A Comprehensive Analysis of Jazz Elements in Nikolai Kapustin’s Violin Sonata Opus 70 and String Quartet Number 1, Opus 88

Ching-Hsuan Wang

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UNIVERSITY OF NORTHERN COLORADO

Greeley, Colorado

The Graduate School

A COMPREHENSIVE ANALYSIS OF JAZZ ELEMENTS IN
NIKOLAI KAPUSTIN’S VIOLIN SONATA OPUS 70
AND STRING QUARTET NUMBER 1, OPUS 88

A Dissertation Submitted in Partial Fulfillment
of the Requirements for the Degree of
Doctor of Arts

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College of Performing and Visual Arts
School of Music
Music Performance

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This Dissertation by: Ching-Hsuan Wang

Entitled: *A Comprehensive Analysis of Jazz Elements in Nikolai Kapustin’s Violin Sonata Opus 70 and String Quartet Number 1, Opus 88*

has been approved as meeting the requirement for the Degree of Doctor of Arts in College of Performing and Visual Arts in the School of Music, Program of Music Performance.

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ABSTRACT


Nikolai Kapustin is a Russian pianist and composer known for his distinctive compositional style combining both classical and jazz foundations. His compositions include music for big band instruments and symphonic instruments, and a large repertoire for solo piano. Kapustin’s music has slowly gained popularity in recent years but his string works, particularly the violin-related repertoire, remain less well-known. This study hopefully makes his string works approachable for today’s string musicians.

This study includes a brief summary of jazz history in the Soviet Union, Kapustin’s musical upbringing, and analyses of Kapustin’s Violin Sonata Op. 70 and String Quartet No. 1, Op. 88. The analysis begins with providing key terminologies in common jazz languages found in the jazz traditions and some traditional classical forms. Then the two pieces are analyzed using the terminologies for further understanding.

The two compositions are valuable additions to the string quartet and violin repertoire as they are new to the classical violin musician due to the jazz influences but are still relatable due to the classical forms. In addition, the pieces are stylistically well crafted as well as technically demanding. These compositions are interesting additions to the genre of conventional violin sonata and string quartet pieces. Hopefully, this
dissertation can foster further research, understanding, performance, and recognition to musicians and their audiences.
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I am grateful for the jazz family, mentors, and friends who I have met at this school, especially the members of the Dynamix String Quartet for their encouragement, friendship, and their keen musicianship to study and perform Kapustin’s String Quartet, No. 1, Op. 88 with me.

Thank you to my parents for the financial and mental support over the process of my education in the United States. Also, thanks to my brother who shared financial burden with me. Special thanks to my husband Dr. Chang Su for his ever-continuous support not only on my long-time passion of the alternative sounds of strings in Mr. Nikolai Kapustin’s music and in jazz, but also through good times and bad times in our lives.
Finally, I would like to acknowledge Tim Gill on behalf of publishers A-RAM Moscow at Music Trading Co. Ltd. for granting me permission to use musical examples in this dissertation.
TABLE OF CONTENTS

CHAPTER I. INTRODUCTION ........................................................................................................... 1
  Statement of Purpose ......................................................................................................................... 3
  Scope and Limitation .......................................................................................................................... 3
  Background .......................................................................................................................................... 5
  Style and String Works ..................................................................................................................... 12

CHAPTER II. LITERATURE REVIEW ............................................................................................... 14
  Online Resources .............................................................................................................................. 14
  Dissertations/Theses .......................................................................................................................... 15
  Books ............................................................................................................................................... 18
  Journals and Periodicals ................................................................................................................... 20
  Musical Scores .................................................................................................................................... 20
  Recordings ......................................................................................................................................... 21

CHAPTER III. METHODOLOGY ...................................................................................................... 23
  Overview of Movement Analysis ....................................................................................................... 23
  Chapter Outline .................................................................................................................................. 26

CHAPTER IV. KEY TERMS, DEFINITIONS, AND ARTICULATION RESOURCE .................................... 28
  Classical Sonata Terms ..................................................................................................................... 26
  Jazz Language Terms ....................................................................................................................... 32
  Resource on String Articulation ....................................................................................................... 45

CHAPTER V. ANALYSIS OF VIOLIN SONATA OPUS 70 ................................................................. 47
  First Movement ................................................................................................................................. 47
  Second Movement .............................................................................................................................. 53
  Third Movement ............................................................................................................................... 62

CHAPTER VI. ANALYSIS OF STRING QUARTET NUMBER 1, OPUS 88 ............................................. 73
  First Movement ................................................................................................................................. 73
  Second Movement .............................................................................................................................. 80
Third Movement ........................................................................................................... 83
Fourth Movement ....................................................................................................... 88

CHAPTER VII. CONCLUSION ...................................................................................... 96

BIBLIOGRAPHY .......................................................................................................... 101
LIST OF EXAMPLES

Some musical examples were created with Sibelius 8 Software

4.1. Digital patterns........................................................................................................ 33
4.2. Scalar patterns........................................................................................................ 34
4.3. 7-3 resolution. ......................................................................................................... 34
4.4. 3-b9. ...................................................................................................................... 35
4.5. Bebop scales........................................................................................................... 36
4.6. Contrapuntal elaboration of static harmony............................................................ 37
4.7. Guide tone line........................................................................................................ 38
4.8. Arrow systems for harmonic analysis in Kapustin’s Violin Sonata Op. 70, mvt 2, mm. 10-12.......................................................... 39
4.10. Quartal harmony in Kapustin’s Violin Sonata Op. 70, mvt 1, m. 5................. 43
4.11. Chord-scale theory.................................................................................................. 44
5.1. Kapustin’s Violin Sonata Op. 70, mvt. 1, m.5...................................................... 49
5.2. Kapustin’s Violin Sonata Op. 70, mvt. 1, mm.28-29. ........................................... 50
5.3. Kapustin’s Violin Sonata Op. 70, mvt. 1, mm.44-48. ........................................... 42
5.4a. Kapustin’s Violin Sonata Op. 70, mvt 2, mm.1-2. ................................................. 55
5.4b. Revised pulses from Kapustin’s Violin Sonata Op. 70, mvt 2, mm.1-2. ............. 56
5.5. Kapustin’s Violin Sonata Op. 70, mvt 2, mm.9-16. ................................................ 58
5.6a. Kapustin’s Violin Sonata Op. 70, mvt 2, m. 39, “I Got Rhythm“...................... 60
5.6b. Beginning of “I Got Rhythm” by George Gershwin. ................................. 60
5.7a. Kapustin’s Violin Sonata Op. 70, mvt 2, mm. 52-53, Franck quote. ............. 56
5.7b. Sonata in A major for Violin and Piano by César Franck, mvt. 1, mm. 9-10. 61
5.8. Kapustin’s Violin Sonata Op. 70, mvt 3, mm. 9-12, violin melody. .................. 65
5.10. Kapustin’s Violin Sonata Op. 70, mvt 3, mm. 33-40. ................................. 67
5.11a. Kapustin’s Violin Sonata Op. 70, mvt 3, mm. 46-51. ................................. 68
5.11b. Descending interval patterns of the violin line in mvt 3, mm. 47-48. .......... 68
5.12a. Kapustin’s Violin Sonata Op. 70, mvt 3, mm. 73-76. ................................. 69
5.12b. “Moment’s Notice” by John Coltrane, first four measures......................... 69
5.13. Kapustin’s Violin Sonata Op. 70, mvt 3, mm. 102-106. .............................. 70
6.1. Kapustin’s String Quartet No. 1, Op. 88, mvt. 1, mm. 1-8. ......................... 74
6.2. Kapustin’s String Quartet No. 1, Op. 88, mvt. 1, mm. 9-12. ......................... 75
6.3. Kapustin’s String Quartet No. 1, Op. 88, mvt. 1, m. 12. ......................... 77
6.4. Kapustin’s String Quartet No. 1, Op. 88, mvt 1, m. 12, annotated................. 77
6.5. Kapustin’s String Quartet No. 1, Op. 88, mvt 1, mm. 42-46. ......................... 78
6.6. Kapustin’s String Quartet No. 1, Op. 88, mvt 2, mm. 1-5. ......................... 81
6.10. Kapustin’s String Quartet No. 1, Op. 88, mvt 3, mm. 45-52. ......................... 87
6.12. Kapustin’s String Quartet No. 1, Op. 88, mvt. 4, mm. 1-11, Subject 1........... 92

6.13. Kapustin’s String Quartet No. 1, Op. 88, mvt. 4, mm. 43-46, Subject 2. ....... 94
### LIST OF FIGURES

5.1. Form chart for Kapustin’s Violin Sonata Op. 70, mvt. 1.......................... 48
5.2. Form chart for Kapustin’s Violin Sonata Op. 70, mvt. 2.......................... 54
5.3. Form chart for Kapustin’s Violin Sonata Op. 70, mvt. 3.......................... 63
5.4. Corresponding themes in Kapustin’s Violin Sonata Op. 70, mvt. 3.......... 71
6.1. Form chart for Kapustin’s String Quartet No. 1, Op. 88, mvt. 1............. 73
6.2. Form chart for Kapustin’s String Quartet No. 1, Op. 88, mvt. 2............. 80
6.3. Form chart for Kapustin’s String Quartet No. 1, Op. 88, mvt. 3............. 83
6.4. Form chart for Kapustin’s String Quartet No. 1, Op. 88, mvt. 4............. 89
6.5. Detailed form of Kapustin’s String Quartet No. 1, Op. 88, mvt. 4.......... 90
CHAPTER I

INTRODUCTION

Nikolai Girshevich Kapustin (b.1937) is a Russian pianist and composer known for his unique compositional style combining strict classical forms with jazz idioms. Kapustin was classically trained at the Moscow Conservatory and first saw himself as a virtuosic piano performer. However, when he was sixteen years old, he was first exposed to jazz in 1953 on the radio show “Voice of America” following the death of the leader of the Union of Soviet Socialist Republics (USSR; now known as Russia), Josef Stalin. Therefore, previously prohibited jazz music could be broadcast for the first time. He recalled that it could have been Glenn Miller or Louis Armstrong who was played on air. It was not until his early twenties that he was impressed by the sound of jazz. He stated in an interview with Martin Anderson: “I thought I was going to be a virtuoso classical player, but at 20, 21, 22, I understood that jazz was very important. And I didn’t like performing; composition was more interesting.” Although Kapustin much preferred composing, he eventually combined the two different styles. He then spent some years playing in high-profile jazz combos and big bands in Russia including Yuri Saulsky’s Big

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Band and Oleg Lundström’s Jazz Orchestra. He has written more than 160 compositions to date. The majority of his works are for piano; these works have garnered the most attention and been studied most widely compared to his other works. A portion of his compositions are for other typical symphonic classical instruments, which were written after his 50s. Among Kapustin’s published string-focused works are two string quartets, one violin sonata, one viola sonata, one viola sonatina, two cello sonatas, one violin concerto, two cello concertos, five cello solo pieces, and various ensemble pieces for strings with woodwinds or piano.

Kapustin’s music was relatively unobtainable in the West until recent decades because his scores and limited recordings were available only through foreign sources or on vinyl. With some positive responses to a few recordings of his works released in recent years, his compositions are slowly becoming more available to the public. Growing numbers of pianists have also programmed his music in their performances. However, his string works, and in particular violin related repertoire, have not received as much visibility so far, possibly because he has only written one sonata for violin.

Kapustin has published two string quartets to date. Even though these compositions are considered highly crafted contributions to the western music repertoire, they are not studied or performed much since they possess specific challenges for

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5 Ibid.
6 Prior to 2000, there were only limited of two recordings from Russian pianist Nikolai Petrov on Kapustin’s piano works through British label Olympia CDs (OCD280 and 273). Pianist Stephen Osborne’s album was released in 2000 through Hyperion Records (CDA67159) of Kapustin’s solo piano music.
classically oriented string players in the understanding of jazz language, articulation, stylistic interpretation, and advanced techniques.

The two string pieces by Nikolai Kapustin included in this research are the Violin Sonata Opus 70 (1992) and the String Quartet No. 1, Opus 88 (1998). This dissertation provides an analysis of both compositions with a particular focus on their jazz elements. Hopefully, the analysis is comprehensive to the classically trained musician and these pieces can possibly become a viable addition to the classical violinist’s standard performing repertoire.

**Statement of Purpose**

Through formal, harmonic, and stylistic analysis, this research investigated Kapustin’s compositional style for strings to interpret his synthesis of jazz language and classical technique. This theoretical approach applied methods from both jazz pedagogy and traditional formal analysis in hopes of providing string musicians with suggestions on utilizing proper stylistic interpretation through understanding harmonic function and articulation. The purpose of this study was to foster further understanding of Kapustin’s specific string works and to promote Kapustin’s string repertoire so it can become more accessible among violinists. This author also provided further personal understanding of this repertoire through an attached recorded audio to present the ideas communicated in this dissertation.

**Scope and Limitations**

This research focused on applying jazz elements--already identified in Jerry Coker and Mark Gridley’s books through understanding formal and harmonic settings in
various musical phrases—to string jazz articulation. The research was limited to Violin Sonata Opus 70 (1992) and String Quartet No. 1, Opus 88 (1998); his second string quartet written in 2007 was omitted since the date of the composition was fifteen years after the violin sonata was published. This dissertation focused on these two compositions since they presented a similar compositional style.

Confusion arises when music enthusiasts categorize Kapustin’s music as “crossover,” “fusion,” or “Third Stream,” and debate whether his music leans more toward jazz or classical styles. Through an e-mail interview with Jonathan E. Roberts, Kapustin stated he did not like “crossover” or “Third Stream”: “I don’t like... the word ‘crossover’ nor Gunther Schuller’s ‘third stream.’ The thing is that other [composers] (in contrast with me) did the blend intentionally, while my ‘jazziness’ is unpremeditated... I simply cannot do otherwise.”

This analysis did not debate whether his music belonged to the classical or jazz style. Also, this research did not depict portions of jazz pieces to prove similarities of melody, rhythm or harmony in Kapustin’s music. It was by no means an exhaustive survey of string recordings released of his works nor his complete biography as these have been continuously updated on his fan-based webpage.

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Background

Kapustin is certainly not the first composer who combined jazz and classical elements. Prior to Kapustin, composers who included jazz elements in their classical compositions were Darius Milhaud (1892-1947), Erwin Schulhoff (1894-1942), Paul Hindemith (1895-1963), George Gershwin (1898-1937), George Antheil (1900-1959), Maurice Ravel (1875-1937), Aaron Copland (1900-1990), Władysław Szpilman (1911-2000), etc. French composer Darius Milhaud used syncopated cakewalk rhythm along with blues notes in his composition *Le création du monde* (1922-23), which captured his impression of jazz that he had heard in Harlem and in Paul Whiteman Band’s concert on his tour to United States in 1922.11 Prague composer Erwin Schulhoff wrote jazz-related movement titles in his Suite for Chamber Orchestra Op. 37 (1921) with the sound he heard from gramophone recordings of contemporary American jazz and ragtime in Germany collected by his friend and painter George Grosz.12 Paul Hindemith attempted to include jazz elements in his Suite *1922*, Op. 26 (1922) with jazz related movement titles but he later reflected that the music was awful to reprint.13 George Gershwin was known for his music, which combined musical theater, Tin Pan Alley, jazz, and many types of folk music he had heard in the Lower East Side of New York when he was

young. These influences are shown in most of his music compositions, e.g., *Lullaby for String Quartet* (1919), *Rhapsody in Blue* (1924), Concerto in F (1925), Three Piano Preludes (1926), and *An American in Paris* (1927). American composer George Antheil’s composition, *A Jazz Symphony* (1925), was originally planned for Paul Whiteman’s Orchestra—the group that introduced *Rhapsody in Blue* in 1924—to be performed in a follow-up concert the year after *Rhapsody in Blue* was premiered in hopes of reproducing *Rhapsody in Blue*’s success but Whiteman was not interested. In 1927, Antheil worked with blues pioneer W.C. Handy’s orchestra of many African-American musicians to premiere *A Jazz Symphony* in Carnegie Hall. This piece included ragtime and a slow jazz waltz. Maurice Ravel had a well-paid tour to the United States in 1928 during which he spent time with Gershwin listening to jazz concerts. He also visited New Orleans, the birthplace of jazz. He entitled the second movement of his Violin Sonata No. 2 (1923-1927) as “Blues” for his trip playing for the American audience and he included some bluesy-sounding chord clusters in his Piano Concerto in G Major (1929-1931) that he wrote after his tour in the United States. On the other hand, Aaron Copland, who was born in Brooklyn, New York, fused jazz into his compositions differently than other composers. In his interviews and scholarly writings, he admitted that being born in New York, he was surrounded by jazz music and had full understanding of the music.

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However, his compositions *Four Piano Blues* (1926-1948) and Piano Concerto (1926) incorporated the bluesy rhythms and harmonies in a conservative way.\(^{18}\) Polish pianist and composer of Jewish descent, Władysław Szpilman, included blues and jazz harmonies in his composition Concertino for Piano and Orchestra (1940) in a literal way. His son attested that his father was impressed with American jazz and Gershwin and he was familiar with American jazz standards.\(^{19}\)

Kapustin was born in 1937 in a small city of Horlivka (Gorlovka), which is in the Donetsk province of eastern Ukraine, which was a member of the former USSR. Jazz music had been promoted or prohibited, depending on the governmental relationship at the time between the USSR and the United States since the 1920s.\(^{20}\) Kapustin and his family were evacuated from Ukraine to the Kyrgyzstan Republic when he was three years old. The Cold War started in 1947. Kapustin recalled in the early 1950s that most modern music including jazz was prohibited.\(^{21}\) He began piano lessons at age twelve in 1949. In 1950, with no formal compositional training, Kapustin wrote his first piano sonata, a piece that was not serious enough for him.\(^{22}\) Jonathan Mann, the author of the very first dissertation found on Kapustin in 2007, stated that when Kapustin composed the piece, “Not having heard jazz, the sonata was in an ‘academic style,’ and he did not...
consider the work ‘serious.’”

In 1952, Kapustin relocated to Moscow and started lessons with pianist Avrelian Rubakh, a pupil of pianist-composer Felix Blumenfeld, who was the teacher of Vladimir Horowitz and Simon Barere. Rubakh played an inspirational role in Kapustin’s love for jazz music. When Kapustin was learning piano and unsure of his abilities, Rubakh recognized the talent in him and his ability to compose music. As a teacher, Rubakh showed a wide range of interests in different musical styles. Kapustin considered the four years he spent learning from Rubakh (1952-1956) the most interesting and productive years of his student life. When Martin Anderson interviewed Kapustin about his conservatory life learning from the renowned pianist Alexander Goldenweiser, Kapustin had to mention Rubakh: “I had another teacher, a great teacher, but nobody knows about him—Avrelian Rubakh. He was a student of Blumenfeld.”

Josef Stalin’s death in 1953 opened possibilities for jazz music to be broadcast in the USSR, which is when Kapustin heard jazz for the first time on the radio show “Voice of America.” He recalled that it could have been Glenn Miller or Louis Armstrong who gave the performance on the radio. In 1954, Kapustin was already fascinated with jazz and his teacher Avrelian Rubakh was supportive of his interest. He would tape-record the music he heard from the radio and transcribe jazz improvisations by leading jazz pianists of the time.

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23 Mann, Red, White, and Blue Notes: The Symbiotic Music of Nikolai Kapustin, 28.
26 Composer’s e-mail to Mann, Red, White, and Blue Notes: The Symbiotic Music of Nikolai Kapustin, 28.
By 1956, Kapustin was ready to further his musical education and went to the Moscow Conservatory to study with Alexander Goldenweiser, one of the most prestigious piano pedagogues in the USSR, who was a classmate of Rachmaninov and Scriabin. Kapustin had pleasant memories of Goldenweiser and would often hear stories of Russian masters but Goldenweiser’s instructions to playing were limited because he was very old at the time (eighty-one). Kapustin also mentioned that he was not sure if Goldenweiser had ever heard of the word “jazz.”

During Kapustin’s traditional classical study at the Moscow Conservatory, he continued to be aware of the importance of jazz. Although Kapustin originally intended to pursue a career in classical music as a virtuoso performer, his continued involvement with jazz became challenging as he tried to balance jazz with his classical conservatory regimen. In 1957, Kapustin joined Yuri Saulsky’s Big Band, which united Moscow’s best jazz musicians to perform the latest jazz hits. He made his compositional debut at the Sixth World Festival of Youth and Students in Moscow performing as the soloist for his composition, Concertino for Piano and Orchestra, Op.1 with Saulsky’ big band. Five musicians from the Big Band, including Kapustin, created a jazz quintet. The quintet performed monthly in one of the most exclusive Moscow restaurants called “National,” where Americans would come to dine and listen to music.

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recorded once by the American Embassy and was selected to air on the jazz radio show “Voice of America.” It was a delightful experience for Nikolai Kapustin to hear Willis Conover in 1957 announcing his name over the radio.31 This was how the name of Nikolai Kapustin was first introduced in the United States.32

Kapustin met Alexander Tsfasman in the 1960s--another inspiration for his love of jazz. Tsfasman, who is considered to be Russia’s first jazz pianist, studied with Felix Blumenfeld, the same person who taught Kapustin’s previous teacher Rubakh.

Tsfasman’s educational background and career path paralleled that of Kapustin. Tsfasman was one of the pioneers in the Stalinist era who made the first Russian jazz recordings in 1928. Tsfasman also spent six years studying at the Moscow Conservatory before turning his focus to jazz. Despite the political instability, Tsfasman encouraged “jam sessions” at the end of concerts with the belief that culture and music should be borrowed for a nation to progress. He mastered the styles of jazz pianists such as James P. Johnson, Fats Waller, Art Tatum, and Bud Powell. Although Kapustin did not meet Alexander Tsfasman until the 1960s, Tsfasman had greatly influenced Kapustin’s musical philosophy.

Upon graduation from the Moscow Conservatory in 1961, Kapustin toured with Oleg Lundström’s Big Band, an ensemble for which he also composed from 1961 to 1972. Lundström focused on American arrangements as well as original works orchestrated in the styles of Glenn Miller, Count Basie, and Duke Ellington. Kapustin

31 Composer’s e-mail with Mann, Red, White, and Blue Notes, 31. Willis Conover was the announcer of “Music USA” and “Voice of America.” 32 Anderson, “Nikolai Kapustin, Russian Composer of Classical Jazz,” 94.
solidified his jazz education during his years with Lundström’s Big Band. Kapustin mentioned in the interview with Maga Antonina:

Eleven years of work with Lundström became my ‘Second Conservatory’: a large amount of arranging, performances, and ear-training experience. We wrote down all the big-band parts from the tape. We were big enthusiasts. It was a school more serious than Conservatory….Mostly it was classical jazz - Count Basie, Duke Ellington. Even if we were performing Soviet songs, orchestral accompaniment still was in the style of Count Basie.

After his time with Lundström’s Big Band, Kapustin worked in Moscow for a broadcast and radio orchestra between 1972 and 1977. Dissertations on Kapustin referred to this orchestra using different names. Creighton’s dissertation from 2009 stated that Kapustin worked with the “Television and Radio Light Orchestra of Vadim Lyudvikovsky” and Tyulkova’s dissertation from 2015 stated that Kapustin worked with “Boris Karamishev ‘Blue Screen’ Orchestra”.

Then Kapustin worked for The State Cinematography Symphony Orchestra from 1977 to 1984. In 1980, Kapustin decided to stop performing publicly after he performed his Piano Concerto No. 2 in Tchaikovsky Hall, although he appeared with cellist Alexander Zagorinsky in Moscow in the late 1990s. Kapustin decided to dedicate himself exclusively to composition and solo recordings in the early 1980s. He recorded his solo albums until 2007 when he recorded what he called his final recording project.

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33 Mann, Red, White, and Blue Notes, 23-36.
37 Roberts, Classical Jazz: The Life and Musical Innovations of Nikolai Kapustin, 21-23.
As Tyulkova pointed out in her dissertation, Kapustin has lived in Moscow with his wife, Alla Semionovna Kapustina, since 2000 and he has never stopped composing. He has chosen to separate himself from the outside world. In a 2000 interview, Kapustin stated: “To be famous isn’t important. I don’t want to become famous.”\textsuperscript{38} Kapustin lives in his own world of his music. He spends most summers in their summer house but he has not stopped the composition process. Kapustin mentioned that it might be time to stop since the compositional process has not come as easily as before but he enjoys some new materials he is creating currently.\textsuperscript{39} His most updated fan page has recent scores in preparation for publication.

**Style and String Works**

Kapustin’s music is intricate and virtuosic, filled with flourishing jazz harmonies under rigidly structured classical form. His piano music is technically demanding. He possesses an unmatched technique as can be seen from a few existing online videos of him performing his pieces with astonishing musical accomplishment and interpretation. At first, he started writing for the instruments in big band settings and then for classical instruments. His first piece for a symphonic classical instrument was a cello sonata in 1991 composed during his 50s. Kapustin maintains his unique style in this sonata, combining jazz elements in classical form. He stated:

I have very few jazz compositions that are really jazz. There is no need to improvise with my music, although it is jazz. But you can make improvisation only by creation; you cannot make an improvisation of a sonata. …But all my improvisation is written, of course, and they became much better; it improved them.\textsuperscript{40}

\textsuperscript{38} Anderson, “Nikolai Kapustin, Russian Composer of Classical Jazz,” 98.
\textsuperscript{40} Anderson, “Nikolai Kapustin, Russian Composer of Classical Jazz,” 96.
Before 1991, his compositions were mainly for piano or for piano and band, often in the jazz big band style. After he ended his work with The State Cinematography Symphony Orchestra, he started to shift his focus to classical instruments. He wrote pieces such as sonatas for strings and piano or chamber music including flute, cello, and piano accompaniment. His styles remained unique. As he stated in an interview in 2000, he believed in adopting jazz language in classical forms: “For me the classical part is more important. The jazz style is there to give colour - I don't like jazz ‘forms’ - if you can describe them as that - which is why I've adopted those from classical music.”

One of the members from the Ahn Trio, an ensemble for whom Kapustin wrote three trios, described that composers who were not string players usually found composing string music challenging but Kapustin was one of a kind. “He is a virtuoso pianist but writes fluently for strings. He seems to have an innate understanding of the violin and cello. The writing is difficult but all possible.”

42 Roberts, Classical Jazz: The Life and Musical Innovations of Nikolai Kapustin, 5.
CHAPTER II

LITERATURE REVIEW

The following literature was examined using online resources, dissertations, books, scores, and CD albums.

**Online Resources**

Present scholarly research on Kapustin exists mostly through online resources. Databases such as Google, YouTube, Grove Online, Naxos, and WorldCat contain recordings by Kapustin and by other performers, published scores, and a few interviews. YouTube contains the most video and audio recordings of Kapustin as a performer as well as some recent recordings of his compositions by others. One Grove article on Kapustin was found but it was not as updated as more recent dissertations nor the online fan-based website. The most updated complete collection of Kapustin’s information including lists of works, biography, and published scores was through the fan-based website: http://www.nikolai-kapustin.info/index.html. Even though the website currently does not provide the webmaster’s name, Peters’ dissertation from 2017 identified Wim de Haan as the website moderator and the site is authorized by Kapustin.\(^4\) One more scholarly article was found on the MusicWeb International webpage by Leslie De’Ath

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entitled “Nikolai Kapustin, A Performer’s Perspective.” The article provided an overview on performers’ stylistic approach to his music through liner notes and interviews.

**Dissertations/Theses**

Fourteen Doctor of Music Arts (D.M.A.) dissertations theses on Nikolai Kapustin published between 2007 and 2018 focused on his solo piano works. His string works received vastly less discussion. Kapustin remains productive; the total number of compositions documented in each dissertation increases each year. The following fourteen dissertations are listed in chronological order with a brief annotation:

Jonathan Edward Mann, *Red, White, and Blue Notes: The Symbiotic Music of Nikolai Kapustin* (University of Cincinnati, 2007). This very first dissertation offered a complete overview of Kapustin’s music consisting of first-hand e-mail resources on his life, Kapustin’s reflection on his musical styles, and the historical background of jazz extant in the USSR throughout Kapustin’s life. The dissertation included the author’s analysis of Kapustin’s three solo piano works: Sonatina, Op. 100, Prelude No. 9 in E Major, Op. 53, and Fugue No. 1 in C Major, Op. 82. The author analyzed blues and harmonic textures while comparing Western music’s historical traditions to jazz.


Jonathan Eugene Roberts, *Classical Jazz: The Life and Musical Innovations of Nikolai Kapustin* (University of Alabama, 2013). The author collected first-hand e-mail resources from Kapustin about his life events as well as e-mails from performers, including premiere performers, about their views on the music and the communication they have had with Kapustin. The author offered analysis of Kapustin’s Piano Sonata No. 2, Op. 54 and Prelude and Fugue, Op. 82, No. 10.

Akane Megumi Okamoto, *Nicholai Kapustin’s Eight Concert Etudes, Op. 40: Reflections on Analysis, Practice, and Performance* (University of Toronto, 2013). This author offered a comprehensive performance guide to readers with liner notes and reviews of recordings as well as physical and mental suggestions for preparing the music. One of Kapustin’s publishers was based in Japan and the author included a few Japanese resources. This dissertation focused on Eight Concert Etudes, Op. 40.


Kit Loong Yee, *Poised between Two Worlds: Nikolai Kapustin’s Piano Sonata No. 1 and the Classical and Jazz Tradition* (Louisiana State University, 2014). This dissertation provided a comprehensive theoretical guide to Kapustin’s Sonata Op. 39, “Sonata-Fantasia,” and elaborated upon the emulation of the jazz sound and jazz traditions in Kapustin’s work.


Yana Tyulkova, *Classical and Jazz Influences in the Music of Nikolai Kapustin: Piano Sonata No. 3, Op. 55* (West Virginia University, 2015). This dissertation included detailed information on Kapustin’s biography through e-mail messages and Skype.
interviews with Nikolai Kapustin. The author is a native of Russia and had met Kapustin’s personal biographer in person. The dissertation provided some translated resources in Russian, a detailed biography, and an analysis of Piano Sonata No. 3, Op. 55.


**Books**

For form analysis in Kapustin’s music, the book by James Hepokoski and Warren Darcy entitled *Elements of Sonata Theory: Norms, Types, and Deformations in the Late-
Eighteenth-Century Sonata helps define sections, themes, and ideas in sonata form.\textsuperscript{44} William Caplin’s book \textit{Classical Form: A Theory of Formal Functions for the Instrumental Music of Haydn, Mozart, and Beethoven} defines other forms such as ternary, rondo, and binary form.\textsuperscript{45} This book offers basic models for common forms in music from the classical traditions, which were applicable for analyzing Kapustin’s music. Kent Kennan’s book \textit{Counterpoint: Based on Eighteenth-Century Practice} is useful for identifying subjects and sections in a double fugue form in the last movement of Kapustin’s String Quartet No. 1, Op. 88.\textsuperscript{46}

\textit{Elements of the Jazz Language for the Developing Improvisor} by Jerry Coker is another useful method book to discover jazz topics through specific layout of notes, harmonies, or voicing. Coker is an American jazz saxophonist and pedagogue.\textsuperscript{47} His book offers insights on common jazz patterns and quotes through scales, rhythm, and harmonic structures. Another book that offers insights to blues harmonies and analyzing unique root motions in jazz is Barrie Nettles and Richard Graf’s book, \textit{The Chord Scale Theory & Jazz Harmony}.\textsuperscript{48} In \textit{Jazz Pedagogy: The Jazz Educator’s Handbook and Resource Guide} by J. Richard Dunscomb and Willie Hill, the authors specify swinging notation

\textsuperscript{44} James Hepokoski and Warren Darcy, \textit{Elements of Sonata Theory: Norms, Types, and Deformations in the Late-Eighteenth-Century Sonata} (Oxford: Oxford University Press, 2006).
and thoughtful mental preparations to approach jazz music. Mark C. Gridley provides a few common jazz practices, jazz styles, rhythms, and tempo changes in his book *Jazz Styles: History and Analysis*.50

**Journals and Periodicals**

Two interviews for *Fanfare* and *International Piano Quarterly* magazines came after pianist Stephen Osborne’s album was released in 2000 through Hyperion Records. This album includes Osborne’s performance on Kapustin’s solo piano music. The *Fanfare* article by Martin Anderson is entitled *Nikolai Kapustin, Russian Composer of Classical Jazz*. The other one is from *International Piano Quarterly* by Harriet Smith entitled *Bridging the Divide*. Both articles provide some transcriptions of interviews with Nikolai Kapustin including his biography, the historical aspects that influenced his musical inspirations, and his view on his own unique compositional styles.

**Musical Scores**

The scores for the two pieces analyzed in this dissertation came from different publishers. The Violin Sonata Op. 70 was published by A-RAM in Moscow in 2010.51 The String Quartet No. 1, Op. 88 was published by Prhythm in Tokyo in 2009.52 There is also a pocket full score edition to the first string quartet and another pocket score that includes String Quartet No. 1, Op. 88 and String Quartet No. 2, Op. 132.53 Both pocket

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scores were published by Prhythm in 2009. These scores remain the only editions of each piece and are distributed by Music Trading Co. Ltd.

**Recordings**

One published recording of Nikolai Kapustin’s String Quartet No. 1, Op. 88 on the album, “Kapustin: Piano Quintet Etc.” was released on October 5, 2016 through the Triton label. The copyright is from 2004 Octavia Records, Inc., with musicians Alexander Chernov and Valdimir Spektor on violins, Svetlana Stepchenko on the viola, and Alexander Zagorinsky on the cello. An online record catalog indicated the tracks were published with the title “Kapustin Plays Kapustin, Chamber Music” through Triton (DICC-26067) and recorded between 1999 to 2000 in a studio at Moscow Radio. This album was published by a foreign label so the actual title and label series translation might not be completely accurate. On Spotify, an album released in 2004 can be found through the keyword: Kapustin, 88; the recording is said to remain unavailable outside of Japan. A YouTube audio recording uploaded by the New Russian Quartet contains the complete movements. The Artemis Quartet was also documented to program this for their public performances.

The Violin Sonata Op. 70 has been released on three different records. The first one is from violinist Alexander Chernov and Kapustin himself on piano. The recording is

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54 Nikolai Kapustin, Kapustin: Piano Quintet Etc. [2016], CD, Triton DICC-26067.
56 De’Ath, “Nikolai Kapustin.”
entitled “24 Preludes and Fugues for Piano Op. 82, Violin Sonata Etc.”\textsuperscript{59} Like the above recording, the copyright is from 2004 Octavia Records Inc.; this album was released on September 21, 2016 through Triton label DML Classics (DICC-40001-2). On Spotify, a Japanese album released in 2004 was found through keyword: Kapustin, 70. The second album from Nippon Acoustic Records was released in 2010 with violinist Hayoto Takenaka and pianist Masahiro Kawaki\textsuperscript{60} The title was translated differently but the album can be found through Naxos Music Library as “Kapustin Chamber Music, Vol. 1.” The musicians also uploaded a video of the recording sessions on YouTube. The third album is the “Kapustin: Violin Sonata” by violinist Tatsuo Nishie and pianist Giuseppe Andaloro through the Fontec label; it was released on August 6, 2014 and copyrighted by 2009 Fontec Inc.\textsuperscript{61} This album can be found through Spotify, Apple Music, and YouTube.

\textsuperscript{59} Nikolai Kapustin, \textit{24 Preludes and Fugues for Piano, Op. 82, Violin Sonata, Etc.} [2016], CD, Triton DICC-40001-2.
\textsuperscript{60} Hayoto Takenaka and Masahiro Kawakami, \textit{Kapustin Chamber Music, Vol. 1} [2010], CD, Nippon Acoustic Records NARD-5030.
\textsuperscript{61} Tatsuo Nishie and Giuseppe Andaloro, \textit{Kapustin: Violin Sonata} [2014], CD, Fontec label FOCD3510.
CHAPTER III

METHODOLOGY

As Mann stated in his dissertation about analyzing Kapustin’s music,

“Theoretically, there is no unified way in which to analyze the work, so a synthesis of classical and jazz approaches must be applied.”

Overview of Movement Analysis

The research began by analyzing the form of each movement with principle guidelines established in Caplin’s book: *Classical Form: A Theory of Formal Functions for the Instrumental Music of Haydn, Mozart, and Beethoven.* The movements with sonata forms were analyzed through definitions from Hepokoski and Darcy’s book: *Elements of Sonata Theory: Norms, Types, and Deformations in the Late-Eighteenth-Century Sonata.* The large sections were identified first and then the smaller units within the sections were examined. The detailed formal analysis provides measure numbers and tonal centers of each section. The purpose of the analysis was to gain understanding of Kapustin’s compositional arrangement with various forms and tonal centers.

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64 Hepokoski and Warren Darcy, *Elements of Sonata Theory: Norms, Types, and Deformations in the Late-Eighteenth-Century Sonata*. 
The smaller sections, such as the phrases, were then be examined with the jazz elements provided in Jerry Coker’s book *Elements of the Jazz Language for the Developing Improvisor*. Some jazz or blues harmony were analyzed through methods from Barrie Nettles and Richard Graf’s book, *The Chord Scale Theory & Jazz Harmony*. In Coker’s book, he selected common “jazz language” found in jazz standards or solos from legendary improvisors. My research examined all themes from sections analyzed from the classical form analysis above and then further identified the jazz language that appeared in those themes. Often, there were exceptions where the music did not strictly follow the identified jazz languages or classical forms; in those cases, other appropriate theories or analytical ideas were suggested in the analysis. For example, some of the jazz piano voicing techniques used in the piano accompaniment of the violin sonata could refer to categorized techniques provided in Mark C. Gridley’s book entitled *Jazz Styles: History and Analysis*. The form and jazz language eventually helped with interpreting the proper styles for performing the music.

Kapustin used sonata form extensively but the development of musical materials and chord progressions were rooted in jazz. It was also important to be familiar with the basic blues scale, blues form, the extension of seventh chords, common jazz chord progressions and alternatives, and common jazz arpeggios and patterns. Most of the above terms are provided in Barrie Nettles and Richard Graf’s book, *The Chord Scale Theory & Jazz Harmony*.

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65 Coker, *Elements of the Jazz Language for the Developing Improvisor*.
66 Nettles and Graf, *The Chord Scale Theory & Jazz Harmony*.
67 Gridley, *Jazz Styles: History and Analysis*.
68 Nettles and Graf, *The Chord Scale Theory & Jazz Harmony*. 
For articulation suggestions, J. Richard Dunscomb and Willie Hill’s book *Jazz Pedagogy: The Jazz Educator’s Handbook and Resource Guide* recommended ways to approach swing rhythm and its various forms.\(^{69}\) The book was used as a guide to suggest rhythm practices. Some unique rhythms in Kapustin’s music were also analyzed through Gridley’s book *Jazz Styles: History and Analysis*.\(^{70}\)

Dunscomb analogously referred to “active listening” as the way to perfect your own speaking and communication skills.\(^ {71}\) For Kapustin’s music, an aspiring performer is not only required to understand Kapustin’s fusion of music through score analysis but also to intuit his own personal understanding. Since understanding music is not limited to score-reading, active listening might also be helpful in understanding music in addition to score-reading. Also, for a classical musician to perform other types of music that are not in traditional or academic style, it might be helpful for the musician to listen to particular types of music and then incorporate the ideas he/she gained from listening into his/her own understanding. As it was known that Kapustin’s music is grounded both in classical and jazz, the understanding of the stylistic interpretations in his two string pieces could be broadened by listening to other jazz, blues, or “alternative” string playing records.

Aside from presenting other music records, suggestions in this dissertation on technique and articulation might be helpful for an aspiring performer in not only accentuating Kapustin’s original intention but also in playing out his own personal understanding of the music with congruency.

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\(^{70}\) Gridley, *Jazz Styles: History and Analysis*.

Chapter Outline

For the rest of the research, chapter four seeks to extend the reader’s basic understanding of key terms in classical forms and jazz languages, as well as offer resources on string articulations. Most vocabularies are based on Hepokoski and Darcy’s book *Elements of Sonata Theory: Norms, Types, and Deformations in the Late-Eighteenth-Century Sonata*, Caplin’s book *Classical Form: A Theory of Formal Functions for the Instrumental Music of Haydn, Mozart, and Beethoven*, and Jerry Coker’s book *Elements of the Jazz Language for the Developing Improvisor*.\(^\text{72}\), \(^\text{73}\), \(^\text{74}\) The key terms stimulated the process of form and harmonic analysis in Chapters V and VI. Chapter IV also provides suggestions on interpreting articulation for string instruments, especially for the violin. A suggested list of recordings by renowned jazz violinists is provided that could be suitable for classically trained violinists to model sound and articulations. Although subjective, it was the author’s intent that the list of resources offers future performers more variety for developing individual interpretative preferences.

Chapter V presents the analysis of the Violin Sonata Op. 70 and Chapter VI provides an analysis of String Quartet No. 1, Op. 88. Chapter VII concludes this research. Hopefully, the comprehensive analysis of classical forms and jazz idioms in Kapustin’s string pieces can inspire string musicians’ further understanding of his compositions for strings so they might apply some patterns from this research to study Kapustin’s other

\(^\text{72}\) Hepokoski and Warren Darcy, *Elements of Sonata Theory: Norms, Types, and Deformations in the Late-Eighteenth-Century Sonata*.

\(^\text{73}\) Caplin, *Classical Form: A Theory of Formal Functions for the Instrumental Music of Haydn, Mozart, and Beethoven*.

\(^\text{74}\) Coker, *Elements of the Jazz Language for the Developing Improvisor*. 
string compositions. Composers might also gain knowledge of how Kapustin incorporated jazz into string music. The author’s own recording with the interpretation of these two pieces is included in a forthcoming album, which was the author’s honor to contribute to the current pool of research and recordings available in the advancement of understanding and capturing the unique force of Kapustin’s music.
CHAPTER IV

KEY TERMS, DEFINITIONS, AND ARTICULATION RESOURCE

In order to explain the styles and to clarify the multiple musical terms including forms and interpretations used in jazz and classical music, which were essential prerequisites to the analysis of Kapustin’s music in the later chapters, this chapter provides a detailed definition of each term used in the analysis. Readers are encouraged to gain an understanding of the terms before reading the analysis of the music.

Classical Sonata Terms

Form analysis is essential to understanding Kapustin’s music. Certain terms discussed in books by music theorists William Caplin, James Hepokoski, and Warren Darcy could apply to the form analysis. The books compiled the common musical formal practices in eighteenth-century music. Even though the practices were designed two centuries ago, they are applicable to Kapustin’s music because his music applies common formal practices in the classical music tradition. Select key terms needed in Kapustin’s musical analysis are provided below.

The themes are discussed in each movement. As the larger section might be easier to identify first, the smaller phrases and ideas are identified with the procedures below.
We would first find ideas that form phrases and then find the themes through different combinations of phrases.\(^7^5\)

The primary theme (P) presents the first theme, which often establishes the tonic key with a cadence. The transition (TR) functions to destabilize the tonic key. It is common to modulate to the secondary key ending in a medial caesura, after which the secondary theme (S) is presented. S often confirms the new key with a perfect authentic cadence. The closing zone (C) consists of codettas with cadential progressions or closing themes.\(^7^6\) The development section initiates active tonal shifts and often refers to a few ideas from the exposition. The recapitulation resolves the tonal tension from the off-tonic theme(s) (S and C) presented in the exposition in the tonic key, and the S reconfirms the tonic key in this section.\(^7^7\) The recapitulation usually includes the corresponding primary theme, secondary theme, and closing zone.

The commonly practiced forms from the eighteenth century include sonata form, large ternary form, theme-and-variation, and fugue. The sonata form consists of two parts that may be repeated: first is the exposition and the second part is the development and recapitulation. This type of sonata form might be viewed as an originally binary structure arrayed in a ternary plan. In sonata form, an exposition needs to carry the statement from a home key to a secondary key, which can often be a dominant key in a major sonata or a relative major key in a minor sonata. The exposition typically begins with a primary theme (P) in the tonic key followed by a transition (TR) which leads to a

\(^7^5\) Caplin, *Classical Form*, 9-14.
\(^7^6\) Ibid., 16.
\(^7^7\) James Hepokoski and Warren Darcy, *Elements of Sonata Theory: Norms, Types, and Deformations in the Late-Eighteenth-Century Sonata*, 16-19.
possible break—a medial caesura (MC). A secondary theme (S) then starts in a new key and concludes with an essential expository closure (EEC) on a perfect authentic cadence, which is followed by an optional closing zone (C). The development section establishes tonal tension with series of modulations that often elaborate on materials from the primary theme. The development section often ends on a dominant chord, preparing the recapitulation of the primary theme in the tonic key. The function of the recapitulation is to resolve the tonal tension from the exposition. It usually restates the first theme on the tonic and restates the secondary theme in the tonic key. In the recapitulation section, an essential structural closure (ESC), which parallels the EEC in the exposition, leads to the optional closing zone in the tonic key.78 A coda may follow after the recapitulation.79

Not all of Kapustin’s movements use sonata form. A small ternary form can be found as three sections: ABA’. The last A section brings back the original unit of the A section but it ensures a complete closure of the theme staying in the tonic key.80 A large ternary form belongs almost exclusively to slow movements. Large ternary is similar to the small ternary form; however, the harmonic process in each section might be different. The A section in the large ternary form must close in the home key even with possible internal modulations. The B section of a large ternary form often closes on the dominant of the home key. The last A section does not require the tonal adjustment because the A section in the large ternary form stays in the same key. Perhaps, it is more appropriate to

78 Caplin, Classical Form, 16-20.
79 Hepokoski and Darcy, Elements of Sonata Theory: Norms, Types, and Deformations in the Late-Eighteenth-Century Sonata, 284.
80 Caplin, Classical Form, 71.
call this a “return” rather than a “recapitulation” because the return of themes does not require tonal adjustments like the recapitulation would.\footnote{Ibid., 212-216.}

Like the large ternary, the \textbf{theme-and-variation} form often occurs in slow movements. A main theme is followed by an indefinite number of varied repetitions with the theme manipulated in each reappearance.

A \textbf{fugue} generally has three sections: the first section contains the “exposition,” in which the subject is announced in an imitative fashion in the traditional pattern; the second section contains a freer portion, the “development section,” which avoids the tonic key; the third section returns to the subject in the tonic key near the end, which we may consider a “recapitulation.”\footnote{These are the same terms that happen in sonata form, but the processes are not quite the same in a fugue.} These same terms happen in sonata form but the processes are not quite the same in a fugue. These three sections follow the ABA principle.\footnote{Kent Kennan, \textit{Counterpoint}, 202-203.} The exposition includes complete statements of the subject alternating between tonic and dominant pitch levels in each voice. An \textbf{episode} refers to a section of modulatory incomplete subject entries. This section might also include interchangeable material of subjects, counter-subjects, or new material.\footnote{Ibid., 220-222.}

In the fugue form, the \textbf{subject} is the first thing that appears; it is usually long enough to provide a line instead of a short figure. The subject should suggest distinctive motivic material appearing in the tonic key. After the first voice completes its subject statement, the second voice enters with the \textbf{answer} in the dominant. Subjects can be used
in stretto later in the development section.\textsuperscript{85} Stretto is a compositional technique in which a passage of a musical idea is overlapped by the same idea in one or another voice.\textsuperscript{86} A double fugue uses two subjects that appear together at some point in the piece. The two subjects could either enter simultaneously or subject two could enter in an exposition of its own.\textsuperscript{87}

**Jazz Language Terms**

Below are the jazz terms explained in Jerry Coker’s book *Elements of the Jazz Language for the Developing Improvisor*.\textsuperscript{88} Coker identified the most common idiomatic practices within the jazz language through a study of solo transcriptions and recordings by jazz masters. The elements and devices gleaned by Coker give an identity to the style and are commonly found in jazz improvisations. The terms provided below will be used to examine the jazz elements in Kapustin’s music.

**Change-running** means arpeggiation to a chord. In the jazz language, change is synonymous for chord and running is a synonym for arpeggiating. In jazz music, the bass and piano (or guitar) outline the harmonic progression of a composition. Soloists might employ change-running to ensure the quality of the harmony. This could help make the chord changes clear to the audience and to other band members. Change-running might also be used as pick-up notes into a melodic phrase.\textsuperscript{89}

\textsuperscript{85} Ibid., 202.  
\textsuperscript{86} Ibid., 99.  
\textsuperscript{87} Ibid., 240-241  
\textsuperscript{88} Coker, *Elements of the Jazz Language for the Developing Improvisor*, 1.  
\textsuperscript{89} Ibid.
According to Coker, sequence means a melodic fragment immediately followed by one or more variations on the same fragment. The examples of sequence listed in his book define variations as the same melodic fragments played at a different pitch level or a melodic fragment varied by difference in rhythm or a few pitches. Even though in classical theory a sequence can be referred to as a repetition (varied or not) that occurs at a different pitch level, this dissertation used the definition of sequence provided by Coker. Different elements can be in a sequence such as a digital pattern or a scalar pattern. A digital pattern means cells of notes accordingly structured to the numerical value of each note to the root of a chord or scale. These patterns usually consist of four to eight notes per cell in the same rhythmic level, which is most often eighth notes. Improvisors might invent their own patterns of cells. A scalar pattern means the digital patterns are not structured with the numerical value but based on a scale or tonal center. Scalar patterns are usually longer than digital patterns to accommodate chords of long durations or progressions made up of closely-related chords. This dissertation used the definition of scalar pattern provided above but scalar pattern could be referred to as a tonal sequence in classical theory. Please see Examples 4.1 and 4.2 for digital and scalar patterns.

Ex. 4.1. Digital patterns.

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90 Ibid., 55.
91 Ibid., 8.
Ex. 4.2. Scalar patterns.

In a **7-3 resolution**, the seventh of a chord resolves smoothly to the third of the next chord. In jazz, the setting for the 7-3 resolution is most often in a harmonic progression. In II-7 to V7 progressions, the flat seventh of the minor subtonic chord resolves to the third of the dominant chord. The 7-3 resolutions are identified for the purpose of showing melodic voice-leading in jazz solos. Please refer to Example 4.3.

Ex. 4.3. 7-3 resolution.

A **3-b9** refers to the melodic motion from the third of a dominant seventh chord to the flat ninth of the same chord. It happens often in improvised solos where the soloists usually use the third and flat ninth interchangeably without a certain order. A 3-b9 happens most often on a dominant chord. Please refer to Example 4.4.

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92 Ibid., 19-20.
93 Ibid., 26.
A **bebop scale** is an eight-note scale that adds a non-diatonic pitch to the diatonic collection. David Baker, a well-known jazz musician and pedagogue, is credited with codifying the bebop scale. Because of the extra chromatic pitch, the scale fits rhythmically into 4/4 time using eighth notes. The use of chromatic tones provides smooth transitions through the improvised solo lines. In a mixolydian scale, which fits the commonly used dominant seventh chord in jazz, the added chromatic note is between the seventh scale degree and the octave of the first degree of the scale. In major scales, the half-step is between the fifth and sixth degree of the scale. In a Dorian scale, the half-step is between the third and fourth degree. Please refer to Example 4.5 for examples of bebop scales. Baker claimed this type of scale originated and was used intensively with players from the bebop era, approximately between 1940 to 1950; however, Coker claims that it was initially used in the early 1920s.

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95 Coker, *Elements of the Jazz Language for the Developing Improvisor*, 33-34.
According to Baker, an improvised solo might take a few notes from a bebop scale to form **bebop licks**. Bebop licks are specific melodic phrases, motives, or patterns commonly used in solos. They can be short or long and are most often used in minor seventh and dominant seventh chords.\(^\text{96}\)

In solo passages, one might find different combinations of notes. One of the most common combinations is an **enclosure**, which is a linear or melodic device where a target note is approached by both the upper and lower leading tones. These leading tones are both a half-step away from the target note. The order of enclosure is typically formed by upper leading tone, lower leading tone, and then target note.\(^\text{97}\) Another combination is **CESH**, an acronym for Contrapuntal Elaboration of Static Harmony (see Example 4.6). It means four chromatic notes, usually starting from the root degree and moving stepwise in a descending motion or the notes starting from the fifth degree and moving stepwise in ascending motion with an optional opposite direction of the last note. A single chord

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\(^\text{96}\) Ibid., 40.
\(^\text{97}\) Ibid., 50.
might remain the same throughout the CESH.\textsuperscript{98} Aside from the specifically named combinations of notes, there might be \textit{quotes} from other known pieces.\textsuperscript{99} A composer or soloist might take a single measure or a few measures from a well-known melody to be included as the motif or the “lick” in his/her improvisation.

\begin{figure}
\centering
\includegraphics[width=\textwidth]{example.png}
\caption{Ex. 4.6. Contrapuntal elaboration of static harmony.}
\end{figure}

**Harmonic generalization** uses one tonality over many chord changes without specifically outlining each change.\textsuperscript{100} For example, a G mixolydian scale may be used on both the D minor chord or the G dominant chord. There could also be a \textit{tri-tone substitution} in exchange for a dominant seventh chord. A dominant seventh chord could be substituted with a dominant seventh chord whose root is a tri-tone away from the given chord.\textsuperscript{101} The two chords share the same \textit{guide tones}--the third and seventh of a chord. When connecting a series of guide tones melodically, it is called a \textit{guide tone line}.\textsuperscript{102} Please refer to Example 4.7. A IV minor seventh chord (IV-7) and a flat VII chord.

\textsuperscript{98} Ibid., 61-62.
\textsuperscript{99} Ibid., 68.
\textsuperscript{100} Ibid., 45.
\textsuperscript{101} Ibid., 81.
\textsuperscript{102} Nettles and Graf, \textit{The Chord Scale Theory & Jazz Harmony}, 56. In classical theory, the guide tone may be referred as tendency tones. The guide tones lines may be referred
dominant seventh chord (bVII7) could be substituted for a regular II-V progression, which is called the **back door progression**. With many given options on improvising, an improviser might choose to use **bar-line shifts** to delay the placement of a melody or harmony.  

Ex. 4.7. Guide tone line.

In their book *The Chord Scale Theory & Jazz Harmony*, Barrie Nettles and Richard Graf provided some tools for harmonic analysis that were useful for analyzing Kapustin’s music. To illustrate the chordal movement of a piece, Nettles suggested using a solid arrow to indicate a dominant resolution from a dominant seventh chord (V7) to I major seventh chord (Imaj7) with the root motion down a fifth. It does not necessarily have to land on a major chord but the arrow is to indicate the root motion of a dominant resolution. In the substitute dominant seventh chord, a broken arrow indicates the dominant resolution of the root moving down a half-step. A roman numeral example of the substitute dominant resolution is subV7 to I or to I7.

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103 Coker, *Elements of the Jazz Language for the Developing Improvisor*, 82.
104 Ibid., 83.
106 Ibid., 41.
107 Ibid., 58.
When a II minor seventh chord (II-7) moves to a V dominant seventh chord (V) and the root moves down a fifth, a solid bracket [ ] might be used to indicate the motion. With dominant substitutions, the II minor seventh chord might move a half-step down to the substitute V dominant seventh chord; it would be indicated with a broken bracket \[\] . A roman numeral example is II-7 to subV7. An example using the arrow systems to analyze the violin sonata of Kapustin is shown in Example 4.8.

Ex. 4.8. Arrow systems for harmonic analysis in Kapustin’s Violin Sonata Op. 70, mvt 2, mm. 10-12.

Kapustin’s style incorporated some special rhythmic features common in the jazz style. Mark Gridley’s book *Jazz Styles: History and Analysis* provides terms used in the analysis of Kapustin’s music below. An essential general style of jazz is the swing feeling. Often the music is interpreted using a swung eighth-note pattern. Although musicians use different subdivisions, the swinging eighth notes fall between two tied triplets with a triplet division and straight eighth notes. The rhythm should create a long-short sequence. Most musicians avoid making it sound like dotted eighth with a sixteenth

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108 Ibid., 36.
109 Ibid., 70.
note.111 Tolson suggested that swing should emphasize or accent the third triplet to create smooth transitions from the third note to the downbeat.112 A walking bass is achieved by the bass player plucking the string once per beat, shaping the music with rising and falling patterns.113

Besides the common jazz harmonic and rhythmic practices, the blues was also an essential harmonic and formal feature in most Kapustin’s music. The blues was primarily a vocal idiom from uptown Afro-American workers in New Orleans.114 It was originally a type of field holler and work song.115 Blues singers use repeated phrases as an expressive device.116 There is often a call-and-response feature, a tradition that traces back to West Africa. For example, an instrumentalist might add improvised lines in response to the singer or the brass section might play a sequence in response to the saxophone section.117 The blues started as simply repetition of the blues scale with no particular harmonic progression to it. A blues scale is formed with scale degree 1, flat-3, (3), 4, flat-5, 5, and flat-7.118 Blues music incorporated harmonies from the Protestant church. Blues pieces consistently use dominant seventh chords throughout the piece because the scale includes a flat seventh degree. The blue notes are often used to describe the flat third and flat seventh of the scale. They cannot be played accurately on

111 Ibid., 364.
114 Ibid., 34.
piano as the pitches are supposed to be between the keys. When playing on synthesizers, one might achieve playing the semitones by “pitch-bending.”

The early blues had no formal constraints but later, a set generic blues became a 12-bar form with three four-bar phrases. The 12-bar blues is in AA`B form. The A starts on the tonic, and the A` usually starts on the predominant and ends on the tonic. The B phrase begins on the dominant and ends on the tonic. The A phrase exposes melodic content and restates the melody over a different harmony, and the B phrase consists of new melodic material. In early blues, this structure matched the structure of the lyrics because the lyrics in the B phrase would provide a solution for the previous text. In blues, musicians have the freedom to add embellishment, chords, and to reharmonize with substitute chords. Example 4.9 shows a 12-bar blues form with a tune called “Sweet Home Chicago” composed by Robert Johnson (1911-1938).

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121 Robert Johnson, *All Time Greatest Blues Songs* [2012], CD, AAO Music UMMC63272.

In performing jazz or the blues, performers often state the main melody and then repeat to the beginning. The melody is followed by improvisations over the form of the song and its accompanying chord progression. One time through the form of the melody is called a chorus.\textsuperscript{122} The chorus is the section of the tune usually chosen by musicians as the basis for improvisation. In jazz, through these repetitions of choruses, the musicians might end with an extra few measures taken from segments in the melody, which is called a tag. The ending might repeat the last four bars of the tune, which creates a tag, and then sustains on the tune’s final chord.\textsuperscript{123}

A modal jazz is a type of jazz that includes extensive usage of modal scales. Common characteristics are improvisations with modal scales, slow harmonic rhythm, pedal points, and the absence or suppression of functional harmonic relationships.\textsuperscript{124}

\textsuperscript{122} Henry Martin and Keith Waters, \textit{Essential Jazz: The First 100 Years}. (Australia: Thomson/Schirmer, 2005), 14.
\textsuperscript{123} Gridley, \textit{Jazz Styles: History and Analysis}, 18.
\textsuperscript{124} Martin and Waters, \textit{Essential Jazz: The First 100 Years}, 179.
**Quartal harmony** is harmonies built on fourths, most often in perfect fourths. They create an ambiguous sound and can function as substitutions for tertian chords.\textsuperscript{125} Although no specific common symbol exists for performers to play quartal harmony on a chord in jazz, it is possible to assign quartal harmonies for a chord symbol in jazz arranging.\textsuperscript{126} Please refer to Example 4.10 for quartal harmonies that appear in Kapustin’s Violin Sonata Op. 70.

Ex. 4.10. Quartal harmony in Kapustin’s Violin Sonata Op. 70, mvt 1, m. 5.

Chordal analyses in the following chapters are mostly based on **chord-scale theory**, which relates scales to certain chord structures (13th chords). A seventh chord with its extensions (9th, 11th, and 13th) can be placed by each other as stepwise intervals to form a scale. The appropriate scale for a given chord is determined by the function of

\textsuperscript{125}Nettles and Graf, *The Chord Scale Theory & Jazz Harmony*, 179.

\textsuperscript{126}Please refer to the musical examples in Gary Lindsay, *Jazz Arranging Techniques: from Quartet to Big Band*. (Miami, Fla: Staff Art Publishing, 2005), 189.
the chord.\textsuperscript{127} Example 4.11 shows two chord symbols, each with extensions, and their related scales.

![Chord-scale theory](image)

Ex. 4.11. Chord-scale theory.

Below are interpretive features of the jazz style observable in the jazz piano tradition. These features might be taken into consideration for string players to interpret proper jazz styles in Kapustin’s music. Gridley mentions in his book that the early pianists, such as Jelly Roll Morton (1890-1941) and Earl Hines (1903-1983), imitated horn players in their piano playing. Hines’ playing is described to have a roughness and punching quality that creates a “brassy sound.”\textsuperscript{128} Hines was known to play the \textit{stride} style. While James P. Johnson (1894-1955) is usually referred to as “the father of stride piano,” one of the best-known stride pianists was “Fats” Waller (1904-1943). Stride piano incorporates the left hand playing an “oompah” figure on each beat, alternating between a low bass, frequently played in tenths, and close position midrange chords while the right hand provides melody. Scholars have often compared Kapustin’s musical style to these jazz masters and found similar styles in his compositions. \textbf{Double-time figures} played an important role in early jazz pianists’ style, notably in Hines’ style.

\textsuperscript{127}Nettles and Graf, \textit{The Chord Scale Theory & Jazz Harmony}, 177.
\textsuperscript{128}Gridley, \textit{Jazz Styles: History and Analysis}, 61-63.
Jazz pianist Erroll Garner (1923-1977) was known for rhythmically laying back, playing slightly behind the beat with left hand block chords.\textsuperscript{129} The layback style might be taken into consideration in playing Kapustin’s music for both piano accompaniment and strings.

Another feature of jazz writing is the extensive repetition of brief patterns.\textsuperscript{130} This kind of ostinato can be heard in the boogie-woogie style left hand heard in the piece “Honky Tonk Train Blues” from 1927, composed by jazz pianist Meade Lux Lewis (1905-1964).\textsuperscript{131} Kapustin recalled boogie-woogie from his first memory of jazz: “At first my friends and I could hear jazz on the radio . . . at that time what we liked most was boogie-woogie.”\textsuperscript{132}

\textbf{Resource on String Articulation}

As a performer, this author suggests bearing the above jazz features in mind when interpreting Kapustin’s music and articulating the features clearly to an extent fit for the style according to one’s taste. A performer might also internalize the harmonic progressions ahead of time to emphasize the unique resolutions and licks in the music. Besides bringing out accents on the swing rhythms and playing with a brassy sound in certain sections, some techniques of articulation could be borrowed from tango fiddlers and jazz violinists.

\textbf{Chicharra} (“cicada” in Spanish) is a tango technique with a percussive and scratching sound made by playing on the wrapping part of the string (behind the violin

\textsuperscript{129} Ibid., 98-99.
\textsuperscript{130} Ibid., 44.
\textsuperscript{131} Meade Lewis, \textit{Meade Lux Lewis, 1927-1939} [1993], CD, Classics F722.
\textsuperscript{132} Composer’s e-mail message to author in Mann, \textit{Red, White, and Blue Notes}, 12.
bridge). The author suggests achieving a brassy timbre in Kapustin’s music by utilizing a similar physical action on accented notes (played on the regular part of the string) but not quite making the sound as harsh. The physical action should be the right hand using greater weight while sustaining through bowing motions. **Arrastre** is another technique in tango playing, which means dragging to the next downbeat with a slow-to-fast bow speed. Classical musicians often sound slightly rushed to jazz musicians when playing triplet divisions because the beautiful decay of a beat or sound is well emphasized in classical training. Practicing the arrastre helps classical performers hear the length of the third note of the triplet to physically achieve playing the layback sound without rushing. This gives the decay of the beat enough length. To achieve this special sound and articulation technically, the player must utilize flexible physical action and frog position. The frog position is essential to create both brassy sound and accents when playing Kapustin’s music. Compared to the other parts of the bow, the naturally heavier weight at the frog helps accomplish the heavy sound needed in jazz articulations.

For acclimating to the style, this author recommends listening to the following renowned jazz violinists: Stefane Grappelli, Regina Carter, Jean Luc Ponty, Christian Howes, and Billy Contreras. The author’s forthcoming album includes the two pieces by Kapustin, which hopefully serve as a vivid and helpful listening experience along with the analysis in this dissertation.

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135 At the time of writing this dissertation, the author’s album is in the process of release.
CHAPTER V

ANALYSIS OF VIOLIN SONATA OPUS 70

First Movement

Form Analysis

The first movement is in strict sonata form with the plan of exposition, development, recapitulation, and coda. The exposition contains an introduction with a primary theme at m. 5 and a secondary area. The secondary area has two themes, S\text{1} in m. 28 and S\text{2} in m. 44. The development section begins in m. 80. The recapitulation starts in m. 131 with the corresponding primary theme at m. 131 (=m. 5) and secondary area starting at m. 160 (=m. 28). The coda starts with unclear keys but ends on the G minor pentatonic scale in the last measure.

The primary theme shows a hint of G minor pentatonic sound with the secondary area starting the first theme in D minor and the second theme in D major. In the recapitulation section, the primary theme hints at the G minor pentatonic sonority; the secondary area starts the first theme in G minor and the second theme in G major. However, the movement ends on a G minor pentatonic scale in the coda, which de-emphasizes the G major sound in the second theme of the secondary area. Please refer to Figure 5.1 for the form chart of the first movement.
A modified blues scale on G is G, B flat, B, C, C sharp, D, F. This unique scale includes both the flat third and natural third scale degrees; both the G minor pentatonic scale and a G major chord fit into the blues scale. It is interesting to notice Kapustin used the G minor pentatonic scale in the first phrase in the primary theme and in the last two measures of the piece. The pentatonic scale provided options for the piece to include blues material other than the expected G major. Despite a tonal center in this movement, Kapustin left the key signatures empty. The piece centered around G minor pentatonic tonality, which is unusual to the traditional classical piece that might be in G major. The form chart is provided below in Figure 5.1.

<table>
<thead>
<tr>
<th>Exposition</th>
<th>S. Area</th>
<th>Dev.</th>
<th>Recapitulation</th>
<th>Coda</th>
</tr>
</thead>
<tbody>
<tr>
<td>Intro</td>
<td>P. Theme</td>
<td>S. Area</td>
<td>P. Theme</td>
<td>S. Area</td>
</tr>
<tr>
<td></td>
<td>P¹</td>
<td>S¹</td>
<td>P¹</td>
<td>S¹</td>
</tr>
<tr>
<td>m. 1</td>
<td>m. 5</td>
<td>m. 28</td>
<td>m. 80</td>
<td>m. 160</td>
</tr>
<tr>
<td>m. 44</td>
<td>Gm minor</td>
<td>D minor</td>
<td>Gm pentatonic</td>
<td>G minor</td>
</tr>
<tr>
<td>m. 131</td>
<td>m. 160</td>
<td>m. 176</td>
<td>…ends on Gm pentatonic</td>
<td></td>
</tr>
<tr>
<td>m. 206</td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
</tbody>
</table>

Figure 5.1. Form chart for Kapustin’s Violin Sonata Op. 70, mvt. 1

136 The blues scale does not usually have a major third, as it is shown in a bracket in the previous definition chapter on page 36. Therefore, the author is calling it a modified blues scale for the scale used in this movement.

137 In page 72 of Hepokoski and Darcy’s *Elements of Sonata Theory*, the authors assign the system that such P¹ and P² mean the modules in the primary theme separated by perfect authentic cadence. The numbers indicate the order of their appearances. This analysis adopts the similar terminology system, which indicates the first phrase and second phrase in the primary theme but does not necessarily need the perfect authentic cadence as a separation. The same terminology applies for phrases in the secondary theme as S¹, S², etc.
Harmonic Analysis

The movement starts with an introduction by preparing a distinctive bassline for the beginning of the primary theme. The first motivic idea is then introduced in the violin line on top of this bassline in m. 5. The five-note motif is in the G minor pentatonic scale but the piano shows four different quartal harmonies in descending motion, creating a characteristic sound (see Example 5.1). The four boxes of harmonies are Fmin11, Emin11, Cmin11, and Bmin11.

Ex. 5.1. Kapustin’s Violin Sonata Op. 70, mvt. 1, m.5.

The *molto ritardando* in m. 27 hints at medial caesura rhetoric, which makes m. 28 the start of the secondary theme in the D minor key. As shown in Example 5.2, the composer used a D dorian scale with other embellished chromatic sounds. The beginning of this phrase settled on a D minor sound and continued on the D pedal for four measures. Within the first two measures, the right hand of the piano played through the D dorian scale, the C bebop dominant scale, and a diminished scale. According to the chord-scale theory defined in Chapter IV, a chord is found through gathering the notes of certain
scales from a passage. Tracing the presence of a scale, one can find the function of the chord through selections of pitches from a scale. The C bebop dominant scale contains a C dominant seventh chord, a chord that usually appears in F major. F major is the relative key of D minor. The diminished scale in this example could be spelled in a complete scale as A, B-flat, C, D-flat, E-flat, E, G-flat, G. The diminished scale also contains the C dominant chord or A dominant chord, which is the dominant of D minor. When the piano part is played with a different potential of sounds in the D minor chord with the other chromatic possibilities, the violin line maintains a simple melody in a D minor avoiding the sixth and seventh degree. Kapustin then uses a descending chromatic bassline and transitions to F major shortly before transitioning to the second phrase of the secondary theme in m. 44.

Ex. 5.2. Kapustin’s Violin Sonata Op. 70, mvt. 1, m. 28.

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138 Related information of chord-scale theory including the chord tones, avoid notes, and examples of various scales and their suitable chord functions are referred in Nettles and Graf, The Chord Scale Theory & Jazz Harmony, 29 and 177.
The second half of the secondary theme ($S^2$) is a swinging blues section, which contains both swinging triplets and blue notes. In the Example 5.3 below, the score shows triplets with accents and slurs to indicate the violin line should make the most emphasis on the third part of the triplet and potentially connect the bowings from the third of the triplet to the next downbeat for accurately making the swing sound. As for the blue notes given to the violin (for example the flat third in m. 45), one might prefer to play the flat third a semitone lowered as a choice of interpretation to honor how pitches of blue notes are supposed to be in nature.\footnote{There are also guide tone lines in this example.} At the end of m. 44 from the D dominant chord to G dominant chord, the seventh of D7, the C, connects to the third of G7, the B; the third of D7, the F sharp, connects to the seventh of G7, the F natural. The guide tone lines also can be spotted in m. 45 where A7 connects to D7, and again in m. 46 where F#7 connects to B7.

\footnote{Please refer to the definition of blue notes in Chapter IV.}

\footnote{Please refer to Chapter IV for the definition of guide tones. In classical theory, the guide tones may be called the tendency tones. The F sharp in this example moving to F natural may also be referred as an elided resolution (omitting the G).}
The swing and pop-up notes on the fifths in this second phrase, especially in m. 46, are reminiscent of jazz pianist Randy Weston’s piece *Hi-Fly* (1958).\textsuperscript{141} Listening to Weston’s piece might help performers interpret the swinging section, hopefully exploring new ideas on the preferred lengths of the triplet and slurs, as well as the sixteenth notes followed up in m. 59 to m. 61. The author suggests playing with enough sticky sound to each bow stroke, even after accents, to create a slightly heavier bow change and end-of-note. In any case, the swing feeling should feel laid back and not rushed.

In the following measures (mm. 50-53), there is a hint of boogie-woogie bass in the piano part. Even though it might be slightly slow and short to call it a boogie-woogie topic, the author would suggest playing it with a slight swing feeling because the score

\textsuperscript{141} The Randy Weston Trio, *New Faces at Newport* [1958], LP, MetroJazz, E1005.
indicates the accents on the sixteenth notes instead of the dotted eighth notes, which could sound similar to the accented triplet in the swing and might continue the rhythmic pulse from the beginning of this phrase.

The essential expositional closure (EEC) in mm. 77-78 marks the end of the exposition section with a strong cadence on D, interestingly with a descending line on the D minor pentatonic scale. The development section starts at m. 80, reusing the five-note motif from the primary theme that appears in m. 89 in piano and again in the violin in m. 95. In the coda, the five-note motif in different keys is shown strongly by the violin playing octaves. In the very end, the motif ends in the original key, which also triggers the start of a G minor pentatonic scale; the last sonority is a G suspended chord. The suspended chord avoids the third scale degree, leaving an ambiguous tonal center to this movement.

**Second Movement**

**Form Analysis**

The second movement of Kapustin’s Violin Sonata sounds like a jazz ballad. The form of this piece could be described as a theme-and-variation form overlaid with the return idea from the ternary form but the author would suggest it is closer to a performance order of a jazz piece. In jazz, a performance of a tune often starts with an introduction followed by the actual tune with a main melody. After the melody is introduced, the rhythm section continues to provide the same chord progressions to the main melody and lets each player improvise on his/her solos based on the chord progressions. After several choruses, when musicians are done with their solos, they would play the main melody again and then end with a possible tag ending, repeating the
last four bars of the tune. This form of performance order in jazz was similar to the overall form of the second movement of Kapustin’s violin sonata.

The movement starts with an eight-measure introduction before the main melody, also eight measures in length, enters. After that, the chord progression of the melody repeats when the violin provides an improvisatory sounding “solo.” The passage then extends by repeating the last four measures of the chord progression from the main melody. Then another interlude repeats the same idea from the introduction. The violin improvisatory “solo” appears in m. 32 again in its own chorus of eight measures, followed by the main melody again, hinting at an end to the piece. After the piano showcases the last four measures of the tune, a transition leads the music to a coda of three attempts of the incomplete introductory materials, ending the piece on a sustained final chord in B major. The form chart of this movement is shown in Figure 5.2. A simplified way to refer to the form of this movement is an introduction; the melody is followed by two choruses in different keys and then the melody in tonic with a coda.

<table>
<thead>
<tr>
<th>Intro</th>
<th>Melody</th>
<th>Violin Solo</th>
<th>Interlude (intro material)</th>
<th>Violin Solo</th>
<th>Melody*+ 4 bars of piano solo</th>
<th>Transition</th>
<th>Coda/Tag (intro material)</th>
</tr>
</thead>
<tbody>
<tr>
<td>8 m.</td>
<td>8 m.</td>
<td>8+4 m.</td>
<td>4 m.</td>
<td>8 m.</td>
<td>8 + 4 m.</td>
<td>3 m.</td>
<td>6+4+5 m.</td>
</tr>
<tr>
<td>m. 1</td>
<td>m. 9</td>
<td>m. 17</td>
<td>m.28</td>
<td>m. 32</td>
<td>m. 40</td>
<td>m. 52</td>
<td>m. 55</td>
</tr>
<tr>
<td>B Maj</td>
<td>B Maj</td>
<td>B Maj</td>
<td>B Maj</td>
<td>F Maj</td>
<td>B Maj</td>
<td></td>
<td>B Maj</td>
</tr>
</tbody>
</table>

Figure 5.2. Form chart for Kapustin’s Violin Sonata Op. 70, mvt. 2.

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Harmonic Analysis

The introduction of this movement has two parts. The first four measures are the piano monologue, while the next four measures have the same monologue adding the violin pizzicato on top. The chord progression repeats every two other measures in the introduction from B major seventh chords to F sharp major seventh chords with an irregular pace as explained below. The bassline also repeats every two measures. Please refer to Example 5.4a for the bassline of the first two measures.

Ex. 5.4a. Kapustin’s Violin Sonata Op. 70, mvt 2, mm. 1-2.

As seen in Example 5.4a, the pulse of the bassline broke the rule of the common time meter. A measure is commonly divided into eight eighth notes so two measures contain sixteen eighth notes. The division is often by multiples of two. In this introduction, the bassline starts with a pick up, making it sound like the downbeat is on the note B, which is the tonal center of this movement. After that, the eighth note division divides into 3+3+3+4+3, adding up to sixteen eighth notes. With this bar-line shift effect, one might hear meter division and pulses sounding like Example 5.4b. The same eighth note division (3+3+3+4+3) continues until the first eighth note of m. 9.
The main melody starts in m. 9 and continues for eight measures. The chord progression of this main melody has some blues elements in it but does not strictly follow the rules of the blues. As previously mentioned in Chapter IV, the generic blues is a 12-bar form with three four-bar phrases as AA’B. The A provides a statement in the tonic; the A’ usually starts in the predominant and then comes back to tonic. The B phrase begins on dominant and ends on the tonic. Measure 9 through m. 16 are shown in Example 5.5. The first four measures in this example start in B major and progress through the circle of fifths with its substitutions as shown with the different kinds of arrows in the example. The passage ends on a B dominant seventh suspended chord at the end of m. 12.

The arrow system provided in Nettles and Graf’s theory offers a clear outline for jazz musicians to see where each chordal relationship is designed to be, providing ease for memorizing, improvising or possibly composing. As already discussed in Chapter IV, Nettles suggested using a solid arrow to indicate root motion down a fifth, usually resolving a V dominant seventh chord (V7) to a tonic chord.\textsuperscript{143} For a substitute dominant seventh chord, a broken arrow indicates the dominant resolution of the root moving down a half-step.\textsuperscript{144} A solid bracket indicates a II minor

\textsuperscript{143} Nettles and Graf, \textit{The Chord Scale Theory & Jazz Harmony}, 33.
\textsuperscript{144} Ibid., 58.
seventh chord (II-7) moving to a V dominant seventh chord (V) where the root moves down a fifth.\textsuperscript{145} A broken bracket indicates a II minor seventh chord moving a half-step down to the substitute V dominant seventh chord.\textsuperscript{146} In m. 9 to m. 10, the composer could have used an E minor seventh chord (E min7 or E-7) to A dominant seventh chord (A7) to D dominant seventh (D7), but instead he chose to substitute D#7 for A7—a tritone substitution—in this chord progression. Both A7 and D#7 share the same guide tones, which are the third and the seventh (C-sharp and G/Fx). This results in the root motion moving down a half-step for this dominant resolution from D#7 to D7; thus, a broken arrow was indicated on the example.

The transition to the second half of this melody (B\textsuperscript{13(#11b9)} to E\textsuperscript{Maj7}, the last chord of m. 12 going to m. 13) resembles the A’ phrase in the blues form with the tonic chord moving to the predominant chord (IV).\textsuperscript{147} However, after moving through chord progressions for three measures, the dominant chord appeared for only one measure in m. 16, which did not quite fit the blues form. In this main melody, many bar-line shifts appeared to loosen the traditionally rigid rhythmic pulses so the accented beats were not always on the first and third beat. The bar-line shifts are indicated with downward arrows between the staves of the piano part in the example.

\textsuperscript{145} Ibid., 36.
\textsuperscript{146} Ibid., 70.
\textsuperscript{147} Please refer to the transition to measure 5 in Example 4.9 from Chapter IV.
Ex. 5.5. Kapustin’s Violin Sonata Op. 70, mvt 2, mm. 9-16.
In blues, musicians have the freedom to add embellishment chords and to reharmonize with substitute chords. After the main melody is introduced, the violin plays an improvisatory-sounding line through eight measures starting in m. 17 where the piano and violin trade off the original main melody. This trade-off resembles the solo chorus section in a jazz performance. Kapustin made a twist to the “solo” by reiterating the last four measures of the main melody again as a tag of this chorus, followed by four measures of interlude, repeating materials from the introduction.

Then an improvisatory-sounding violin solo starts again in m. 32 over the complete chord progressions of the main melody; however, the progressions modulate to F major. At the end of the solo on the third and fourth beats in m. 39, there is a quote from George Gershwin’s well-known tune *I Got Rhythm*. Please refer to Examples 5.6a and 5.6b for the musical examples of the original score and its quote. In m. 40, the original melody returns in B major, which resembles the out head in a jazz performance where musicians play the main melody again to indicate the end of the music. However, in m. 48, the piano starts a tag of the last four measures of the tune in a *forte* indication, playing strong and with a wide range on the keyboard and hinting that the music does not end with the regular expectation. Measures 52 to 54 are transitional and modulatory to prepare the end of the piece. The melody played in these three measures of transition has hints of the motif from the first movement of the Sonata in A major for Violin and Piano by César Franck. Please refer to Examples 5.7a and 5.7b. for the musical examples of the original score and its quote.

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Ex. 5.6a. Kapustin’s Violin Sonata Op. 70, mvt 2, m. 39, “I Got Rhythm”\textsuperscript{150}.

Ex. 5.6b. Beginning of “I Got Rhythm” by George Gershwin.

\textsuperscript{150}George Gershwin, and Herman Wasserman. \textit{George Gershwin’s Songbook}. (New York.: Simon and Schuster, 1941).
The introductory materials attempted to return three times in the coda section at mm. 55, 61, and 65 including the off-meter bassline in the piano and the pizzicato in the violin. Each attempt was different and did not present in the same manner as the introduction. The violin pizzicato was inserted two measures earlier in the first attempt, which caused the first attempt to be a total of six measures instead of eight measures as in

151 Franck, Sonata: Violin and Piano.
152 Ibid.
the beginning. The second attempt retained a similar pulse to the introduction but with a different chord progression. The third attempt started like the introduction but it did not progress to other keys. This coda used a gesture of a jazz style tag. While a traditional tag often uses the last four measures of the tune, this coda used the introductory materials instead of the main melody. This coda combined segments of music previously heard and worked with similar chord progressions from the last four measures of the melody, a circle of fifths progression. The movement ended on a B dominant seventh chord, including the sharp eleventh, played as a harmonic on the violin.

**Third Movement**

**Form Analysis**

The third movement of Kapustin’s Violin Sonata continued the idea of playing with irregular and regular tonality from the first movement. Although it was also written in sonata form, a refrain was interpolated throughout the form. A refrain is often found in a rondo form, which is a repeated section of the same material that comes back after each different section is played.\(^{153}\) There are three main sections in this movement: the exposition, development, and recapitulation. A refrain consisting of a four-measure melody occurs directly after the introduction. The refrain is played in all sections. The form chart of the third movement is shown in Figure 5.3.

\(^{153}\) Caplin, *Classical Form*, 231.
<table>
<thead>
<tr>
<th>Intro</th>
<th>P. Theme</th>
<th>S. Theme</th>
<th>Dev.</th>
<th>P. Theme</th>
<th>S. Theme</th>
</tr>
</thead>
<tbody>
<tr>
<td>B center</td>
<td>B Major+G mixolydian G mixolydian D dorian... Bb Major... B Major (ends on G Major)</td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>G mixolydian</td>
<td>G mixolydian</td>
<td>G Major</td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>D Major</td>
<td>D centered</td>
<td>D Major</td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>P. Theme</td>
<td>S. Theme</td>
<td>P. Theme</td>
<td>S. Theme</td>
<td></td>
<td></td>
</tr>
<tr>
<td>Intro</td>
<td>Refrain+P°</td>
<td>Refrain+S°</td>
<td>Refrain</td>
<td>P(^2)x2</td>
<td>S(^3) x2</td>
</tr>
<tr>
<td>P(^1) x2</td>
<td>S(^1)</td>
<td>P(^3) x2</td>
<td>Refrain</td>
<td>P(^1) x2</td>
<td>Refrain</td>
</tr>
<tr>
<td>P(^2) x2</td>
<td>S(^2) x2</td>
<td>Refrain</td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>m.1</td>
<td>m. 9, 13</td>
<td>m. 69, 73</td>
<td>m. 106</td>
<td>m. 210, 218</td>
<td></td>
</tr>
<tr>
<td>m. 17, 25</td>
<td>m. 77</td>
<td>m. 226, 230</td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>m. 33, 41</td>
<td>m. 90, 98</td>
<td>m. 243</td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>m. 49, 53</td>
<td>m. 247, 255</td>
<td>m. 281, 289</td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>m. 69, 73</td>
<td>m. 299</td>
<td></td>
<td></td>
<td></td>
<td></td>
</tr>
</tbody>
</table>

Figure 5.3. Form chart for Kapustin’s Violin Sonata Op. 70, mvt. 3.

The refrain is the melody from m. 9 to m. 12. The figure shows how each theme was arranged. For example, in the primary theme from the exposition, the music is in the order of the refrain, introduction of the primary theme (P\(^0\)), then a twice repeated phrase 1 and phrase 2, ending with phrase 3 repeated twice. The measure numbers shown in the lower row of Figure 5.3 showed where each phrase started and where each repeat was located.

The secondary theme also starts with the same introductory refrain at m. 69, now in the secondary key. After this refrain, another four measures of introductory material are introduced, which are labeled as S\(^0\). These four measures of new material become another motif used in phrase 1 of the secondary theme. Phrase 2 of the secondary theme is repeated twice and ends the exposition section.

The development section starts with the refrain in m. 106. The constant hammering gestures in mm. 203-209 suggests the recapitulation started at m. 210.

However, the refrain does not start the primary and secondary themes in the recapitulation section. The primary theme in the recapitulation section started in m. 210.
with phrase 2 of this theme and it continued to phrase 3 with both phrases repeating twice. Following phrase 3, the refrain was inserted, ending the theme with twice repeated phrase 1. The secondary theme starting in m. 263 also avoided starting the theme with the refrain. Instead, the composer used twice repeated phrases 1 and 2 first, ending the piece with the refrain. The refrain started out as a signal for a new section but by the end of the piece, it became another module to reorder.

The movement started with twelve measures centering around the note B in the bass note on piano. The rest of the exposition, starting in m. 13, was based in the G mixolydian scale. The secondary theme was in D major. After transitioning through many modulations in the development section, the recapitulation started again with the G mixolydian sonority; the music waited until the last secondary theme to confirm the G major tonality.

Harmonic Analysis

The movement did not show any key signature and the first ten measures centered around the note B until m. 12. Example 5.8 shows the refrain used throughout the piece, which was taken from the introduction. It started on the note B and ended on the sustained B before turning to the note G right before the start of the primary theme in G mixolydian in m. 13. The refrain is unique by starting with two groups of three notes and ascending linearly through two major third intervals. In Example 5.8, the two groups of notes are B, C-sharp, D-sharp, and D, E, F-sharp. In the refrain, the piano creates the lower octaves with major-third intervals doubling the violin melody. The piano right-hand repeats the note B in different octaves. The rhythmic grouping of this refrain might
also be viewed as groups of three eighth notes in the first two measures, providing an option of a flexible rhythmic pulse.

Ex. 5.8. Kapustin’s Violin Sonata Op. 70, mvt 3, mm. 9-12, violin melody.

A similar three-note motif starts phrase 1 in the primary theme (m. 17) except it uses two linear ascending minor third intervals. The piano had already started to cycle around octaves in G, adding the violin line which introduced phrase 1 starting on the fifth of G. Example 5.9 shows P¹. The minor third culminating on F, the flat seventh of G, creates the G mixolydian sound of this section. The first four measures confirm the G mixolydian sound and the next four measures run through cycles of fifths. This phrase uses a bar-line shift technique, which creates a shifted sense of meter.¹⁵⁴ The bar-line shifts are shown in Example 5.9 with the downward arrows. Kapustin also puts accents on the violin line along with the piano to show the shifted emphasis of beats.

¹⁵⁴ Please refer to Chapter IV for Coker’s definition of bar-line shifts.
Phrase 2 of the primary theme starting in m. 33 uses an unexpected rhythm with the piano grouping irregularly in twos, threes, and fours. The violin part is also grouped irregularly by shifted accents, bowings, and the naturally created musical shapes from leaps. Within the phrase are three sub-ideas: the first idea was in a dorian key, the second idea was in a dorian one whole step lower than the previous one, and then the third idea returned to the first dorian key. The ideas are shown in Example 5.10. The D-flat dorian in the example was treated as a short transition to the third idea. The third idea was longer than the previous two because it included a chromatically descending chordal sequence as shown in Example 5.11a. Even though in mm. 49-50, the violin passage appears to sound
ascending, it is actually reordered from intervals of the perfect fourth descending in major seconds as shown in Example 5.11b. Interestingly, in the corresponding phrase in m. 225, Kapustin used the sequence in the opposite direction to become an ascending sequence.

Ex. 5.10. Kapustin’s Violin Sonata Op. 70, mvt 3, mm. 33-40.
Phrase 3 of the primary theme (m. 49ff.) has a four-measure phrase repeating twice. These four measures contain four major chords: the subtonic major chord (the flat-seventh chord), the tonic major chord, the major chord on the dominant, and the predominant major chord. The last two chords are different in the second repetition of the phrase to transition to other sections. The starting chord of phrase 3 serves as an anticipation of the second measure.

The secondary theme starts with the refrain in m. 69 on the piano without the violin. The refrain was transposed to start the first chord on a D major chord, showing the secondary theme would be in D major. After four measures, the new introductory material appears with four measures of a syncopated rhythm pattern, which would become another rhythmic motif used in later passages. This passage was labeled in Figure 5.3 as $S^0$ and is shown in Example 5.12a. The passage mixes syncopations and bar-line
shifts while the left hand plays a progression of two roots moving down a fifth; the roots relation is an ascending half step. A similar progression is used in the beginning two measures of a piece by jazz master John Coltrane, the “Moment’s Notice” from his 1957 *Blue Train* album. The beginning four measures of “Moment’s Notice” are shown in Example 5.12b.

![Example 5.12a](image)

Ex. 5.12a. Kapustin’s Violin Sonata Op. 70, mvt 3, mm. 73-76.

![Example 5.12b](image)

Ex. 5.12b. “Moment’s Notice” by John Coltrane, first four measures.

The first phrase in the secondary theme is not new. It starts in m. 77 with a rhythmic motif from m. 58, the transitional measure in phrase 3 of the primary theme. The second half of this phrase 1 of the secondary theme (mm. 81-83) is similar to the new introductory material shown in Example 5.12a (mm. 73-75). Phrase 2 of the secondary

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155 John Coltrane, *Blue Train* [1957], CD, Blue Note BLP1577.
theme plays with different divisions of the eighth notes in eight measures. The violin consistently plays between groups of twos and fours while the piano plays constant groups of threes. The violin plays in chromatic lines starting on the note D, and the piano plays only the note D in different octaves. At the end of the section, which is the end of the second repeat of phrase 2 right before the development section, the violin changes the divisions to two plus three when the piano plays the same division in the right hand and the continuous groups of three in the left hand. This passage can be seen in Example 5.13.

Ex. 5.13. Kapustin’s Violin Sonata Op. 70, mvt 3, mm. 102-106.

The development section in m. 106 starts with the introductory refrain on B-flat. The first half of the development section is lyrical, less active compared to the previous exposition section, and is also marked at a lower dynamic. Even though there are no obvious repetitions of phrases, a few motives (see mm. 140, 141, 155, 156, 164, 168, and 172) continue the off-beat accent and syncopation ideas from the introductory material of the secondary theme ($S^0$). The climax of the piece with the double forte dynamic is at m. 186.
The recapitulation section includes corresponding primary and secondary themes but the introductory refrain and phrases are reordered into different arrangements. The recapitulation starts in m. 210 with phrase 2 from the primary theme in a G mixolydian tonality. The introductory refrain is hidden in the corresponding primary theme in m. 243 after both phrases 2 and 3 are played twice, putting phrase 1 at the end of the corresponding primary theme. Please refer to Figure 5.4 for corresponding themes. The corresponding secondary theme starts in m. 263 and starts with phrase 1 from the secondary theme. The melody of phrase 1 is passed from the piano to the violin, showing a clear G major sonority. After phrases 1 and 2 are played twice, the piece ends with the introductory refrain in m. 299.

<table>
<thead>
<tr>
<th>P. Theme</th>
<th>P. Theme (Recap)</th>
<th>S. Theme</th>
<th>S. Theme (Recap)</th>
</tr>
</thead>
<tbody>
<tr>
<td>B Major+G mixolydian</td>
<td>G mixolydian...</td>
<td>D Major+progression</td>
<td>G Major</td>
</tr>
<tr>
<td>G mixolydian</td>
<td>C mixolydian</td>
<td>D Major</td>
<td>G centered</td>
</tr>
<tr>
<td>D dorian...</td>
<td>B Major</td>
<td>D centered</td>
<td>B Major (ends on G Major)</td>
</tr>
<tr>
<td>G mixolydian</td>
<td></td>
<td></td>
<td></td>
</tr>
<tr>
<td>Refrain+P&lt;sup&gt;0&lt;/sup&gt;</td>
<td>P&lt;sup&gt;2&lt;/sup&gt;x2</td>
<td>Refrain+&lt;sup&gt;S&lt;sub&gt;9&lt;/sub&gt;&lt;/sup&gt;</td>
<td>S&lt;sup&gt;1&lt;/sup&gt; x2</td>
</tr>
<tr>
<td>P&lt;sup&gt;1&lt;/sup&gt;x2</td>
<td>P&lt;sup&gt;3&lt;/sup&gt;x2</td>
<td>S&lt;sup&gt;1&lt;/sup&gt;</td>
<td>S&lt;sup&gt;2&lt;/sup&gt;x2</td>
</tr>
<tr>
<td>P&lt;sup&gt;2&lt;/sup&gt;x2</td>
<td>Refrain</td>
<td>Refrain</td>
<td></td>
</tr>
<tr>
<td>m. 9, 13</td>
<td>m. 210, 218</td>
<td>m. 69, 73</td>
<td>m. 263, 271</td>
</tr>
<tr>
<td>m. 17, 25</td>
<td>m. 226, 230</td>
<td>m. 77</td>
<td>m. 281, 289</td>
</tr>
<tr>
<td>m. 33, 41</td>
<td>m. 243</td>
<td>m. 90, 98</td>
<td>m. 299</td>
</tr>
<tr>
<td>m. 49, 53</td>
<td>m. 247, 255</td>
<td></td>
<td></td>
</tr>
</tbody>
</table>

Figure 5.4. Corresponding themes in Kapustin’s Violin Sonata Op. 70, mvt. 3.

The third movement of Kapustin’s violin sonata does not contain as many obvious jazz elements as the first two movements. However, the rhythmic pulses with irregular groupings and shifting accents create an interesting musical flow and lively syncopations.
The prevalent uses of modal scales in the movement resemble the style of modal jazz. The refrain also plays an important role of inserting an unstable rhythmic and tonal idea.

With so many continuous eighth note patterns, a violin performer might like to explore playing each eighth note with a different length. The author would suggest finding a balance of length according to each performer’s taste but would prefer a legato-but-separated bow stroke with accents for strength and power. The author also suggests playing staccato only when it is indicated on the score. More performance suggestions are included in the conclusion chapter.

In this violin sonata, Kapustin demonstrates a wide range of sound styles that are embodied in his experimentation with tonality, pulse, forms of jazz improvisation, swing feeling, blues chord progressions, articulations, and alternative string techniques. The next chapter continues to examine the possibilities when his style is applied to the string quartet genre.
CHAPTER VI

ANALYSIS OF STRING QUARTET NUMBER 1, OPUS 88

First Movement

Form Analysis

The first movement of Kapustin’s String Quartet No. 1, Op. 88 is in sonata form with a coda. A special introductory idea (P₀) is inserted at the beginning of the exposition and at the beginning of the corresponding primary theme of the recapitulation. Figure 6.1 shows the form chart of this movement including sub-phrases, measure numbers, and keys. The overall key of this movement is F blues, which creates a dominant seventh sonority. In fact, the movement uses a large portion of dominant seventh chords as they are also a common sound in blues. Even though the movement adapts the blues harmony in the themes, the general form of the movement does not adapt the blues form.

<table>
<thead>
<tr>
<th>Exposition</th>
<th>Dev.</th>
<th>Recapitulation</th>
<th>Coda</th>
</tr>
</thead>
<tbody>
<tr>
<td>P. Theme</td>
<td>S. Theme</td>
<td>P. Theme</td>
<td>S. Theme</td>
</tr>
<tr>
<td>P₀</td>
<td>S₀</td>
<td>P₀ x2</td>
<td>S₀ x2</td>
</tr>
<tr>
<td>P₁ x2</td>
<td>S₁ x2</td>
<td>P₁ x2</td>
<td>S₁ x2</td>
</tr>
<tr>
<td>m. 1</td>
<td>m. 35</td>
<td>m. 77</td>
<td>m. 134, 159</td>
</tr>
<tr>
<td>m. 9, m. 17</td>
<td>m. 43, 51, m. 59, 67</td>
<td>m. 176, 184, m. 194, 202</td>
<td>m. 210</td>
</tr>
<tr>
<td>G7</td>
<td>G7…</td>
<td>GM7…Ab13</td>
<td>G7</td>
</tr>
<tr>
<td>F blues</td>
<td>G7</td>
<td>F blues</td>
<td>C7</td>
</tr>
<tr>
<td></td>
<td>C Major</td>
<td>F Major</td>
<td>F blues</td>
</tr>
</tbody>
</table>

Figure 6.1. Form chart for Kapustin’s String Quartet No. 1, Op. 88, mvt. 1.
Harmonic Analysis

The first movement has a unique introduction at the beginning in a non-tonic key, which is treated as an anticipation leading to $P^1$ in the F blues tonality. All of the chords in the introduction are dominant chords as seen in Example 6.1. This example shows the introduction at the start of the movement, which is played by cello and viola. The violins do not come in until m. 9. Most chord qualities are dominant seventh chords with extensions, meaning the instability of the chords can possibly move to other keys. At m. 6, the viola plays a blue note of the flat third scale degree (B-flat). This is the first hint of the blues influence in this movement.


The transition to the F dominant seventh is by tri-tone substitution. The F#13 functions as a tri-tone substitution for C7. The F-sharp dominant 13th shares the same third and seventh of C dominant seventh (the E and A-sharp/B-flat). This substituted dominant chord (F#13) causes the root motion to move a half-step down to F dominant seventh and was indicated by a broken arrow in Example 6.1. Kapustin tended to favor
this tri-tone substitute transition technique to introduce most themes, which also appeared at other spots in the movement. This motion is seen in three places in this movement: the introduction to phrase 1 of the primary theme, the introduction to phrase 1 of the secondary theme, and the introduction to phrase 1 of the recapitulation.

The phrase 1 of the primary theme (P₁) in this movement is a swinging theme that relies on triplet divisions. Example 6.2 shows the start of the phrase. The swing can be seen most obviously with the accented last note of the triplet. It appears at the end of m. 9 and m. 11, and also at the first note of m. 10.

Ex. 6.2. Kapustin’s String Quartet No. 1, Op. 88, mvt. 1, mm. 9-12.

As for the blues harmony influence, some blue notes in blue scales against dominant chords might be found in this theme. The F modified blues scale consists of F, A-flat, A, Bb, B, C, E-flat, as explained in Chapter IV. The F dominant chord that begins the primary theme (m. 9) does not have a dominant function; rather, it is treated as the tonic (see Example 4.9 in Chapter IV). The blue notes are the flat third and the flat seventh. The blue notes are indicated in Example 6.2: the A-flat functions as the flat third
of F dominant seventh (functioning as the chordal extension #9 as it relates to the key) and the flat seventh of B-flat dominant seventh. Another blues influence is the F dominant chord, which moves to the Bb7 chord directly in the beginning of the primary theme. In blues, the first four measures often contain the I7 chord, followed by two measures of the IV7 chord.

In jazz, it is common to hear the walking bass performed using pizzicato and slurring the last triplet note to the downbeat, which emphasizes the last note of the triplet. Kapustin indicates in m. 10 that the cello switches to pizzicato, which suggests a possible walking bass sound. The author suggests the cellist “slur” the pizzicato from D to D-flat in m. 10, which means to pizzicato once on D and then lift up a finger for D-flat without plucking the string again. This is similar to a “hammer-on” technique, which is borrowed from guitar technique as a hammer action.156 The same approach applies to m. 12 and other pizzicato spots in this movement when applicable.

Another spot in which performers might emphasize the jazz articulation is in m. 12 (Example 6.3). Notice the common jazz ending “doo-dat” figure on the last beat of the measure. The tenuto note must be played long enough to connect to the next accented note. Both the tenuto note and the accented note should have a clear accented attack at the front of the notes.157 If the passage was played on saxophone, it would be a legato tonguing with attacks given to specific notes as shown in the viola line in Example 6.4. In jazz, the “doo-dat” figure is often notated as “—∧.” According to Niehaus’

definition as stated in his book *Basic Jazz Conception for Saxophone*, the accents printed in Kapustin’s original score, which is the “>,” indicates attacks at the full value and “∧” indicates attacks that are played shortly. As a string performer interpreting the accents and swing in Kapustin’s score, a suggested bowing is marked above the second violin line in Example 6.4 in order to achieve this articulation. In the example, ending the passage on a down bow can provide the attacked note with enough power from the frog and makes it easier to stop the note shortly after it is played.

Ex. 6.3. Kapustin’s String Quartet No. 1, Op. 88, mvt. 1, m. 12.

Ex. 6.4. Kapustin’s String Quartet No. 1, Op. 88, mvt 1, m. 12, annotated.
The introduction to the secondary theme (mm. 35-42) shows an unstable quality, much like the introduction to the first theme. It starts on a G suspended chord and then resolves to a G dominant seventh chord. After eight measures, a tri-tone substitution is used to connect to phrase 1 of the secondary theme. The start of the secondary theme is shown in Example 6.5. In the example, the solid bracket shown from D-9 to G13 shows the G dominant chord is now acting as the dominant function, which needs to resolve to a new tonic. After phrase 1 in the G dominant tonality is played twice, it resolves to C major at the start of phrase 2 of the secondary theme (m. 59). It is optional to interpret phrase 1 of the secondary theme with a slight swing feeling to continue the swing idea from the primary theme. It is also optional to think about the phrase in half-time counting since the rhythmic pulse is half-time slower than before. The half-time rhythmic pulse contrasts with the end of the primary theme. Here Kapustin inserts a double-time counting in the cello line from m. 31 to m. 34 while the upper strings play sixteenth notes and the cello has straight eighth notes.

Ex. 6.5. Kapustin’s String Quartet No. 1, Op. 88, mvt. 1, mm. 42-46.
Phrase 2 of the secondary theme starting in m. 59 consists of a lyrical melody with accompanying cello pizzicato. The cello becomes a walking bass again, using pizzicato on each beat to provide a steady bass for when the other voices showcase the melodic line. The development uses several ideas from the exposition including the use of double-time to begin the section from m. 77 through m. 95 and a mix of the two phrases from the secondary theme from m. 96 to m. 103. The development ends on an A-flat dominant chord (the A-flat dominant sound is shown between m. 128 to m. 133), serving as a tri-tone substitution to connect to the G7 in the introduction of the recapitulation (P⁰) in much the same way as the tri-tone substitution is used in the exposition from P⁰ to P¹.

The tonality and melody in the recapitulation are generally similar to the exposition except that phrase 2 of the secondary theme resolves in F major and the secondary theme returns a fifth lower. The coda attached to the end of the movement elaborates on the swing topic from the primary theme using an F blues tonality. Ending on the F blues reconfirms the jazz elements as important characteristics of this movement. The ending of the swinging coda should avoid sounding rushed or sounding like a dotted eighth with a sixteenth note.\(^\text{158}\) Even though some spots of the triplet passages are written for separate bows, performers should think of a legato swinging division to create a steady flow of moving notes. The flow should have enough length and connection between notes even when intermingled with accents on different parts of the beat.\(^\text{159}\)

\(^{158}\) Gridley, *Jazz Styles: History and Analysis*, 364.
\(^{159}\) Niehaus, *Basic Jazz Conception for Saxophone*, iii.
Second Movement

Form Analysis

The second movement of Kapustin’s String Quartet No. 1, Op. 88 is written without a key signature. In fact, the keys in this movement constantly develop to form new tonal centers. The form of the movement is a unique mirrored form in which the main sections are A, B, development, B, and A with an introduction and ending. Scholars such as Erwin Ratz would apply the term “arch form” or “symmetrical form” to the form of this movement. The last B section is a whole step higher than the first B section, and the last A section is a whole step lower than the first A section. Interestingly, as the sections in this movement are horizontally mirrored, the movement is also vertically mirrored in keys considering the whole-step differences in the last B and A sections. The form chart of the second movement is indicated below in Figure 6.2.

<table>
<thead>
<tr>
<th>Intro</th>
<th>A</th>
<th>B</th>
<th>Dev.</th>
<th>B</th>
<th>A</th>
<th>Ending</th>
</tr>
</thead>
<tbody>
<tr>
<td>m. 1</td>
<td>m. 5</td>
<td>m. 13</td>
<td>m. 21</td>
<td>m. 54</td>
<td>m. 62</td>
<td>m. 69</td>
</tr>
<tr>
<td>Constant changing tonal centers</td>
<td>Major 2nd ↑ than B section</td>
<td>Major 2nd ↓ than A section</td>
<td>A minor</td>
<td></td>
<td></td>
<td></td>
</tr>
</tbody>
</table>

Figure 6.2. Form chart for Kapustin’s String Quartet No. 1, Op. 88, mvt. 2.

Harmonic Analysis

A portion of the movement implies improvisatory or fantasia ideas. Motives develop into new passages with different accompaniment, adding on to other new motives and sometimes reusing older phrases. The movement includes many dominant-

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160 Caplin, Classical Form, 266.
quality chords moving to other dominant-quality chords, which is a common treatment of chord qualities in jazz.

As shown in Example 6.6, the cello solo line in the introduction of this movement can be played with an improvisatory feel. The cello is alone for four measures of pizzicato, using a melodic line loosely combining the circle of fifths progressions and chromatic motion. Then the quartet comes in at m. 5 with the same motif as the first measure but with the addition of chord progressions as the accompanied harmonies. The constantly moving dominant chords, which are formed by each accompanied harmony on top of the melody, offer wide possibilities within the progressions. Interestingly, the melody line in the first measure of the cello solo uses all sharp accidentals; however, when the same melody comes in at m. 5, Kapustin spells it enharmonically with all flat accidentals. After the A section where the melodic line is generally in ascending motion, the B section follows with a descending melodic line over eight measures. The start of the B section is shown in Example 6.7.

Ex. 6.6. Kapustin’s String Quartet No. 1, Op. 88, mvt. 2, mm. 1-5.
The B section ends on an A-sharp dominant suspended chord. The last measure of the B section uses the same motivic notes from before--this time spelled with all sharps. The beginning of the development section again starts on the same motif as the A section; this time, the notes are spelled with all flats. Many new motives that appear in the section are reused throughout the development, i.e., mm. 21, 25, and 26 use a similar motif from the beginning of the movement; the sixteenth notes are similar at mm. 28 and 29; a new triplet motif is reused at mm. 33 and 37; and a syncopation idea is developed from m. 39 through m. 45. At the end of this development section in m. 46, the melodic motif at the beginning of the B section is treated in fugato in the order of violin 1, viola, and cello. The fugato marks the end of the fantasia-like or free-developed portion of the movement.

After the development section ends in the fugato, the B section starts again in m. 54--this time a whole step higher than its original appearance. The A section starts in m. 62 a whole step lower than it appeared at the beginning. The A section at the beginning is a total of eight measures but it is one measure less at the end. The last A section is
interrupted abruptly by an A minor eleventh chord held by the second violin and viola. The lower strings hold this chord to the end when the two violins provide harmonics on top, marking an impressionistic end to this movement.

**Third Movement**

Form Analysis

The third movement loosely follows ternary form. Both A sections use similar motivic materials and the B section uses fresh motives of its own. Figure 6.3 provides a form chart of the third movement. The A section consists of “w,” “x,” and “y” motives. The B section only consists of the “z” motif. An index is shown below Figure 6.3 for definitions. The “w” is a rhythmic pattern. The “x” consists of an eight-measure melody. The “y” is another eight-measure melody with the cello playing pizzicato similar to a walking bass line. The “z” motif, which only appears in the B section, consists of a lyrical melodic line in irregular meters. The two A sections are not quite the same because they do not have the exact matching order of the “w, x, y” content. Please refer to Figure 6.3 for detailed differences between the two A sections.

<table>
<thead>
<tr>
<th>A (m. 1)</th>
<th>B (m. 61)</th>
<th>A (m. 101)</th>
</tr>
</thead>
<tbody>
<tr>
<td>w-x-w-x-w-y-x-w</td>
<td>z-z-tr.-z</td>
<td>w-x-x-y-x-w</td>
</tr>
<tr>
<td>C blues</td>
<td>A minor</td>
<td>C blues</td>
</tr>
</tbody>
</table>

*Note. w = rhythmic pattern, x = melody 1, y = melody 2, z = B section melody, tr. = transition*

Figure 6.3. Form chart for Kapustin’s String Quartet No. 1, Op. 88, mvt. 3.
Harmonic Analysis

This movement, like the second, does not show any key signature but is generally centered on C with blues or major qualities. The repeating rhythmic pattern “w” appears most often with the bass note C. Except for the first time that “w” occurs in both A sections, most of the time “w” appears with blue notes, creating a blues tonality. Both the first measure and last chord of the movement, which belong to part of the “w” motives, are in C Major with #11. The last chord of the movement is C Maj13#11, which could also be indicated as D\C in the jazz harmonic notation. The D major triad on top of the C major triad in the last chord creates a special sound for the movement. The B section starts and ends with the “z” melody in A minor.

The “w” shown in Example 6.8 is a motif on a rhythmic pattern. It appears in either four or eight measure units. It often has the unique and irregular divisions of quarter notes shown in the example as 3+2+3+3+3+2=16, creating a total of sixteen quarter notes over four measures. In the “w” motif, when the upper strings provide eighth note subdivisions, the cello often provides the bass notes of the chords or strikes over the chords with accented rhythmic pulses.
The “x” motif first appears in the piece in m. 9 with a pickup for the viola and the cello without the two violins. The viola and the cello play the same melody in octaves. The melody is the same as the first violin line shown in Example 6.9. The melody of “x” consists of many enclosure approaches within the linear chromatic lines. The enclosures are marked in Example 6.9. The last chord in “x” is a Db dominant chord with extended notes, a tri-tone substitution of the G dominant seventh chord. The root of the D-flat dominant seventh chord moves down a half-step back to the tonic C, which is the first note of the “w” rhythmic pattern. Example 6.9 shows m. 25 to m. 32 where the “x” appears in the movement for the second time in the A section. Here, the melody is embellished with other strings playing the chord tones based on the melody, which creates a dense sound reminiscent of a big band saxophone section in soli passages. In this kind of “soli” section, it is important to match the articulations and accents with the lead player, in this case the first violinist. Kapustin uses the “x” melody differently when

it appears later in the movement, such as hiding it in the cello line and later passing the melody to other strings. An example of the hidden “x” melody is shown in Example 6.10 from m. 45 to m. 52.

Ex. 6.9. Kapustin’s String Quartet No. 1, Op. 88, mvt 3, mm. 25-32, “x.”
Example 6.11 shows the first four measures of the “y” motif, in which the complete “y” has eight measures of melody. In this motif, the cello employs pizzicato, providing walking bass lines under the chord progression. Even though it is not notated, it may be possible to add a slight swing feeling to the violin melody due to the nature of the walking bass but the inner string sections should keep the marching rhythm steady.

The “z” motif is in a minor key and it appears three times in the B section with a transition before its last statement. The motif includes irregular meters that create a lyrical and melancholy melody. Both the first and last iteration of “z” are in A minor but the second statement of “z” is in D minor. In contrast to the catchy pulses in the A section, the B section is not rhythmically driving. The A section in this movement starts
and ends with C blues tonality and the B section is in A minor. The “w” and “x” motives appear in the same C major or C blues key consistently in this movement.


**Fourth Movement**

**Form Analysis**

The fourth movement of Kapustin’s String Quartet No. 1, Op. 88 is a double fugue, which means the fugue has two subjects. The two subjects could either enter simultaneously or subject 2 could enter in an exposition of its own. However, in order to be called a double fugue, subjects must be contrapuntally combined at some point. A fugue usually consists of three sections: the first section contains the exposition in which the subject is announced in an imitative fashion in the traditional pattern; the second section contains a freer portion, a development section, which avoids the tonic key; and the third section returns to the subject in the tonic key near the end, which may be

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161 Kennan, *Counterpoint: Based on Eighteenth-Century Practice*, 240.
considered as a recapitulation. These three sections follow the ABA principle. Figure 6.4 shows the general form for the fourth movement.

<table>
<thead>
<tr>
<th>Exposition 1</th>
<th>Exposition 2</th>
<th>Episode</th>
<th>Recapitulation</th>
<th>Coda</th>
</tr>
</thead>
<tbody>
<tr>
<td>m. 1</td>
<td>m. 43</td>
<td>m. 58</td>
<td>m. 186</td>
<td>m. 249</td>
</tr>
<tr>
<td>Subject 1 with answers.</td>
<td>Subject 2 in quarter notes.</td>
<td>The two subjects happen simultaneously at m. 128 to m. 136</td>
<td>Subject 1 starting again on cello.</td>
<td>A faster session repeating subject 1’s motif.</td>
</tr>
</tbody>
</table>

Figure 6.4. Form chart for Kapustin’s String Quartet No. 1, Op. 88, mvt. 4,

This movement starts with subject 1 in its own exposition. The first subject starts on the cello and is followed by the second violin starting a fifth degree higher as an answer. The second exposition, which only contains the second subject, starts in m. 43. The episode starting in m. 58 functions as a transition section with constant modulation and incomplete subject entries.\(^{162}\) The episode begins in F major key and modulates to various keys. Figure 6.5 indicates detailed entrances of subjects, their starting notes, and the scale degrees of the starting note. The two subjects happen simultaneously between m. 128 and m. 136. The recapitulation starts in m. 186 where subject 1 is again played by the cello. The coda starts in m. 249 by repeating the motif of subject 1 in a slightly faster tempo.

\(^{162}\) Ibid., 220-222.
Figure 6.5. Detailed form of Kapustin’s String Quartet No. 1, Op. 88, mvt. 4.
Harmonic Analysis

There is no key signature indicated for this movement but the general tonality is F blues. While the movement is composed as a traditional double fugue, the details within the form show the influence of blues. Subject 1 follows a modified blues form. The generic blues is a twelve-bar form with three four-bar phrases as AA’B. The A section starts on tonic, the A’ section starts on predominant and then proceeds to tonic, and the B section starts on dominant. Kapustin’s subject loosely follows the structure of the twelve-bar blues. Example 6.12 shows subject 1. Measures 1-2 and 3-4 are repeated with slight modification. The first four-bar phrase starts on the tonic F dominant seventh and the next four-bar phrase starts on the predominant B-flat dominant seventh. After two bars in m. 7, the tune returns to the tonic key. Measures 9 and 10 have the G dominant seventh harmony, which is the dominant degree in relation to the upcoming tonic key--the C dominant seventh in m. 11. Even though the subject totals ten measures instead of the standard twelve-bar blues, the harmony loosely follows the blues harmony with four measures in the tonic key, four more measures in the predominant key, and two more measures in the dominant chord of the next section (G7 to CM instead of C7 to original key FM). The last two measures have the function of a cadence resolving back to the local tonic of m. 11.

This movement uses F as the tonic. Although the general key is F major, it implies the F blues scale. Because the second violin enters with the answer in the dominant key of the tonic, m. 11 needs to be C dominant seventh. To imply the blues form, mm. 9-10 have to use a dominant cadence--a G dominant seventh leading to a C dominant seventh. The small numbers in Example 6.12 emphasize some unique notes that
suggest the dominant seventh harmonic function or the blue notes. The traditional fugue form, in which the answer must be in the dominant, interacts with the blues form, in which the harmony is altered at the end to fit the answer’s pitch level. Since the blues was primarily a vocal idiom with the call-and-response feature in its tradition, this process is similar to the fugal subject-and-answer.

Ex. 6.12. Kapustin’s String Quartet No. 1, Op. 88, mvt. 4, mm. 1-11, Subject 1.

In the exposition, after the first voice completes its subject statement, the second voice enters with the answer in the dominant. In this movement, the cello enters with the subject and the second violin enters with the answer in the dominant key. All answers in this movement are real because they are exact transpositions of the subject.

Some jazz elements identified in this subject are sequence, scalar pattern, 3-b9, 7-3 resolution, and enclosure. These elements are identified in Example 6.12. Please refer to Chapter IV for detailed definitions of these elements. In the first subject, two similar patterns occurring at mm. 4-6 and mm. 6-8 may be identified, which Coker defines as a
sequence.\textsuperscript{163} According to Coker’s definition, scalar patterns in mm. 8-10 can be identified digitally as #4-5-4-3-2-1 but they fit into the same G major scale with the alteration of the last note.\textsuperscript{164} The last note of the second pattern is approached with a half-step instead of a whole step. Both the “3-b9” and “7-3 resolution” are named with their specific note degree. The 3-b9 happens in the same dominant seventh chord when a melodic motion moves interchangeably between the third degree and flat-ninth degree.\textsuperscript{165} In jazz, the 7-3 resolution happens in a progression where these two chords connect, most often in harmonic progressions of ii-7 to V7 or V7 to I.\textsuperscript{166} In m. 10, the notes B and A-flat are treated as the 3-b9 note setting in the G dominant seventh harmony. Then across the bar line, the F is treated as the seventh of the G7 chord that moves to E, the third of the C dominant chord in the next measure as a resolution. The final measure includes two enclosures when approaching the note G in m. 10 and the note E in m. 11 with the notes on their upper and lower neighbors.

Subject two, shown in Example 6.13, is unique for its irregular melody. It does not appear to have a set melody; rather, it can be described as a combination of ascending and descending sequences with perfect fourths or perfect fifths passing between different voices.

\textsuperscript{163} Please refer to Chapter IV for the definition of sequence. In classical theory, it may also be referred as varied repetition.

\textsuperscript{164} The definition of scalar pattern is similar to a tonal sequence in classical theory. The example here would be a tonal sequence in G major.

\textsuperscript{165} Coker, \textit{Elements of the Jazz Language for the Developing Improvisor}, 26.

\textsuperscript{166} Ibid., 19.
Many traditional fugal techniques on variations of the subjects are included in the recapitulation section such as stretto, augmentation, diminution, retrograde, and inversion. They were indicated in Figure 6.5. A retrograde of the subject appears in the cello voice at mm. 156-165. The melodic inversion in cello voice happens at mm. 92-101. The augmentation of Subject 1 appears at m. 165 for the two violins while the viola simultaneously plays the same subject in the original rhythm in stretto.

Kapustin starts the recapitulation at m. 186 with the cello playing Subject 1 in its original key. A unique stretto effect, which is created by all four strings playing Subject 1 one beat apart, appears at m. 237, which leads to the coda in m. 249 in a faster tempo. The coda section uses the slightly modified material from Subject 1 with driving rhythms across the string quartet. The movement ends on an F major chord with the sharp ninth (the flat third note from the F blues scale or it could be considered a split-third chord on F) with both A and A-flat. The A-flat blue note closes the piece with a clear demonstration of blues harmony.

In this string quartet, Kapustin expresses various jazz styles in the quartet setting including his experimentation with blues tonality, swing rhythms, dominant chords,
chains of dominant progressions, saxophone soli style, and alternative string techniques.

The next chapter concludes the author’s analyses and performance suggestions for the pieces.
CHAPTER VII

CONCLUSION

Nikolai Kapustin was a master who creatively combined jazz elements with classical musical forms. His sophisticated, yet unique voice was distinct from previous composers who also combined the two styles, e.g., George Gershwin, Maurice Ravel, Władysław Szpilman, etc. It is often debated whether Kapustin’s genre is “crossover,” “fusion,” or “Third Stream”; however, none of these terms truly capture his musical voice. He even revealed in one of the interviews that he disliked the terms “crossover” or “Third Stream.” Kapustin’s music not only fused jazz and classical traditions but he was also able to create fresh new sounds. His distinctive style integrating jazz and blues into traditional forms resulted in a specially crafted sound in his violin sonata and string quartet. His personal involvement in the traditional big bands and strict classical training gave him insightful perspectives on both traditions.

Through his compositional history, Kapustin composed for big band instruments at an early stage in his career and later expanded his compositions for orchestral instruments. His unique voice, which stands on the two foundations of jazz and classical music, remains the same as he composed beyond the piano and big band instruments. His string music remains closely in this style. Analyses in this dissertation examined this

167 Composer’s e-mail to Jonathan Eugene Roberts, Classical Jazz: The Life and Musical Innovations of Nikolai Kapustin, 2.

Kapustin pushed the boundaries of classical traditions. In the violin sonata, Kapustin used various non-traditional harmonies including the pentatonic scale, quartal harmony, bebop scale, and mixolydian tonality. Bearing the harmonies in mind, performers should express different kinds of tensions created by these special harmonies. Non-traditional pulses such as complex bar-line shifts and swing rhythm require communication between the two performers in order to play the rhythms cohesively. The second movement applies the common jazz performance order of presenting a main melody and then repeating choruses with improvisatory solos and tags. Performers may emphasize the main melodic line weaving between the violin and piano in contrast with performing freely at the improvisatory sections.

None of the movements in the String Quartet No.1, Op. 88 indicated key signatures and the piece expanded the possibilities of tonalities. The music includes jazz harmonies, blues harmonies, and guide tone lines. These special harmonies create challenges for intonation. The performers may rehearse chord by chord for adjusting the tuning, which will help with knowing where each note belongs on the scale degree. The cello often plays the root of a chord, and the viola and violins often share the third and seventh scale degrees or other chord extensions. It is also essential for performers to internalize the non-classical traditional harmony and chordal qualities to communicate Kapustin’s harmonic progression and the special tonality to the audience. With motivic development in the second movement, the quartet may shape the developing motives with a sense of direction with crescendo or decrescendo and/or maintain an improvisatory
fantasia style instead. The swing feelings and call-and-response features also require special attention for rhythmic clarity. Understanding traditional fugue variation techniques in the last movement, such as stretto, inversion, augmentation, and diminution, performers should pay special attention to bringing out these varied subjects from the rest of the harmonies in the fugue movement.

Along with formal and harmonic analysis, this research investigated stylistic interpretation appropriate in string techniques in hopes of providing string musicians with suggestions on utilizing proper stylistic interpretation through the understanding of harmonic function and articulation. From understanding harmonic generalization, readers can knowingly express specific jazz languages. In passages of 7-3 resolution and 3-b9, performers may emphasize these specific notes from the harmony to create a sense of tension and release. At times of digital and scalar patterns, a string musician may choose to use similar bowings to group the notes differently according to the patterns in the music. In passages of enclosure, a performer may create a sense of arrival in phrasing from the enclosing notes to the target note. The guide tone line also appears often in the inner sections of the string quartet. The specific examples in the pieces using the techniques above are pointed out in the analyses in the previous chapters. Quartet members should identify the guide tones together and pass the tones with smooth connection. Instead of authentic cadences where the root motion moves a fifth down to the tonic, the tri-tone substitution, where the root moves down a half-step, is used often in jazz and in Kapustin’s music. In light of this, performers may add tension before the
arrival chord. The Nettles’ arrow system used in this analysis clarified the root motion and helped visualize some complex chord progressions.\textsuperscript{168}

This analysis suggested techniques borrowed from tango playing such as chicharra and arrastre. The chicharra technique is helpful for the physical motion required while playing at the frog, which creates harsh attacks on accents not traditional in classical playing. The arrastre technique helps with connecting the off-beat to the next downbeat, which is essential for playing with a steady and legato swing rhythm.

Moreover, string players can also practice saxophone articulation exercises for different kinds of accents within the legato bowing. The saxophone articulation suggested by Niehaus is useful for playing the swing passages because it includes the general guidelines for accents and attacks within the legato swinging rhythm.\textsuperscript{169} Keeping the legato tonguing in mind helps a string player think of a connected and sustained sound despite consistent bow changes. Similar to the legato tonguing technique for wind instruments, the string player can imitate the sound of many separate notes played continuously in one breath by ensuring smooth bow changes on the violin while still maintaining musical shape and phrasing. Saxophone articulation may also be applied to sixteenth note passages if a performer prefers to have a slight swing or layback to it, in which case the performer can portray this by having more bow control and keeping the upbows unusually heavy and weighted while minimalizing separation between the bow changes specifically between upbows to downbows. The large portion of constantly

\textsuperscript{168} Nettles and Graf, \textit{The Chord Scale Theory & Jazz Harmony}, 33-70.
\textsuperscript{169} Niehaus, \textit{Basic Jazz Conception for Saxophone}, iii.
moving fast notes in the first and third movements from Kapustin’s violin sonata would be suitable to applying the legato tonguing technique.

Aside from borrowing techniques from other instruments, listening to some famous jazz violinists could also be of help in learning about the special treatment of legato bow changes and accents. Suggested jazz violinists include Stephane Grappelli, Regina Carter, Jean Luc Ponty, Christian Howes, Billy Contreras, etc. The author’s personal recorded audio also presents ideas of articulation mentioned above. Kapustin inserts sophisticated jazz styles in the strings through careful composition utilizing blues, boogie-woogie, swing, and be-bop. These jazz styles all require extensive listening. Saxophone soli sections and walking-bass features should also be studied while listening to jazz recordings for musical sensitivity and understanding. Although performers are not required to have jazz experience or a jazz background, understanding common norms in jazz performances and the jazz styles Kapustin implemented would help performers in portraying musical variety within the pieces.

The two works of Kapustin could be valuable additions to the string quartet and violin repertoire. His music is a new, accessible musical genre for classical string musicians. The author hopes this dissertation and her own recording of his music can encourage more musicians and audiences to explore his music and to foster further understanding of his string works. The author hopes to promote Kapustin’s string repertoire so his works may receive more public performance and recognition among string players.

\(^{170}\) At the time of writing this dissertation, the author’s album is in the process of release.
BIBLIOGRAPHY

Books


**Dissertations**


**Journals and Periodicals**


Musical Scores


Music Resources


Online Resources


