when you are playing....

3: It depends if its specific, I mean, if its... I don't think necessarily in the piano stuff that much, unless its something that really sounds pasturale... but in the songs you have a text that kind of tells you what the piece is about... so... uh.... I don't think I think specific unless there is a topic that makes it clear.

Question 23

L: So okay, in the case where there isn't a topic, do you then just look to what's in the score? Dynamics, and things like that to figure out how to make it expressive?

3: Ya, I mean you have to figure out what the piece is about first, and then from there you?

L: So when there isn't an obvious topic, do you tend to come to one?

3: Ya.

L: oh! Okay! And so, is that just a choice you make?

3: I use topic in a very broad sense. Ya, like, uh.. topic like.. “song of sadness” or “dance of joy”....

L: Pretty broad, not specific

3: Ya, ya, I think I use the super specific, kind of track, maybe pedagogically, you know, make up a story about something... you know, it works great for Mozart, because there are a lot of characters... I don't know how it works with Brahms... usually people connect to Brahms because of the... I find the overarching topics like, color of the music, pretty clear.

L: Ya, I mean even the literature talks about him being quite specific, with how to be expressive.

APPENDIX D: Interview #4

Question 1

L: How do you define expression, meaning, and emotion in relation to music?

4: Um, I guess I would say.... expression and emotion are related by being outside the parameters of just the notes and notation, but linked by the element of human emotion; you know? And then meaning is a somewhat different thing, I mean, obviously also outside the explicit notation that's provided, but meaning has to have...I don't know, maybe I should just deal with expression and emotion first! Um, which seem related...I suppose emotion means that you have to define the emotion that you associate with the piece of music... so, to me its just a personal reflection of how I feel about the piece of music itself, um... and part of the process of learning the piece of music is uncovering the emotional quotation to the music... as well as figuring out how I'm going to render that, you know. Expression I suppose is the, maybe the mechanics of how that is delivered... um, ya... so, when we talk about expressive devices in music- you know- and those can vary within the piece of music but also tend to vary over time periods of musical composition too; because there's almost like a vocabulary of expressive devices for- not only for a time period of music composition, but also, the time period of performance that that occurs in. So there's the performance at the time of composition, but also the present day performance! So, I mean, it's pretty vast, but there's that flexibility. And now, we are in this era where you can actually hear, you know, 100 years of expressive performances; and how does the language of that expression change... you know? It's not a constant, I don't think.

Question 2

L: So you talk about, you said "outside of the parameters of the actual music notation; the notes... things like that... if its outside of that, could you locate where it resides? If its not residing in the music itself, where do you think EME resides?

4: I think actually, if I had to put a place to it, uh, a location... which is kind of difficult, I would say it really resides in performance. That, as I have said to students, the piece doesn't actually live until it's performed. It's not like literature, or a painting that exists, as a defined... it does exist in that state, but it doesn't fully exist in that state, because it hasn't been communicated through sound. And so it's in the act of performance that emotion is developed. Rather than the act of seeing a painting, or the act of hearing or reading in literature is a direct.

Question 3

L: So related to that, in that answer you talked about personal reflection: and how an emotion, or an expression maybe is a personal reflection... in relation to that, how important is expression, meaning, and emotion in your personal performance, or to performance in general?

4: For me, personally, it's the most important thing, I would say.

Question 4

L: When you are practicing before a performance, are you consciously thinking of EME?

4: Yes. I think it's always being figured out, I think.

L: I don't know if you can explain a process, or an example of how that would play out as you are practicing... if you can give an example from your own experience of how maybe you go about figuring that out when you are practicing.

4: Right, ya. I suppose its, um, you know, as I work on the mechanical side of it- the actual note learning side, I'm going progressively from a smaller unit, (in each individual note I'm figuring out fingering and so forth), to larger units= phrases. As soon as I'm entering into phrases, I'm already trying to hear an emotional content of it, I suppose. And then, again, the relationship of phrase to phrase, section to section; all those things contribute; because that's the sort of, kind of emotional topography of the thing, you know? Um, and, because-to me anyway- emotion is not a constant...to say something is a sad piece or a happy piece, you might as well say it's a nice piece! So to me, emotion means that there's some sort of trajectory; true emotional performance would carry you through various states-or a gradual increase or decrease in a certain emotion; that kind of thing.

Question 5

L: Is there a certain tool that you would use to decide what emotions, or what you are going to express in the piece? Like, I know a lot of performers use imagery; I don't know if that is something you use? Or...

4: Ya, no, personally not so much, um, almost not at all. I think for me, its embedded in the way that, for example, the melodic contour of a piece, phrases and so forth, are expressed. For example, the other day I was going through a set of Magnificat sets by Bach; and they're only about a minute and a half long. But they're all quite different actually... and, I was trying to sort of define the character of each one, with more solidity, and in my mind; and, because, there's absolutely no- typical of that time period, there's no tempo marking whatsoever. There's no phrase marks, nothing- just the notes: there's the meter and the notes, and that's it. And yet, no one piece is the same. They're all slightly different, and many are quite, radically different: even though they might be in the same metre, and even the same key. The first... thirty I think... are all in the Dorian mode. So, obviously, that disproves the whole theory of keys being linked to emotions; because Bach shows that you can have a piece that he would call a "fatuoso," or a "conspirituo," or something like that, all within one mode. Where theoreticians would say: "Well, mode one is the gravitas mode, and... You know, these are guides, but sadly, makes me think- just this week- these are guides for uninspired people. It's been a very eye opening experience.

I guess it sort of strikes the heart of what you are trying to find here: that if you work from the theory first, then you decide: "well, all those thirty pieces must have the same affect; they must therefore- or be within a very tight parameter." But to me, I can't see how that is at all possible! And so, actually I was going to go back today and somehow figure out- the ones that are vaguely similar- let's say, more heartfelt perhaps...

Question 6

L: When I asked you where those things reside, you talked about the act of performance... so that is pegging it down more specifically, but I don't know if you can pick apart certain parts of the performance that maybe- you talked about melodic contour, and stuff like that- so trying to link those... how does it come out in performance? What's happening so that a listener, or even the performer themselves are saying, "Ok, expression: I have it here." What is happening to get that in the moment of performance?

4: I guess its, well, things like dynamics... on the organ its mostly-which is the instrument I perform on the most- on the organ and the harpsichord its both length, note length, and articulation. So those- because we don't have dynamics, neither of those instruments are touch sensitive- so expression within a phrase usually has to occur with those two things. But on a piano it can be those two things, plus dynamics obviously... I'm sure there are more things...

Question 7

L: So everything that you have said: dynamics, note length, articulation... those are things that the performer themselves are physically doing... so, if you were to link that, could you say EME exist in the act of performance, through gestures that the performer is using? Is that a possibility to your answer?

4: Ya. I think tempo is also related. I'm almost afraid to think more on it, because its basically everything! Ya... those things in time.

L: Because, you talked about EME doesn't fully exist without the sound, without the actual performance itself... which is the actual physical playing of a piece, the piece as its sounding; which is through actions...

Question 8

L: Do you teach students?

4: A little bit.

L: Have you ever come across a student who doesn't play expressively?

4: Yep.

L: So, why- could you locate- what's telling you that they are not playing expressively? What kinds of things are they doing or not doing that makes you realize that, "Oh! They are not playing expressively."

4: Right... I guess it's a regular... anything with some kind of regularity to it; so, for example, all the note values are the same length, all the articulation is either the same or simply haphazard... either of those two conditions. And inattention to the expressive elements that are in the score. See, it's a little difficult- different I would say- because I haven't taught piano at all; I've only taught organ; and so again, I'm not...

L: Ya, I think piano and organ... expression serves a very different function for each instrument.

4: Ya, exactly! Ya, so if a person is not using the dynamics in piano performance, for example- if they are not paying attention to the few expressive indications or

instructions that are there, then clearly. So, or someone that just plows on to the end of the piece, and then doesn't hold the final note– I mean, all those things.

Question 9

L: If you could play something on the piano, little phrase or whatever... if you can pull out Brahms, than great, but if you can't, it doesn't matter...but I was wondering if you could try to show me it two ways: so, one– the first way, without expression, and the second way, with expression... the same phrase. And then we can see what's the difference.

4: Without first? That's the hard one. Hopefully there will be a difference. That will be sad if there isn't... [plays first time without], [plays second time with]

L: Ok, so obviously there were differences, and I don't know if you went through a process of what you were going to do differently to make it expressive.

4: Ya, I think the first time, I simply played the notes... you know, now we can say a computer would... and I guess... not differentiate... the tricky thing obviously in this piece is trying to pull the tune out in the middle. And I did not do quite as much... and all the notes had the same weight of sound. And then the second time is first of all, trying to bring out the tune, and trying to make some kind of shape out of the tune, so that certain notes have a little bit more presence, and others don't.

Question 10

L: Right. So how– like you said “bring out the shape”– so what are you doing... is it just enough to say, “ Ok, there's the shape,” and then do your hands immediately follow? Or– I mean, because this might be something that you naturally have adapted over time– but, maybe a scenario, if you had a student, and they weren't playing expressively, you would probably say, “Look at the shape, and look at that,” are they doing anything different with their actual gestures? Their hands? With your own hands when you are playing it? That changes it? Or do you think its enough that you mental check it?

4: Ya... I think... there probably is a physical element... I mean, there would have to be. The first time, I'm really using them... I'm not differentiating the fingers enough... so to play it musically, each finger has to have its own kind of conscience as it were. Ya... I suppose if there was a physical element, that would be it. And mentally I think though, its more the mental capacity, and to me, most of it is timing, and making (hopefully) subtle differences between the length of notes, or– even the timing... one note [referring to passage he played] I delay slightly from the accompaniment so that it doesn't happen, so all the notes don't happen together. And so timing is important. So, those things help (I think) to bring out the shape.

Question 11

L: Do you think expression is a natural part of a performer? Or can it be learned?

4: Well, I would say, to me, the part of my performing where I've encountered this, is dealing with choirs actually. You know, that's been something... if you're just asking a choir to sing something, usually the first read through, or second... the first few times you do a piece, its just the notes. And it really only will be the notes, until the conductor– or someone who's leading– says, “Here you need a crescendo through

this phrase, this note, and then diminuendo,” for example. Or, “The beginning of this phrase has to have a strong attack,” or, “don’t accent that note, accent that note.” You know, these are all things. And so, left to their own devices, they would not do that. I know that from week after week after week. Its kind of like I have to inject it. And I’ve been doing this for over 20 years now, and here, for over twenty years, and often with the same people! And after all that time, I sometimes think, “well, surely this time we’ll start this piece and they’ll just do it.” But more often than not, they don’t. Its still just the notes. And often I’m saying the same things, over and over and over again... use the dotted notes as expressive crescendos, crescendo through the long notes, or diminuendo... so, does that mean that those people are naturally unexpressive without guidance? I’m not sure! I mean its kind of sad to think that! And maybe on their own, doing a piece, they might be more expressive, but it makes me think that the majority of people need some kind of key... I don’t want that to sound like I’m the only one who can unlock the musicality! But, to a certain extent... you look at the evidence and it starts to... I don’t know, all I can say is that that is the evidence.

L: Right. Well, its funny, I’ve been a teacher while being taught, and I would tell my students: “this, this, this, this, this,” and then I would go to my lesson, and my teacher would say, “this, this, this, this, this!” I should know that! Because I am teaching that, but its always good to have a second opinion.

Question 12

L: From what we just discussed, on EME, and the act of performance, and where it resides... would you say that the performer themselves are some type of expert on musical EME? Do you think that its possible for somebody to talk about it without being an expert performer themselves?

4: Um... oh no, when its related to EME, I don’t think they would need to be a performer; otherwise we’re only performing for ourselves... I think that would be the end result.

Question 13

L: Another question– this is probably a better question: do you think– when we are talking about musical EME– do you think that the performer or the act of performance should be talked about? Do you think that is an important part of EME? If a scholar is going to be addressing musical EME, do you think that it is important that they would consult a performer or the performance? The act of performance for their study, based on, maybe, your definition, and things like that.

4: Ya, I think so, if I understand you correctly.

Question 14

L: When you are performing, do you often think of the listener? And if so, to what extent? What things are you thinking about?

4: Ya, for better or for worse, I am often thinking about of the listener. So, the thing that I am often trying to do, is– and its kind of a high goal and maybe unattainable– but what I often see as a goal, is to give the listener the impression that the music is

being created at that moment. And that perhaps, I am giving them a window into the creative process that brought that piece into being. Ya, I guess I am constantly thinking, "Is this going to draw them in?" I really need to feel like I'm showing the listener: "This is a great piece of music, and this is why." So, maybe it makes me prone to exaggeration, in performing, but I think I'm trying to find those elements that will strike them most directly... and how to bring out those- especially if there's a moment that's particularly meaningful to me... then I want to make sure that everything is right for that moment or that time period to really make its full effect.

Question 15

L: Would you say... I will give a scenario- if you were to practice, and you felt quite confident with your practice, and then you go to the performance, and you might even have very specific ideas for the performance, and, you get a bad reception. Would you think you have failed in some regard, and more specifically, if you were thinking, "this is going to be a really expressive performance," and right after you play, you felt really good about it! But nobody picked up on that expression. Would your playing... could you still say that your playing had expression? Would it not have expression in that scenario? Or, is it something different, or is something different happening?

4: Ya, you asked a bunch of questions... the one about failure... ya, its hard not to feel like it's a failure there, because obviously my goal was to try show people that this was a great piece of music, and then someone said... actually, a few of those scenarios have happened, obviously: I mean, this is life, if you are going to talk to people, be prepared for anything! So, just recently, someone said "Oh, I didn't like that piece at all, it just seemed to ramble on," and yet, the person next to her said, "Oh, that's my favorite piece." So then it helped me, because if I had only heard the first person, I would take my usual tack, which is to say, "Something went wrong obviously, I'm on the wrong track with this piece." However, after that experience, it made me feel that it is a very subjective... just like my feelings about a piece are subjective, other people's feelings about a piece, naturally must be subjective as well. It helped take a bit of the burden off what I'm trying to do, and to realize I can't convince every single person in this room, of this piece's greatness; and it makes, I find here especially, the closer to the present you get, the more difficult it gets... You know, like Messiaen is a composer I feel incredibly strongly about, and feel he's just simply, one of the great composers, and, to me, the emotion of the music is right out there. I open up the score and it's wafting over me. And yet, I can't seem to convince some people of that. So then I have to say, "well, it's just those people."

Question 16

L: I think what you are saying... it shows me this conflicting reality, that you are performing for an audience, so you have to think about them, but opinions are subjective, and things like that... so, on one sense you want to sell the seats, because it's a business, but you can't control them, and they all have their own things happening, so their opinions could be tainted by their own personal stuff... My second question talks about that conflict in reality... if you have let's say, lost all

audience attention, does that necessarily mean that your piece is not being expressive? Or is that something different?

4: It could be... I mean, to be honest, I feel like I haven't had many experiences where there wasn't a good reception. It's hard too, because people applaud because that is what they are supposed to do... but I guess the thing is: "well, was I expecting them to jump up and cheer, and they didn't?" A lot of it is about expectations too, I suppose... Ya... not sure I know how to answer that one.

Question 17

L: Maybe a different question. If you are practicing for a performance, so you are going to try to practice all those things you talked about: dynamics, articulations, the things you can use to be expressive. Does the listener come into thought while you are doing that? Like, are you thinking, "I'd better do this, because the listener will need to hear it..."

4: Ya, I think those things, I'm certainly thinking of the reception of it for sure. Because its communication. If you are delivering a speech, its better to have some modulation in your voice to show some kind of involvement with what you're talking about. If some delivers a speech or a message with no modulation of tone, to me that says, "well, you don't care if I hear this or not..." and "you don't care, so why should I care?" So, I guess, in my performing, I don't want to come across as simply playing a bunch of notes, because then it would seem to suggest that I don't really have anything invested in this music.

L: And it's a little bit of a foolish question, because obviously- I mean, you said, to play expressively is such an important part of performance, it would be like you haven't fully prepared for this performance.

Question 18

L: I am wondering about the composer's intention or wishes. How important is that when you are playing, practicing, preparing a piece?

4: Its very important, though I have found over the years... I used to be, I mean, I grew up in a time where we were trying to go back to the original; it was the sort of height of the historically informed practice period. In the late 70s and 80s, it was a really dominate force in music making. And, people took sides on it, and still do to some degree... I mean, it was not a new thing; I mean, this is something that people like Toscanini, and Schnobel were already talking about in the early part of the 20th C. But the whole idea of playing music on the instruments.... and going back to the treatises; that just took it to a whole other level. So, I couldn't help but be drawn into that, because of the instruments that I played: organ and harpsichord predominantly at the time, and also just the way that... I mean, I am fascinated by history, and I guess it ties in with my feeling of trying to recreate the composer's kind of spirit, attention, the creative process. If I am more in that time and place, then I feel like I've got more access to it, perhaps. But I feel like I'm moving away from that, the more that I perform...it feels more like... its more important to get across my reaction to the piece, because my emotional reaction to the piece will help the audience, and the audience doesn't care, or doesn't know, and perhaps doesn't care about the historical parameters of the piece... you know, it doesn't really enter

into it. They are there for a musical experience. They are not there for a history lesson; otherwise they would go to a lecture! So, if I'm- I think it's acknowledging the fact that, yes, like I said near the top there- that the emotional part of the performing is the most important thing to me. So, if I'm constantly kind of readjusting that to some sort of historically informed performance practice, or being true to the time of the performance, and its getting in the way of my communication of the deeper meaning of the piece, then obviously there is something that needs to be adjusted. So I'm disregarding some things I know, in fact, especially when it comes to 19th C. and 20th C. performing practice... I'm tending to... and even Baroque elements too...I'm moving away from it.

Question 19

L: You were talking about historical context, historical practice... and you said that you are moving, maybe, a little bit away from that, in some regard... so my question is: to what extent do you inform your performance interpretations on scholarly literature. How often do you consult the musicologists' opinions on something to help you prepare. Have you done it?

4: Oh ya, I've done it a lot, and I've even done a lot of personal research on composer's, or specific pieces I've worked with: manuscripts... all that kind of thing... again, to try and get to where the composer's coming from... I mean, it's a little complicated maybe from... I mean, you have to sort of look at the whole context... that the additions that we were using were so overly edited... and sometimes, to an extent where you didn't know, who was the editor, and who was the composer. So, you think, "So, I am doing this dynamic, but did Schubert really write that? Did Schubert really want me to make a crescendo here? Why? Especially when you do things, and you think, "That doesn't quite feel right." So, ya, definitely have done it, and I guess the idea of moving away from it, not so much moving away from it, but I'm sort of choosing to disregard certain elements... but I would say for a lot of the music I play, especially before 1900, you know, its really important.

Question 20

L: In that answer, scholarship that helps you figure out how to be expressive when you're playing... I don't know if you have any specific examples...it might be hard off the top of your head, but, can scholarship, or has it been able to help you work with expression?

4: Oh ya... for sure... especially in the Baroque era. When we're talking about slurs, how to perform appoggiaturas... CPE Bach is full of references to expressive quality of playing. So he alone is...

Question 21

L: If you had a student who was struggling with playing expressively, would you consider telling them, "Check out CPE Bach's..."

4: You know, probably not. I've tried, I think, hmm... that's a good question... I probably wouldn't, because I feel like maybe the problem is that they're over thinking anyway... or they're mechanical side, or the logical side, or the side that lines up all the notes and decides what fingers to play... that side is too dominant. So,

reading might... I don't know... I probably wouldn't. First thing would be either to try and show them, by playing myself, or more importantly I would probably try to point them toward a recording of someone who's doing that more successfully... or showing where the... pushing the boundaries of expression.

Question 22

L: In regards to how scholarship has helped you with expression, would it be more accurate to say scholarship can help you find more tools to be expressive? Or you might be able to go to the original manuscript and see exactly the dynamics, the articulation... so, does it help more of where to find it, where to put it... but not necessarily how to do it?

4: No, I think, well, there's an element... I don't know more or... there's an element of both; so, treatises like CPE Bach's talk about expression in performance and that's very helpful, but the manuscript itself can also be helpful because—even just slight intangibles, like the way the notes are lined up... sometime help.

Question 23

L: Well, I find it interesting that on one hand it can help, but then when you talk about a student, you would direct them to a recording, or something different, so I am wondering, maybe a better question is: what does the recording have, or you showing them has for them? Is it a more direct example? Or...

4: I think because it's directly related to the piece. The thing with treatises is there's a certain amount of extrapolation, you have to say, well, there's all these suggestions, and roles; but, like CPE Bach says...when/ where do I apply these tools? And where... is it this instance or this instance? And so, often, he's at a loss to be more specific, because they often just say— most often in the French treatises— you have to know... you know, its good taste, "la bon gout" that dictates how you are going to do this. So what is good taste? They don't define what is good taste, that's something that's understood! So, a student would not know— if a student does not have an emotional—how should I say... an expressive kind of vocabulary—or an access to expressive devices in their playing; its funny, you think that the book would show you, but the student would not necessarily make the connection...I think... once again, trying to think about it too much... they have to hear as those writers are suggesting... the only way to develop good taste is to listen to good performers... and they even refer to, "oh, you must go here, he's the best one for..." And so, consequently, we too have to point the student to listen as much as possible.

Question 24

L: When you're directing a student to listening, would you direct them to listening recordings, or would you also get them to be looking at actual performers' playing... or would you say, "no, whatever you do, only listen, don't look!"

4: No, I think... well, its interesting now, because its changing so much with YouTube... it's a good question, because it never was an option for me... unless you went to a concert obviously, and you see a person... but then recording became so predominant, but they were strictly audio, unless you somehow were able to get a film or video cassette that cost 80 dollars. It was unheard of, so it was either live concerts, or audio recordings, and very rarely video... so you'd rarely be seeing the

performer. So now, its predominantly, its really switched, I feel like. People are always saying like, “you’ll find it on YouTube.” So that means that there’s more often than not– some of those YouTube things is just like an image, right? But, often it’s a visual component, which I’ve found really helpful, in my own playing. I think if I’m talking about expression, I’m not really concerned about the visual element, but now I think... it can be confusing, because you can be distracted into thinking that something is more expressive than it may actually be.

L: Like, Lang-Lang...

4: Ya, I was just thinking of his name! I was going to say maybe like Lang-Lang!

L: Because he’s doing a lot of extra stuff, as he’s playing....

4: Ya, exactly! And we were, you know, when I was young, it was more probably Glen Gould, you know, that kind of more extrovert thing that was going on. And– as opposed to some pianists who are completely immobile, or does not move much...but even Horowitz has a kind of, little tricks, visual tricks to wow people.

Question 25

L: On the visual aspect... I mean, we can maybe think specifically of Lang-Lang, but how important is visual for audience members... I am thinking, what if there’s someone sitting directly behind that pole [I point to pole in church] and the performance is right there [I point] in that space, do you think that if you are visually impaired by something, is that going to affect the view of performance? And specifically expression, is that going to change....

4: Oh I think so, I think people are highly influenced... because we’re more visual... than—I don’t have an data on it—but my gut feeling is that human beings are more influenced by visual than auditory.

Question 26

L: So then, Lang-Lang... he’s clearly making a visual statement when he’s playing... is that something you think all performers should do? Or, no... and why not?

4: No. You know, a performer has to be true to themselves... that’s the bottom line, and there’s no way that I could say whether someone should or shouldn’t. I would suggest to a student... I think, to take it from my own personal experience, I think I was... sometimes it sort of escapes... you know, your body expresses what it is feeling obviously, you know.... and each of us to a greater or lesser degree. So, for me, I think... I had a tendency that my elbows would move around– my arms, and that’s a common thing obviously, and I had a teacher who said, “Do through the fingers, not through your arms. Because, A. You are throwing yourself off of your technical requirements, and– **I think actually that it perhaps was not as expressive perhaps as I thought; in terms of the playing... I was feeling the emotion, but was I really communicating it through my playing?** I was... almost like a light bulb... doesn’t only give off light, but it gives off heat... you know, so the more efficient the light bulb, the less heat it gives off... because its wasting all this heat... and all the electricity is going to produce the heat! Well, I don’t need heat, I need the light! So, I think that in my own playing– so much of this stuff you can only say subjectively, obviously– but I feel like I’ve tried to reduce the physical element, so that the communication really is through the keyboard.

Question 27

L: When you're playing expressively, emotionally, meaningfully, you talked about felt emotions just a minute ago... are you using emotions or meanings that you are feeling in that moment? Or are you sort of picking something that you will want to express... so you might be practicing and say, "This piece is going to be sorta sad" that's the general idea, and I am going to be playing it sad... or are you using emotion— your actual emotion in the moment to guide you to be expressive?

4: Ya, I tend in performance to really try and access the actual emotion, for better or for worse. And sometimes it obviously the emotion that you're feeling at the moment has really nothing to do with the piece itself, but it influences...

Question 28

L: Can it be impairing, though? The emotion of the moment impair/ have a negative effect on your performance?

4: Oh, ya... I mean, even just accessing what I think is a valid emotion... can be disruptive for sure... because in some ways it would be better to be cooler. And I feel like, you can't have everything; I don't think I can have everything obviously, but you know, if I were cooler, I would have a cleaner interpretation... and I try to stay cool, but it's difficult... so I think it gets, it can mess up the technical side of it; but I'm getting more and more okay with that... because the more I read about the great— its less common now, just because performers are more cooler now, because the industry has made them cooler, but in the time when performers were very warm, they played lots of mistakes... not all the time, but occasionally it could be messy. And yet, people kept coming to hear them! So... things have shifted. And, so it's given me a little... you have to give yourself leeway, or I do anyway... on the technical side of things... you can't, I really feel like you can't have it both— I feel anyway. It can't be 100% accurate... it would be great, but....

APPENDIX E: Interview #5

Question 1

L: How do you define musical expression, meaning, and emotion?

5: Its one of the most difficult things to explain with words. And whenever- also when I was a student-its one of the things that you mostly learn by yourself rather than from a teacher, because sometimes it is not easy to express with words... this is not a problem with language... everyone has his own personality, and might express something in a different way- in the regular life.... so... defining with words? Its what you try to communicate to the audience/listener. Its like, if you read a book for someone else, and you make sure that the person who received the message, receives it in the way you want it, but again, you might ask someone else to read the same sentence and they might in a different way, according to what they feel, by looking at that sentence, for someone it might express a certain emotion, and for another one, it might express a different one. That is why I think... that is the beauty of music! That is why you can play the same pieces in very different ways.

Question 2

L: So you talk about a communication process, you mention communication with the audience. So it's the performer communicating with the audience?

5: Yes, I mean, as a performer you try to communicate with the audience, but then again I think you don't know how they will perceive what you are trying to... I mean, everyone has their own perception, so.... I mean, when you listen to music in general, you might have certain feelings, and then another person listens to the same work and has totally different feelings; even though it's the same recording/performer... so, that is why I think its difficult to define with a specific definition... because it can change. And you can play the same work, in different ways... actually, you do play the same work in different ways, many times. You might stick more or less with the kind of interpretation that you want to give, but eventually, its going to be different every time.

Question 3

L: So, because the audience is- you can't know how they are going to think, or how they are going to take it- if you are preparing for a performance, you obviously have to think about them-

5: No, I think about the way I want to play. If they like it, they like it. If they don't, they don't.

Question 4

L: Ok, let's say the audience doesn't like it, would you say that your performance has failed? Or...

5: Not necessarily... it depends why... I have never had this experience so far, but, should it arise, I mean, I am sure someone does not like my playing... I mean, that is normal, that is a matter of taste. But, I cannot change my playing for one person who doesn't like it. If I am happy and convinced of what I do, and the majority of people

listening are happy with what I do, then... if there is someone who doesn't like my playing, they have many other pianists they can listen to.

**** (HERE PART OF THE INTERVIEW TRANSCRIPTION IS LOST BECAUSE THE RECORDING DEVICE FAILED)**

5: I don't think that any student who doesn't have this natural talent, let's call it, can become a musician. I mean, they can play, but everyone who is in the profession, they have a certain instinct, a certain talent for music that is not just explained. You have it, or you don't.

Question 5

L: Great. So do you think that is what separates a very good musician from an amateur? People who have it, people who don't?

5: Not only that, there is also the technical aspect; but if we just talk about emotions, I would say yes.

Question 6

L: Okay, if you have a student who is struggling with expression, what kind of things would you suggest for them to do?

5: Well, you have to try to either give the student some ideas, explaining through an idea, visual images, giving some concept... playing for them helps, showing how you do it; although you might end up with just imitation, but it's better than nothing... at least they try to understand it... because, you know, you express this emotion through the colors, through the dynamics.... basically, when there is someone who is not expressive, it's because they don't have a concept of the phrasing, or they play everything flat, with the same dynamics, so... by showing them, and explaining, and encouraging them to do a little more dynamics, it might help.

Question 7

L: What about gestures? Do gestures ever come into play? I think there are a whole bunch of different gestures: facial gestures (frowning a brow...)

5: That's useless. That's good for the audience, it's for marketing, it's not for music. Like, music doesn't come from... unfortunately, we see more and more musicians that attract the audience in that way... but it's not, I mean, if you like the playing or not, it's not because the faces/gestures he does... there are a lot of musicians, you know, that raises his hand three meters from the keyboard... it's just a show. There is a little bit that comes naturally, and I don't have anything against that. There is a person who might show a little bit more than the other, if you look at the pianist Arturo Benedetti Michelangeli, he was a great pianist, but he was like, if you look at him, he looks totally cold, but if you listen, without looking, the music he plays is.... again, it doesn't mean that someone who is using gestures doesn't play well. But, I think that a big part of that aspect is just to gain the interest of the audience a little bit more; because they do not know, and they think that you are more involved if you start to breathe, use gestures.

L: I know they have done studies too, without looking...

5. Blindfold? Ya, that would be the best option to offer a concert. It would dramatically change our ideas of music.

L: Human beings are so visual, and that can really distract, especially for music where you have to listen, it has to be listening first.

Question 8

L: Do you find that, you might have mentioned this before... you talked about how the way you play might evolve through time... you might see a piece differently through time; and I know we talked about how you change over time... do you think that it is something that is changing through your actual practice?

5: Definitely. It helps when you keep practicing and working, especially for pieces that you have in your repertoire for years, and you keep playing... you don't want it to become something mechanical, where you sit down and play and just repeat because you have played it a hundred times... the only way, in my opinion, that you keep those works interesting, is if you sit down, as if it's the first time, and you always try to find little things that might be different... always try to find a way to improve them. In terms of emotion, at that point, it's not about technique, it's about interpretation... it makes your practice even more interesting, otherwise it would be boring... you would say, "Oh ok, I know how to play everything now," and every time I sit down and play it's like... it's nice also to explore and change and experiment... you might change the tempo, the dynamics....

Question 9

L: Would you say that EME are first for the performer? Or first for the audience? Or is there no first?

5: I think about me when I play. Again, if I am happy, I hope that the person listening is happy. But I am not playing thinking of what the audience will think, because again, there is too much variety in the audience. You will never make everyone happy. So I would rather be convinced of what I would do, because if I am convinced, then I can express in a much more secure way.

Question 10

L: Can you demonstrate, playing a passage of music, how it would be without emotion, and then, with emotion? And then we can see what was different.

5: [plays] 1st time: 'unexpressively' [plays passage of a piece by Granados; afterwards says: basically, I was just playing the right notes]; 2nd time: 'expressively' [plays same passage]

L: So, what are the things you are doing, to change that?

5: You work on the sound and on the phrasing... basically. Those are the two major things.

L: So, sound and phrasing... and are you twisting it? Manipulating it? Wondering if you can be even more specific with what you are doing with the sound or phrasing...

5: Well, before when I played it, there were basically no colours... I was trying to focus on the note playing, and playing the right tempo, and just being very, very cold. Then, you try to play with more dynamics, follow the phrasing... when I played it the first time that [phrasing] basically didn't exist. You can take time here and

there, you can be more free... and the rest is part of... I don't know how to express with words.

L: Right, and so, would you agree that those things: dynamics, tempo, sound... are those the tools that a performer uses to create expression?

5: Ya, definitely, you need to use those.

Question 11

L: Right. And now here is a question. If you had to locate where musical EME resides in the musical experience... could you locate where it is? Like... there's kind of three major agents of music: the composer, the listener, the performer...and then there's the score... does it reside in any one of those things?

5: Well, the score is what the composer wrote for you, and he probably wrote with some intention, but we don't know... because we don't know the composer... so we try with the knowledge we have... we try to understand what was the intention, but then eventually its up to you as a performer to take one road instead of the other, and decide what you think would be the best interpretation... which again is in terms of expressing emotion or feelings... and so, eventually its... I would say... resides in the performer to try and the audience, is the final person/chain... they will receive what you are expressing... and there's one other aspect: which is the acoustic, and the instrument you have... because it makes a huge difference. You can not have definitely the same affects when you play with a _____ instrument, but you have to sometimes as a musician... so, you deal with that to the best you can, although it might not be what you would really like to express, because as much as you try, the instrument doesn't respond, or the acoustic.

Question 12

L: Did you do a Master's in Performance? Or Phd?

5: I technically, for sure according to Canadian rules.. I have at least a Masters. Although, in Europe, my status equals a Phd, and here they don't.

L: How do you feel about the system in Canada?

5: Its completely different.

L: Even for performance route?

5: At least compared to when I was studying... I come from Italy, so I am talking about when I was in Italy and I studied. Definitely compared to that. Now, things are changing in Italy as well, and they are in a way getting closer to the North America system.

Question 13

L: Is there any current theories from musicology that gives you a better understanding of musical EME?

5: No.

L: Not at all? Have you searched for it ever?

5: No. The training that brought me to this point in my career- the most important training is the practical training: the playing, performing. Playing with other people as well; chamber music, discussing with other musicians... having lessons with

different teachers, having different opinions, that's very helpful. But it's all on the piano. I couldn't even give 1% of my playing to anything that is academic.

Question 14

L: Do you think that there might be... if musicology changed... do think there might be a way that eventually musicology might be helpful to actual playing? I think maybe of pedagogy....

5: But pedagogy means teaching. That's different. You know how to teach, how to deal with different students and different stages, like Keats, you know, that's different, that might be helpful. But musicology itself... that is a different thing. That is not performing.

Question 15

L: What if it were a performer/musicologist talking?

5: Talking about what?

L: Let's say it's a performer talking about expression and meaning... would that be helpful for a performer?

5: It's basically a lesson, it's a lesson... and in order to do that, I don't believe it's possible just to... there would be people with better abilities on speaking on expression and these things, with words... maybe better... but still you need to do it. It's practical, and you cannot just talk about music. Talks and books... they might give you... you might read instead of... if you don't have the possibility to meet a certain performer, you might read a little bit... but it's more like pedagogic more than musicologic. Because in that case, you read about other performers and what they do, what they think... it might be helpful... because again, it's like sharing an opinion.. but with musicology, we mean... what Beethoven did in his life, or why he wrote this chord instead of that... ABA, those stuff... to me that's not helpful for performance.

****At this point, I have included the discussion since the beginning of the conversation was lost and some of the interviewee's points are repeated in this section.**

Discussion, Paragraph (P.) 16

L: So I am going to tell you now about what I am doing. So, in my research on musical EME, I have found that scholarship does not talk about the performer.

5: Of course. Because they don't know how to say it. Most of the musicologists are people who are not performers. So how can they talk about performance if they never performed?

L: And I think that is wrong...

5: What do you think it's wrong?

L: I think it's incomplete.

5: Oh, I thought you meant what I was saying!

L: Oh! No, sorry. I think that musicology is incomplete. So they talk about musical EME, and they have all kinds of theories on it... but they don't talk about it how it's actually happening, and I believe that it is happening in performance. So I think that if you're going to make a theory on these things, you have to talk about it from

performance. I think musical EME is in the performer and through their playing, they express... and then the listener and the composer have their own EME, and ideas of the performer's EME, but its separate from the performer's EME. And the performer's EME is different than the composer's EME... he looks at the score and he makes EME probably based off of the notion that "this is as accurate as I can," but its still the performer's EME. The audience might listen to it and get it, but they might not. But all this takes place in the moment of performance. So I am showing that scholarship has missed that. There are only a few scholars that talk about performers.

L: My application would then be pedagogical... for teaching... how can we help teacher's teach expression. The tools might not help a student become an amazing/famous player, but it can help to some extent.

P. 17

5: Yes, they can make some improvement, but you need to give them... its like, again, the closest example that comes to my mind is reading... you give a book to someone who is already struggling with reading... you have to teach them how to read properly. And after that, because again, you easily see- in most of the cases- when a person is naturally musical or not. So, with those people who are not, you can help them with expression... although.... in my experience, I hardly remember any of my teachers (and I had many) who really spent time talking about expression. Because its kind of...

L: Ya, well, teachers don't really talk about it, because you are just sort of expected to have it... and its also hard to talk about it.

5: Ya, its hard because its really, probably... not sure how is the right way to talk about musical EME... because if there would be a right [one way] to talk about it, everyone would play the same way. So... that's what makes it... its individual! At the end, a teacher may make you stronger, technically, through interpretation, give you an idea... but eventually it's you! Every one has his freedom of the music he plays.

P.18

L: So I am not trying in my paper... I am not expecting that performers would read my paper and say "Okay, now I know how to be expressive." But I am trying to show to musicology that performance is central to a discussion on musical EME.

5: I don't want to be negative towards musicology, but I think we are talking about two extremely different things. If you want to talk about performance, you perform. If you want to learn all the other stuff, do it, you can do it, I'm not arguing against it... but I wouldn't oblige a student to go with tons of academic stuff... if they are focusing on performance. I know there are colleagues that would not agree at all with what I am saying, but eventually I think this first. And second, I base what I say on my experience. I can say that so far, I am very happy with what I am doing. I perform everywhere in the world, so I am not having a [so-so] career, but I perform, and so far, I mean, I don't have any problems saying that my musicology background equals close to zero. So if I am here at this point, and that was possible without musicology, is it really necessary? And again, I am not really alone out there... I know several people who feel the same way.

P.19

L: Right, and the North American system... all these performers have to perform and sit through all these lectures and seminars... why?

5: Basic knowledge, I agree. Little things here and there, but it looks to me that there is too much, for one who wants to become a performer, you should focus on performing. And time passes by, and you cannot go back and invest your time in the most important way... you want to become a musicologist? Do all your musicology classes and practice once per week; fine. You want to become a performer? You have to spend the time on your instrument in order to get better and better.

P. 20

L: Yes, and through my research I have found that our system, the way it is, is founded on very ancient ideas. Aristotle, Descartes' Cartesian Mind...

5: I have a slightly different view... I think if you go back... I don't know... years and years ago... when there wasn't this university system, what were musicians doing? Playing. Now, like every other thing in the world... the center is money. University is money, and what is better than creating courses and courses... and people believe that, "oh wow, this is what a university offers, so it might be the way to do it." And is it? No. But people trust it. So they say, "oh if I take a musicology course, maybe I will become a good pianist." Good luck. But, they trust, the university has money, they create courses and courses, and it's a way for, and don't take it personally, from what you said you seem like one who uses your brain... but there are many cases of musicians who didn't have a chance as a performer, and what better than to go around and talk and pretend to know about music, when they don't even know how to play, and they make their living out of that. And that is kind of annoying. And again, if the two things weren't related, I wouldn't argue. There would be a university for musicology, and you would go there, and focus on that, and you don't bother performers. Fine. But the point is that it's a music university. So, who goes? Performers have to do this [musicology stuff] and they are being told that this is a very important part of the music, when it's not, in my opinion. So if they were separate, I wouldn't argue anything, but since they are together, and in this way....

P.21

L: And I think there are a few schools... like conservatory route...

5: Right, and that's what I have done, although as I said, they have universities in Italy now that are similar... but in the conservatory kind of way, you focus more on the performers. And after you have done... here, in the university system the way it works, people go through their undergrad, and maybe PhD, so finally they say, "ok, I am done with the studies." But, there are still many private academies around the world where musicians go, and I still have to see if private academies for performance where top-level musicians go for lessons with renowned artists have obliged students to go to other classes [musicology classes] to focus on playing.

Also if you ask here in North America, like, basically every performer has to go through private lessons before going to university. Now, it's a matter of luck, whether or not you have a good teacher... if there were schools that prepared, with

high level professors... and the same professor could continue at the university level... but its just... you need to to start when you are little. You go to university when you are what, 16? 17? Its too late. In the world, the way it works today, there are people who are 16, 17 who are already performing concerts... and you see all these students going to the university with hope, but how many of them will... it's a little bit too late... there should be something a little bit earlier that helps the student... sure, if you have a great teacher, your lucky, it might work... you show up to the university and you are a good one. But, having a solid system that prepares seriously... because, if you are serious from the beginning, it makes a big difference.

P.22

L: I think this is a problem with lots of disciplines. People go to university to get a degree to get a job... but they don't get one...

5: But music is a thing where people go for having a job... how can you expect to have a job if you can't play? I have seen it. You are 18? And you cannot play the instrument (basically), and what kind of future are you looking for? But again, if everything would be more honest, they wouldn't be accepted into the university. I mean, there are levels... certain universities could say no, and others could say yes.

APPENDIX F: Discussion questions

1. How do you define expression, meaning, and emotion?
2. How important is expression, meaning, and emotion in your performance?
3. Where do you believe expression, meaning, and emotion to reside?
4. How have you been taught to implement expression, meaning, and emotion in playing?
5. To what degree do you use imagery to implement emotion, meaning, and expression in your playing?
6. Do you consciously think of emotion, meaning, and expression during practice (as opposed to performance)?
7. How important is emotion, meaning, and expression specifically to your performance of the Brahms' repertoire?
8. Have you encountered any reoccurring emotion, meaning, and expression within Brahms' piano repertoire that you play?
9. Can you demonstrate how you would play ____ (specific passage/piece of Brahms)___ with emotion, meaning, and expression?
10. Do you find that through practice/performance you gain a better understanding of emotion, meaning, and expression as it relates to music? Why or why not?
11. To what extent do you inform your performance interpretations on scholarly literature?
12. Is there a particular Brahms scholar that you look to before/as you prepare for a performance?
13. Do the current philosophical theories/scientific theories (explain these theories to interviewee here) give you a better understanding of emotion, meaning and expression in music?

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ETHICS APPROVAL NOTICE

File Number: 06-14-10



Date (mm/dd/yyyy): 06/27/2014

Université d'Ottawa **University of Ottawa**
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Ethics Approval Notice Social Sciences and Humanities REB

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File Number: 06-14-10

Type of Project: Master's Thesis

Title: Towards a Generative Theory of Expression, Meaning, and Emotion in Musical Performance

Approval Date (mm/dd/yyyy)	Expiry Date (mm/dd/yyyy)	Approval Type
06/27/2014	06/26/2015	Ia

(Ia: Approval, Ib: Approval for initial stage only)

Special Conditions / Comments:

N/A