THE AMALGAMATION OF WESTERN AND EASTERN INFLUENCES IN JULIUS SCHLOSS'S *FIRST CHINESE RHAPSODY*

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The dissertation seeks to rediscover Julius Schloss, a German Jewish composer victimized by the Nazis. Except for the promising start of his career in his early years, Schloss suffered a hard life as an exiled refugee. However, his unusual experiences inspired him to compose two *Chinese Rhapsodies* during his last years of exile in Shanghai, in which he synthesized Western composition techniques and Chinese folk materials, amalgamating influences from both Western and Eastern music cultures. Focusing on Schloss's *First Chinese Rhapsody*, the dissertation explores how Schloss links the new to the old, the West to the East, through an analysis of the way he employs Chinese folk song material and serial polyphonic voice-leading in his post-tonal musical language. Since the Rhapsody has both serial and polyphonic voice-leading aspects, both are analyzed, showing how they are integrated in the form.

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CHAPTER 1

INTRODUCTION

Historical Background

In the first half of the twentieth century, the lives of Jewish people in Austria and Germany became increasingly difficult through the rise of the Nazi Party, and the takeover of Austria in 1938. War, displacement, persecution, and prejudice during this horrible time destroyed the careers of a significant number of Jewish musicians. The German Jewish composer Julius Schloss (1902–1973) was one of the victims, whose name should be listed among the most neglected of twentieth-century composers, and whose works are awaiting rediscovery.

Probably only in academic circles people may recall that Schloss was a student, colleague, and friend of Alban Berg (1885-1935). Indeed, Berg highly appreciated Schloss, relied on him to assist with editing the scores of *Wozzeck*, *Der Wein*, and the *Lulu Suite*, and had him oversee the editorial work of the *Lyric Suite* for string quartet.¹

The early years of Schloss's career were promising. Before moving to Vienna, Schloss studied at Dr. Hoch's Konservatorium in Frankfurt am Main with Bernhard Sekles (1872–1934).² During the time Schloss studied with Berg, from 1925 to 1928, he also enrolled at the Wiener Universität in musicology and attended the conducting course with Rudolf Nilius (1883-1962) at the Neues Wiener Konservatorium. Some of his significant works composed during his Vienna period displayed great ability, including the first five

¹ Karl Steiner, "Julius Schloss," Österreichische Musik Zeitschrift 12 (1988): 677.

² Bernhard Sekles was also a teacher of Paul Hindemith.

pieces in the *Impressions for Piano* (1926), Four Songs for Soprano and Piano (1927), first String Quartet (1927), a Sonata for Piano (1928–29), and a Requiem for chorus and percussion (1932), for which he won the Emil-Hertzka Gedächtnis prize in 1933. A series of performances of his works was initiated around 1930, mostly as part of the IGNM Festival: the first String Quartet in 1929 in Geneva and Duisburg; the Four Songs for Soprano and Piano in 1931 in The Netherlands; his Piano Sonata, in 1932 in Vienna and 1933 in Strasbourg.³

But not for long.... Schloss's Jewish identity put him into danger after Hitler came to power. When he returned to Germany in 1933, he had no other choice than to leave his country. By the time he fled Hitler's Germany, all other countries had closed their doors to Jewish refugees and Shanghai was the last "free city" in the world that would accept Jews without a visa.⁴ After being detained for five weeks in the Dachau concentration camp, Schloss finally emigrated through Genoa to Shanghai in April 1939. He lived there until 1948, struggling for many years as a bar musician before he succeeded Wolfgang Fraenkel (1897-1983) as professor of composition at the National Conservatory of Music in 1947.⁵ During his teaching, he could engage himself with composition again after a twelve-year break.⁶ His main output at this time was the two *Chinese Rhapsodies* for violin and orchestra.⁷

³ Harmut Krones, "Julius Schloß," in *Lexikon verfolgter Musiker und Musikerinnen der NS-Zeit*, hrsg. von Claudia Maurer Zenck, Peter Petersen, & Sophie Fetthauer (Hamburg: Universität Hamburg, 2014), <u>https://www.lexm.uni-hamburg.de/object/lexm_lexmperson_00003503</u>; accessed March 1, 2021.

⁴ Aileen Jacobson, "The Secret History of the Jews From Shanghai," *New York Times*, April 25, 2019, <u>https://www.nytimes.com/2019/04/25/nyregion/jewish-refugees-shanghai.html</u>; accessed March 1, 2021.

⁵ The National Conservatory of Music was renamed the Shanghai Conservatory of Music in 1956.

⁶ After Schloss finished the second String Quartet, he stopped composing from 1935 to 1947.

⁷ Steiner, "Julius Schloss," 677.

Schloss had to leave Shanghai in 1948, once more because of a political situation. He moved to the US, became a citizen in 1954, and died in 1972 in Belleville, NJ. Although he was unable to secure another professional position as a musician in the US, he continued composing after another ten-year break (1948–58). These works were, however, mostly exercises for children, a-little recognized genre at that time.⁸

While Schloss lived in Shanghai, the situation in the city was complex. In the early 1930s, Shanghai was a metropolis once called the Paris of the East, and the foreign concessions facilitated the fast development of the economy and modern industry. After Japanese invaders captured the city in 1937, it became increasingly under threat. At first, the area of foreign concessions became a "Solitary Island" that remained unaffected, providing shelter for about 17,000 European refugees from the second half of 1938 to 1941.⁹ However, the Jews were removed and restricted to the Shanghai Ghetto in late 1941 after the Japanese occupation of the foreign concessions. The living conditions in the Ghetto were bad: within an area of one square mile in the Hongkew district, Jews and about 100,000 Chinese lived side by side.¹⁰ Aileen Jacobson, the daughter of Shanghai Jewish refugees, described how her parents were parts of a community of "some 18,000 European Jews who learned to live in barracks or crowded rooms, used chamber pots, sometimes ate only one hot meal a day from a communal kitchen and walked teeming streets filled with hawkers by day and, in the early

⁸ Krones. "Julius Schloß."

⁹ Buceng Xu, "Jewish Musicians in Shanghai," Art of Music (Journal of the Shanghai Conservatory of Music) 3 (1991), 40–41.

¹⁰ Freya (Qingyang) Zhou, "The Influences of the Central European Jewish Refugees on the Chinese Community in Shanghai During World War II," *Kedma: Penn's Journal on Jewish Thought, Jewish Culture, and Israel* 2, no. 2 (2018): 6–19.

hours, trucks picking up corpses."¹¹ Despite the cruel living conditions, the Jews' social life remained vital: "they also had schools, cultural institutions and a thriving social life, complete with Viennese cafes...."¹² Art and music played an important role in the refugees' cultural life to help their spirits flourish. The Artist Club, renamed the European Jewish Artist Society (EJAS) in 1940, hosted a large number of theater and music performances.¹³ Jewish musicians never ceased to make music in exile, and made substantial contributions to the musical scene in Shanghai. Among them, Schloss and two other émigré musicians, Karl Steiner (1912-2001) and Wolfgang Fraenkel, were prominent representatives of Western musical Modernism. Their teaching and performances cultivated the early Chinese musical modernism in 1940s.¹⁴ At the same time, these Western musicians were also influenced by Chinese culture and art. Although not favored by fate, Schloss's émigré period provided diverse elements for his compositions: the ten-year Shanghai experience was condensed in his two *Chinese Rhapsodies*.

Purpose of the Study

Schloss belongs to the so-called "Second Generation" of the Second Viennese School, and was an ardent advocate of the twelve-tone system. On the one hand, he was greatly influenced by Arnold Schoenberg (1874-1951) and Berg; on the other hand, however, his experiences in China inspired him to incorporate different, Chinese elements into his music.

¹¹ Jacobson, "Secret History."

¹² Ibid.

¹³ Steve Hochstadt and Irene Eber, ed., "Jewish Refugees in Shanghai 1933–1947: A Selection of Documents," *Archive of Jewish History and Culture* 3 (2018): 551.

¹⁴ Christian Utz, "Cultural Accommodation and Exchange in the Refugee Experience: A German-Jewish Musician in Shanghai," *Ethnomusicology Forum* 13 (2004): 120.

In the *Chinese Rhapsodies*, he synthesized Western compositional techniques with Chinese folk materials.

The aim of this study is to rediscover this neglected composer and analyze his music. Focusing on his *First Chinese Rhapsody*, it explores how Schloss links the new to the old, and the West to the East, through an analysis of the way he employs Chinese folk song material and serial polyphonic voice-leading in his post-tonal musical language. Chapter 2 analyzes the serial structure as well as the voice-leading of the music, integrating these two dimensions into a discussion of the form.

Significance and State of Research

The study of Schloss's compositions necessarily encompasses both their historical and their theoretical significance. Schloss's experiences are representative of that of many émigré Jewish musicians in China during World War II, and their interaction with Asian culture. The *Chinese Rhapsodies* epitomize Schloss's synthesis of Western and Eastern cultures in Shanghai. In the *First Chinese Rhapsody*, he not only employs serialism, through which he integrates motivic details of selected Chinese folk songs into his language, but also employs the Western polyphonic voice-leading of his post-tonal musical language. Schloss was trying to bridge traditional Chinese folk melody with serial post-tonal voice-leading. His way of bringing together the different elements and creating a modern synthesis is an important and interesting development of considerable significance for music history. Even now people are trying to achieve a cross-cultural synthesis of Western polyphonic concepts with Eastern traditional music in new ways. The *Rhapsody* not only allows us to explore his unique musical language, but also provides an important historical example of the cross-cultural

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concept in music, which may inspire musicians today to further amalgamate diverse and often colliding influences.

Little research has been done on Schloss's music. Timothy L. Jackson analyzes Schloss's early song, "Am Himmel steht der erste Stern" (1924), to illustrate how Schloss used a set of motivic ideas as musical building blocks to project the linear-contrapuntal structure.¹⁵ He believes Schloss's song reveals certain features of Berg's post-tonal musical language on a smaller scale. Jackson points out the emphasis placed on traditional tonal harmony and counterpoint in the pedagogy of Schoenberg's School. The evidence for this can be found in the extensive counterpoint exercises Schloss undertook during his studies with Berg.¹⁶ Jackson further states that in a post-tonal language, these elements are still operative because the music "maintain[s] an emphasis on voice-leading, or goal-directed linear motion, as a means of creating structure, continuity and unity."

Schloss's name is mentioned in some articles about Berg, and other articles offer biographical information. The only article written in Chinese about Schloss is by Tong Sang (1923-2011), a president of the Shanghai Conservatory of Music. He was a student in Schloss's composition class when Schloss was teaching at the conservatory. Sang recalls that Schloss introduced him to Berg's opera *Wozzeck* and analyzed its orchestration, which greatly impressed him. The first generation of Chinese musical modernist composers like Sang were obviously profoundly influenced by German- and Austrian-trained teachers such as Julius Schloss and Paul Hindemith. On the other hand, the Chinese students also inspired

¹⁵ Timothy L. Jackson, "A True and Genuine Music': Berg's Linear Counterpoint" (2004), unpublished manuscript, courtesy of the author.

¹⁶ See Julius Schloss Collection, Marvin Duchow Music Library, Schulich School of Music, McGill University, Montréal, Québec, Finding Aid, 2.

their foreign teachers: Sang mentions that Schloss was very interested in a piano piece that he composed in his class, based on a theme from the Chinese folk song "In a Place Far Away" set with atonal harmonies. Schloss then composed a piece for solo violin and orchestra using another Chinese folk song, "The Little Path," as the theme, and he gave a copy of the solo part of a piece for violin and orchestra to Sang¹⁷—the *First Chinese Rhapsody*.¹⁸

Two people connected with Schloss are his student Givane Tchen (1928-), and one of his colleagues at the conservatory Shiao-Ling Tam (1912-1948), who was the head of the composition department at that time. Tchen is mentioned in Sang's article, as Sang's composition "Night Scene" and "In a Place Far Away" were premiered by Schloss in a concert sponsored by the United States Information Service in Shanghai, in which Tchen also performed her own compositions. Sang briefly mentioned that "Givane Tchen is now in France, believing in Taolism, she had once run for president of France."¹⁹ According to the biography on Tchen's own website, she left for Hong-kong in 1949 (around the same time that Schloss left Shanghai), and moved to France in 1951. Some of her later compositions in Paris are available on the website, but I am interested in finding her earlier music, written under Schloss's supervision and performed in Shanghai, which might reveal some further clues concerning Schloss's Chinese Rhapsodies, as Tchen was a fervent promoter of Chinese traditional culture.²⁰

¹⁷ Tong Sang, "In Memory of Fraenkel and Schloss," *Art of Music* (Journal of the Shanghai Conservatory of Music), no. 1 (1990): 10–15.

¹⁸ It is reasonable to assume that Sang new little of this piece and had no idea of Schloss's second *Chinese Rhapsody*, since he left Shanghai in 1948, when Schloss was still working on the *Rhapsodies*, and after he came back, Schloss had already left for the US.

¹⁹ Sang, "In Memory of Fraenkel and Schloss."

²⁰ See Givane Tchen's website at <u>http://www.tchen-gi-vane.com/index.html</u>.

Schloss preserved the newspaper article with the news of Tam's death in 1948, documenting his distress at the loss of this colleague.²¹ Tam was a student of Paul Hindemith (1895-1963), and he made an arrangement of the Chinese folk song "Little Path," which is one of the folk song themes Schloss's *First Rhapsody* is based on.²²

Schloss's long-time friend Karl Steiner probably knew his compositions best. They met in Shanghai, where Steiner sought to promote works by composers of the Second Viennese School. Most of Schloss's piano works were premiered by Steiner. Steiner wrote a memorial article in which he presents an account of Schloss's life, and mentions that the two *Chinese Rhapsodies* were composed during Schloss's last year of residence in Shanghai.²³

McGill University in Montreal, Canada purchased the Julius Schloss Nachlass (Bequest) in 1972 in an arrangement with Steiner, and it is now archived in the Marvin Duchow Music Library of the University. The collection provides a complete overview of Schloss's output, including his published and unpublished compositions, sketches, newspapers, concert programs, and media reviews. These historical documents cover all three periods of Schloss's life experience: the early period in Vienna, his ten-year exile in Shanghai, and finally his late years in United States. The scores, manuscripts, and miscellaneous documents in the collection provide the primary sources for the present study.

There can be no doubt that Schloss was a capable composer, although his compositional output was small. A study of his music sheds new on light on the later

²¹ The newspaper is archived in Julius Schloss Collection in Marvin Duchow Music Library at McGill University. (S5.1_F10_SC344.6)

²² Zhibai Shen, "Biographical Sketch of Mr. Shiao-Ling Tam," *Art of Music* (Journal of the Shanghai Conservatory of Music), no. 3 (1980): 6-7.

²³ Steiner, "Julius Schloss."

development of the Second Viennese School, and of particular interest are his *Chinese Rhapsodies*, which, as noted above, provide an early example of West-East cross-culture synthesis. Nothing has been written about his *Chinese Rhapsodies* until now. The present study seeks to fill this lacuna.

Method of Analysis

Since Schloss's *First Chinese Rhapsody* features both serial and polyphonic voiceleading, the methodology employs in the present study combines serial analysis with voiceleading analysis. Chapter 2 first presents the folk songs upon which the work is based, and their relationship with the tone row that Schloss constructed. Then it analyzes the way Schloss organizes the pitches derived from the row forms, especially his way of manipulating the row forms to produce certain linear progressions. From the voice-leading perspective, it employs a linear analytical approach, to demonstrate how the linear progressions function in the work as a whole. As Jackson has observed, music logic as realized through voice-leading, i.e., linear progressions, is never abandoned but modified in post-tonal compositions.²⁴ Based on Schenkerian analytical concepts, Jackson and his teacher Edward Laufer have developed linear approaches to elucidate the complex multi-linear textures in post-tonal works.²⁵

²⁴ Timothy Jackson, "Elucidations of Post-Tonal Free Composition," *Journal of Schenkerian Studies* 10 (2017):
23.

²⁵ See Jackson, "A True and Genuine Music."

CHAPTER 2

ANALYSIS OF FIRST CHINESE RHAPSODY

Chinese Folk Song Themes

The "Folk Songs and Original Songs" Concert in Shanghai in 1947 might have provided an important impetus for Schloss's idea of writing something on Chinese folk songs. The reason for my hypothesis is the concert program archived in the Julius Schloss Collection. The two-part concert was performed by all the teachers and students in the Theory Department in the National Conservatory of Music. The first half of the concert included eight of their original songs; the second half presented ten Chinese folk songs with arrangements (Fig. 1). Schloss obviously took great interest in the concert, as he took careful notes on his personal copy of the program.

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Figure 1: The Program of the 1947 Concert archived in the Julius Schloss Collection (S6.1_F52_SC350.3_2 of 2) (reproduced with the permission of the Marvin Duchow Music Library at McGill University)

The purpose of the concert is stated on the page headed "Our Words" (see Fig. 2; all

translations from the Chinese are my own):

When we learned from the practice of composing that the Western traditional compositional techniques that we have learned over the past few years can no longer represent the current life in China, we felt hesitant and depressed.... In addition to adopting good traditions, we also want to learn from modern theoretical systems such as Schoenberg and Hindemith; we will surely assimilate good things from our folk songs, local drama, and Kunqu opera as well. However, our job is arduous: there are inevitably many mistakes in our approach. But anyway, we eventually took a step away from Western traditional harmony (I IV V)....

... Folk songs embody a vivid musical language. We tried different approaches contemporary, contrapuntal, and pentatonic styles—to arrange an accompaniment to the folk songs.... [I] believe that this kind of attempt is directly helpful to the establishment of a national form of music. [I] remember that a famous British composer once said: "If a country passively accepts music and is satisfied, then it cannot have a real artistic life." So the composer must love the tunes of his own country and make them an indispensable part of himself.... Only folk songs sincerely and honestly reflect the people's lives, thoughts, loves and hates, and only based on them [could we use] the language of music to reveal the mystery of our national spirit....



Figure 2: The page of "Our Words" in the program (S6.1_F52_SC350.3_2 of 2) (reproduced with the permission of the Marvin Duchow Music Library at McGill University).

It was Schloss, and other Western musical modernists, who inspired Chinese musicians to break through the limitations of the traditional Western music system and think about how to establish a Chinese modern music. In turn, Schloss apparently identified with a path of cross-cultural synthesis in the composition, which enabled him to amalgamate different influences both from his early training in Europe and later experience in exile.

The two folk songs Schloss chose for the *First Chinese Rhapsody* were sung in the concert.²⁶ It might be that after the concert Schloss went to find the scores of the songs in the Chinese folksong anthology *The Flowers Will Not Bloom without the Rain* (see Fig. 3) The anthology includes 45 folk songs collected from different regions in China. The two songs Schloss selected are from Suiyuan province: "[We] Meet Every Day but [I] Cannot Marry You" and "Do not Take the Road in Front of the House" (see Ex. 1).



Figure 3: Cover of *The Flowers Will Not Bloom without the Rain* (S2.5_F19_SC233.1) (reproduced with the permission of the Marvin Duchow Music Library at McGill University)

²⁶ The fifth and sixth works in the second half of the concert.

Example 1: Two Chinese Folk Songs in *The Flowers Will Not Bloom without the Rain* (reproduced with the permission of the Marvin Duchow Music Library at McGill University)

D ien tien zien mihen また Andante 3 2 32 56 5. 3 2 굿 招 韵 きま Т 天 32 5.6 팃 面 石 姑妹 心裡 难

天天见面成不了亲 [We] Meet Every Day but [I] Cannot Marry You

天天刮风呀,天天下, [It is] Windy every day, raining every day,

天天见面呀,说不上一句话。 [We] Meet every day, but [I] cannot speak one word.

天天下雨呀,天天晴, [It is] Raining every day, sunny every day,

天天见面呀,成不了亲。 [We] Meet every day, but [I] cannot marry you.

天天刮风呀,天知道, [It is] Windy every day, god knows,

小妹妹心里难受,谁知道? I feel sad, who knows?

房前的大路你莫走 Do not Take the Road in Front of the House

房前的大路, 哎, 亲亲你莫走, Do not take the road in front of the house,

房后边走下,哎,亲亲一条小路。Walk on the little path behind the house.

The first song tells a sad story, expressing a girl's sorrow and frustration because of being unable to marry the one she loves. In the second song, a girl asks her lover to take the little path instead of the big road to get to her house, implying that their relationship must be kept secret. It is intriguing that Schloss chose these two love songs as themes, reminding us of Berg's secret love affair hidden in his *Lyric Suite*. It is uncertain whether Schloss also concealed an amorous narrative in the *Rhapsody*; however, the heavy mood conveyed through the recurring rhythmic figures and chromatic sonorities certainly evokes the melancholy ethos of the songs.

Serial Analysis

Schloss made transcriptions of the two Chinese folk songs in Western music notation.

(see Ex. 2).

Example 2: Schloss's transcription of the two folk songs (reproduced with the permission of the Marvin Duchow Music Library at McGill University)



Based on these two folk songs, Schloss constructed a tone row in an ingenious way. The tone row encompasses the intervals that appear in the songs, placing special emphasis on the characteristic intervals of both songs: the major second, the perfect fourth, and the perfect fifth. The row consists of three well-designed parts. (1) Its first five pitch classes form a pentatonic scale, A–B–C#–E–F#, and its inversion is A–G–C–D–F, which derives its pitches from the initial measure of the first folk song. (2) The consecutive three pitch classes C–G–D form pitch-class set [027], and this trichord, composed of perfect fourth and fifth intervals,

serves as a crucial motivic element in the piece. (3) The last four pitch classes, F-Ab-Eb-Bb, form pitch-class set [0257], which is equivalent to the pitch-class set formed by the initial four pitch classes A-B-F#-E, which also contain the trichord element [027] among them. (see Ex. 3).

Example 3: The primary row of *First Chinese Rhapsody* and its inversion (reproduced with the permission of the Marvin Duchow Music Library at McGill University)



Schloss does not, however, primarily employ the row as a linear thematic element; his way of deriving the pitches in the *Rhapsody* from the row is quite complicated. Most of the time, he generates the voice-leading from the row by partitioning it among different contrapuntal voices in order to extract certain motivic ideas that are not explicit in its adjacencies. In other words, instead of using many adjacent pitches in a row, he is constantly cutting up the row forms in different ways to produce the linear progressions he requires to achieve the desired voice-leading.

Taking the beginning of the *Rhapsody* as an example, Schloss partitions P0 among the voices to realize the motivic elements he wants to project in the first four measures. The solo violin states order positions 1 and 7 (A–G), and this two-pitch segment or dyad with a syncopated rhythm, derived from the beginning of the first folk song, recurs constantly throughout the piece. Order positions 3 and 5 (F#–C#) appear in the timpani, while the

contrabass presents order positions 2 and 4 (B–E). These partitioned pitches form the intervals of the perfect fifth and fourth, which are the most characteristic pitch relationships in Chinese folk songs. The perfect fourth and fifth motivic ostinatos are projected by both the timpani and the contrabass, which contrast with the solo violin's annunciation of a tritone. Consisting of order positions 8 and 10 (D–Ab), the tritone is another important motivic figure in the work. (see Ex. 4).





This kind of partitioning becomes the norm in Schoenberg and Berg's later compositions. Providing examples from Schoenberg's mature works such as a selection from the Concerto for Violin, Op. 36, Ethan Haimo observes that "the association of pitch classes, not so associated in the referential set, can present fruitful avenues for development."²⁷

²⁷ Ethan Haimo, *Schoenberg's Serial Odyssey: The Evolution of his Twelve-Tone Method*, *1914–1928* (Oxford: Oxford University Press, 1993), 18–19.

Haimo's observation is applicable to the *Rhapsody*, as the motivic ideas presented in the beginning serve as the basic building blocks for later development. Through partitioning the row forms in different ways, Schloss is able to construct the musical surface out of these motives. For example, in the second half of m. 4, the perfect fourth and fifth motivic ostinatos remain in the lower two voices, although the contrabass descends a half step lower, from B–E to Eb–Bb, presenting order positions 11 and 12 in the row. Since the prolonged C in the cello and the tritone motive in the solo violin take order positions 6, 8, and 10, the pitch classes of order positions 1, 2, 3,4, 5, 7, and 9 are left in the aggregate. These remaining pitch classes allow Schloss to add in two other voices: an oboe part and two trombones. While the trombones take order positions 7 and 9 (G–F) and 3 and 4 (F#–E) to emphasize the syncopated two-pitch segment derived from m. 3 in an interval of a major ninth, the oboe uses the remaining pitch classes A–B–C#–D (order positions 1, 2, 5, and 8) to form an ascending linear progression against the trombones.

In many cases, Schloss partitions row forms into combinations of vertical chords and horizontal lines. The most salient example is in the cadenza part (mm. 118–47), where the top voice rarely presents lines of adjacent pitch classes from the referential sets, although the order precedence of the sets is preserved through the combined employment of simultaneities and adjacencies. An example from the initial two measures in the cadenza is given in Ex. 5. These two measures present two sets, P3 and I3. The P3 statement starts with a linear presentation of its order positions 1 and 2 (C and D), then the trichord D–A–G struck on the second beat of m. 118 contains order positions 2 and 4 of the set, followed by the linear presentation of order positions 5 and 6 (E and Eb). The vertical trichord F–B–A appears

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immediately after the linear segment on the last beat of the measure, spanning order positions 8–10. The last three pitch classes, F#, C#, and B (order positions 10–12), are presented vertically on the first beat of the next measure. Similarly, the following statement of I3 contains linear segments of order positions 1–2 (C–Bb), 4–5 (F–Ab), and 8–10 (G–E–C#), alternating with vertical components of order positions 2 and 3 (Bb–Eb), 5 and 6 (A–Ab), 7 and 8 (D–G), and 11 and 12 (F#– B).

Example 5: Schloss, *First Chinese Rhapsody*, mm. 118–119 (reproduced with the permission of the Marvin Duchow Music Library at McGill University)



Schloss employs different row forms often in conjunction with formal sections, musical phrases, and the hypermetrical organization. Table 1 demonstrates the subtle interactions between the row forms and the hypermeter in the form. Since the places where changes of row forms occur may not coincide with the hypermeter, but are often in close proximity, the two columns of "row forms" are shown in the table in comparison, the first column is the row form(s) being aligned with every hypermetric grouping, and in the second column, the development process of the row forms with measure numbers is traced. The delineation of the formal sections is based on the motivic and thematic content, and often related to other parameters such as hypermetrical organization, musical phrase, tempo, and dynamic markings.²⁸

²⁸ Jackson, "A True and Genuine Music."

Larger Formal	Smaller Formal	Human maasuras	Row Forms	Row Forms (with measure
Sections	Parts	nyper-measures	(align with hypermeasures)	numbers)
	Intro	1-4, 5-8,	P0, P0,	P0 (1–9),
	(mm. 1–13)	9–11, 12–13	P0+P7, P7	P7 (10–13)
	Exposition	14–19,	P7+I7+P0+P3+I3,	P7+I7 (14–16), P0+P3 (17),
	(mm. 14–31)	20–22,	P7+I7,	P7+I3 (18),
		23–24,	P0+P3+P7+R7+I3,	P7 (19),
		25–28,	I0+P7+P0+P3,	P7+I7 (20–22),
Section I		29–31	P0+I0+P7+P1+P3	P0+P3+I3(23),
(mm. 1–31)				P7+R7+I3 (24),
				P0+I0 (25),
				I0+P7 (26), P0+P3 (27),
				P3+P7 (28),
				P0+I0 (29),
				I0+P7+P1 (30),
				P0+P3+P1 (31)
	Part 1	32–35,	Р0,	P0 (32–38), I0+I5 (39–49),
	(mm. 32–55)	36–38,	Р0,	I7+I8 (50), RI7+I8+I9+I10 (51),
		39–42,	10+15, 10+15,	RI7+RI8+RI9+RI10 (52–55)
		43–44,	I0+I5,	
Section II		45–49	I7+I8+I9+I10+	
(mm. 32–88)		50-55	RI7+RI8+RI9+RI10	
	Part 2	56–58, 59,	P2+I9+R4, I9+R4,	P2 (56), I9+R4 (57), P2 (58),
	(mm. 56–88)	60-64, 65-67, 68-69, 70-	R4+P4, P4,	I9+R4 (59), R4 (60), P4+R4 (61),
		76, 77, 78–80, 81–82, 83–	12, 12,	P4 (62–63), P4+R4 (64),
		84, 85–87	I2, I1+I4,	P4 (65–67),

Table 1: Schloss, *First Chinese Rhapsody*, row forms in conjunction with hypermeter

Larger Formal	Smaller Formal		Row Forms	Row Forms (with measure
Sections	Parts	nyper-measures	(align with hypermeasures)	numbers)
			RI1+I4, I3,	I2 (68–77),
			I3+R3	I1+I4 (78–79),
				I1+RI4 (80),
				RI1 (81), I4 (82), I3 (83–86),
				R3 (87)
	Variant Intro	88–92, 93,	R3, R3,	R3 (88–99)
	(mm. 88–99)	94–98, 99	R3, R3	
	Restate-ment of	100–105,	P7+I7+P0+P3+I3,	P7+I7 (14–16), P0+P3 (17),
	Exposition	106–108,	P7+I7,	P7+I3 (18),
	(mm. 100–17)	109–110,	P0+P3+P7+R7+I3,	P7 (19),
		111–114,	I0+P7+P0+P3,	P7+I7 (20–22),
		115–117	P0+I0+P7+P1+P3	P0+P3+I3 (23),
				P7+R7+I3 (24),
				P0+I0 (25),
Section III				I0+P7 (26), P0+P3 (27),
(mm. 88–157)				P3+P7 (28),
				P0+I0 (29),
				I0+P7+P1 (30),
				P0+P3+P1 (31)
	Cadenza	118–121,	P3+I3,	P3 (118),
	(mm. 118–48)	122–126,	RI3+R3,	P3+I3 (119),
		127–130,	RI3,	P3 (120),
		131–132,	RI3+R3,	I3 (121),
		133–134,	R3,	RI3 (122),
		135–139,	R3+I5,	I3 (123–26),

Larger Formal	Smaller Formal	Hyper-measures	Row Forms	Row Forms (with measure
Sections	Parts		(align with hypermeasures)	numbers)
		140–143,	15,	RI3 (127–31),
		144–147	15	R3 (132–36),
				I5 (137–47)
	Coda	148,	17,	I7 (148–49),
	(mm. 148–57)	149–154,	I7+I8+I9+I3+RI7+RI8+RI9+RI3	I7+I8+I9+I3 (150),
		155–157	I0+I10	I8+I9+I3+RI7+RI8+RI9+RI3
				(151–54),
				I10+I10 (155–57)

Three larger formal sections are clearly defined (mm. 1–31, 32–87, and 88–157), as the opening materials are recomposed in the middle section at m. 32 to start the development and in the last part at m. 88 to announce the return section. Meanwhile, the row form P0 in the opening returns at m. 32, and since the content in mm. 100–117 is merely a repetition of mm. 14–31, it is unsurprising that both places have common row forms. The first larger formal section consists of an introduction (mm. 1–13) and exposition (mm. 14–31). Two smaller parts comprise the middle section (mm. 32–55 and 56–87). And the return section includes the variant of the introduction (mm. 88–99), the restatement of the exposition (mm. 100–117), a cadenza (mm. 118–147), and the coda (mm. 148–157).

Voice-Leading Analysis

In his book Theory of Harmony, Schoenberg states:

For it is apparent, and will probably become increasingly clear, that we are turning to a new epoch of polyphonic style, and as in the earlier epochs, harmonies will be a product of the voice leading: justified solely by the melodic lines.²⁹

Indeed, in the compositions of Schoenberg, Berg, and Webern, evidence of the influence of Bach's contrapuntal thinking on them is apparent.³⁰ Jackson posits that "linear principles bridge the gap between tonal and post-tonal musical languages."³¹ He explains "it is possible, even absent a tonal framework, to perceive in many post-tonal works an underlying linear-contrapuntal structure and to hear and understand certain pitches and sonorities in a post-

²⁹ Arnold Schoenberg, *Theory of Harmony*, trans. Roy E. Carter (Berkeley: University of California Press, 1978), 389.

 $^{^{30}}$ In "Elucidations of Post-Tonal Free Composition," Jackson discusses Webern's Five Canons, Op. 16, in which Webern "seems to acknowledge his own debt to Bach's contrapuntal ethos through a reference to the B-A-C-H cryptogram."

³¹ Jackson, "Elucidations."

tonal work as structuring elements in conjunction with interrelated, linear, goal-directed virtual voices."³²

The twentieth-century composers mentioned above, in Laufer's words, are "masters whose inner hearing we can believe in."³³ Schloss certainly inherited the virtuoso inner hearing of his predecessors, proof being found in the *First Chinese Rhapsody*. In this section, I interpret the underlying linear-contrapuntal structure in the *Rhapsody* by means of a linear analysis.

The voices tend to move slowly in this work, allowing the analyst to follow the voiceleading more easily; and one of the most helpful aspects for tracing the voice-leading is Schloss's extensive use of long pedal points. The F# in the timpani part at the opening remains prominent throughout the piece, generally recurring in places of structural importance, so that it is reasonable to read F# as the main bass note (MBN). As shown in Ex. 6, the initial F# is persistently repeated in a triplet ostinato until the first beat of the "exposition" section in m. 14, where it denotes the arrival point of a new section. Notice that it is emphasized by a one-measure trill that displaces the triplet figure in the measure before (m. 13). In m. 32, F# again marks the beginning of the development section, being presented in the timpani ostinato as well as doubled by the cello part. In m. 56, where the second part of the development section starts, F# returns in the bassoon and contrabass. And it undoubtedly appears at the start point of the "return" part in m. 88. Last but not least, the timpani ostinato figure comes back and closes on F# at the end (m. 156).

³² Jackson, "A True and Genuine Music."

³³ Edward Laufer, "An Approach to Linear Analysis of Some Early 20th-Century Compositions," paper presented at the Fourth International Conference on Music Theory, Estonian Academy of Music, April 3–5, 2003.



Example 6: Schloss, *First Chinese Rhapsody*, mm. 1–19 (part 1)





Example 7: Schloss, First Chinese Rhapsody, mm. 32, 56, 88, and 156



Although F# is unequivocally projected in the work as the main bass note, B[§] functions as the fundamental pitch in the top part, or main top note (MTN). Along with F#, B[§] presents itself at every structurally important point (see Exx. 6 and 7). However, throughout the work, Schloss employs large-scale voice exchanges to switch these pedal points between lower and upper voices; as a result, the B[§] pedal can be shifted to the bass, and the F# pedal also appears in the top voice in some cases. As may be seen in Ex. 6, the

initial B^{ϕ} does not show up in the top voice until m. 6, where it indicates a new hypermetrical grouping in m. 9 by means of a longer duration (notice that B^{$\phi}$ is sustained for the whole measure). Compared with the preceding measures, the attainment of this long B unambiguously emphasizes it as a salient pitch. But only in m. 14 does B confirm its fundamental role in the top voice, where it returns as the starting point of the first statement of the folk-song theme in the violin, and it is also the local arrival point for an ascending linear progression spanning a tritone E– A#, over the course of mm. 12–13, whereby A# functions as a lower neighbor to B. Meanwhile, F# in the bass voice in m. 14 is shifted to the solo violin in m. 15, leaving space for the main pedal point F at this moment and projecting a contradiction between F# in the top voice and F^{$\phi}$ in the bass (all of these analytical observations may be confirmed in Ex. 6).</sup></sup>

Therefore, the main outer-voice interval prolonged throughout the *Rhapsody* is a perfect fourth: F# in the bass with B in the top voice. Recall that the perfect fourth is a motivic feature in the folk songs and therefore becomes one of the most important motivic ideas in the *Rhapsody*. Within the largest scale F#–B frame, another motivic idea related to the perfect fourth is the fifth G–D. G and D function as focal pitches in the folk songs, and also are projected as large-scale pedal points throughout the *Rhapsody*. As we may see in Ex. 6, G and D are prominent from the beginning of the solo violin part. The first pitch A in m. 2 serves as an upper neighbor to the G in m. 3, and the D pedal point enters in m. 4 in the three-octave high register, returning through an ascending figure A–B–C#–D in the horn part. The G and D pedal points projected here at the beginning prepare G and D in the Chinese folk song theme quoted in m. 14 in the horn part, and the horn is in canon with the violin solo

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following at a distance of two beats. Since the folk-song theme in the horn begins on the pitch D and ends on the pitch G, these emphases create the sense of D as ^5 and G as ^1, as these scale degrees might occur in a tonal melody in G major. In addition, if we keep in mind the B prolonged in the background, a G-major triad is projected.

It would, however, be highly misleading to say that this music is *in* G major; the fact is that other tones that create dissonances with G, B, and D are simultaneously prolonged. Just take mm. 14–19 (corresponding to the first phrase of the folk-song theme) as an example. The trichord figure Eb-Bb-F comes from pitch-class set [027], which was discussed in the previous serial analysis as a prominent component in the row. In the present case, this trichordal figure repeats throughout and creates three pedal points persisting simultaneously in the bass, colliding with the quasi-G-major-triad sonority above; furthermore, we should not forget that F# is prolonged against Fth in the background as well. Thus, the composite sonority is by no means a simple tonal triad; rather, the post-tonal sonority contains the G-major triad as a component or subset. Schloss employs a similar approach in his early song "Am Himmel steht der erste Stern," of which Jackson states that the musical language does not break with tonality completely, but rather is a "mixture of tonal and post-tonal dialects."³⁴

Schloss places emphasis on the trichord [027] in many places. Another example would be at the beginning of the return part. In mm. 88–99, Schloss superimposes three sets of the trichord, namely F–Bb–Eb, F#–C#–G#/Ab, and G–D–A, by adding in layers of voices

³⁴ Jackson, "A True and Genuine Music."

one by one. The B in the bass is left out from these sets and marked sf>, in order to prepare for its transfer to the top voice in m. 100, as the exposition material comes back (see Ex. 8). Example 8: Schloss, *First Chinese Rhapsody*, mm. 88–100



Some salient linear strands in the voice-leading become motivically significant. Let us return to Ex. 6. The B in m. 6 is also the arrival point of a rising-third linear progression: G (m. 3)–A (m. 4 in the cello and shifted to solo violin in m. 5)–B (m. 6). Only one measure

later, the rising-third progression appears again from D to F (D in m. 8–Eb in mm. 9 and 10, and F in m. 11), and the register of the line shifts from the horn part to the solo violin part.

When we turn to the voice-leading in the bass here, in terms of the more local voice leading events, the initial F# in the timpani descends to F \ddagger in the trombone (m. 4), passes through E \ddagger in the cello and Eb in the contrabass, and arrives on the extended D pedal point in m. 12. This descending-third progression is the inversion of the ones arising in the upper voices, creating a unified small section from m. 1 to m. 11, further marking the D \ddagger in m. 12 as a local goal. Notice that the initial C in the cello part, sustained for nine measures, also ascends to D in m. 12 and serves as a lower neighbor to D; another line from the initial E in the contrabass, and descends to D in m. 12 passing through the Eb in m. 4.

Later in the work, the third-progression is projected in various ways, often serving as an approach to a focal pitch. (More cases can be found in the Appendix.) One of the most striking examples of Schloss's use of the third-motive occurs in mm. 50–55, when he employs the third-progression idea in coordination with the row forms to create a stretto before the entrance of the second part in the development section. As shown in Ex. 9, the line is initiated by the cello on E, and three other voices above it enter one by one, imitating the phrase in the cello part at a distance of two beats, and finally all twelve pitch classes in the aggregate arrive together in mm. 54–55. Since Schloss uses the row forms I7, I8, I9, and I10 individually from the lowest to highest voice, the underlying linear strand across these four voices projects a chromatic rising-third progression from E to G (E–F–F#–G). What is more intriguing is that every set statement consists of its I–form and its RI–form (refer to the serial analysis chart), which means the second half of each phrase is the retrograde of the first half,

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thus creating a mirror form in this section; and within each phrase, the first pitch class to the highest pitch class in the middle forms another third-progression. (see Ex. 9). A similar approach is found in the coda in mm. 149–57, in order to build up to a climax at the end (see Ex. 10).



Example 9: Schloss, First Chinese Rhapsody, mm. 50-55



Example 10: Schloss, *First Chinese Rhapsody*, mm. 149–157

Another highlighted motivic idea in the work is the tritone motive. In the previous discussion of the serial rows, I already mentioned the tritone figure at the opening of the Rhapsody (see Ex. 4, the D–Ab in the solo violin in m. 4). In the main body of the piece, the tritone motive appears sporadically compared with other motivic ideas, such as the perfect fourth and fifth and the rising-third-progression, but in the cadenza, it becomes one of the dominant ideas, while all of the other motivic ideas are also intensified by multiple iterations over the course of this part of the piece (mm. 118–47).

As shown by the annotations in Ex. 11, two linear progressions outlining the tritones the C–F# and G–C# may be discerned in the first phrase (from m. 118 to the third beat of m. 119): C–D–E–(F)–F# and G–Ab–(Bb)–B–(C)–C#. These two linear progressions repeat with slight variations within this single phrase. To be specific, the C–F# progression is repeated twice in the lower voices, each time spanning a half-phrase, while the second time even projecting a line filling in the tritone in inversion at same time (C–Bb–Ab–G–F#); in this motivically dense passage, simultaneously the G–C# motive spans the entire phrase in the upper voices, containing two contracted forms within itself (see Ex. 11).

As we explore further, the rising-third-motive is superimposed on the tritone idea in this phrase. The MTN B (the downbeat of m. 119) again is the arrival point of the rising-third progression G-Ab-Bb-B, and becomes the departure point for the descending-third progression B-Bb-Ab-G, which turns the former backwards. This inverted form of thirdprogression soon recurs in the second half of m. 121, while still overlapping with the other two tritone motives C–F# and G–C# (see Ex. 11).

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Example 11: Schloss, First Chinese Rhapsody, mm. 118–121

In mm. 122–23, the perfect-fourth progression comes to the fore. As indicated in Example 12, the progression F#– $E\flat$ –C# and its variant F#– $F\flat$ –D–C# are stated twice at a deeper level. The first time (from m. 122 to the first note of m. 123), the line also projects a rising-fourth progression F#–Ab–Bb–B, followed by another descent from F# to C# (F#–F–Eb–C#); and after the dyad C#–C is struck on the last note of beat three in m. 123, a descending-tritone progression from F# to C and a descending perfect-fourth progression from F# to C# are projected by the first three beats in m. 123 simultaneously (see Ex. 12). **Example 12: Schloss,** *First Chinese Rhapsody*, mm. 122–123



In the cadenza, while F# and B remain the MTN and MBN, and G and D pedal points are maintained throughout, all of the motivic ideas are intensively repeated and superimposed to project complex multi-linear textures. Schloss's idea of constructing the cadenza upon the varied repetitions of superimposed basic motivic lines reminds us of Bach's voice leading in his music for solo violin. For example, similar techniques can be found in Bach, in pieces such as the Chaconne in his Partita No. 2 in D minor for solo violin, BWV 1007. This way of thinking shows how deeply Schloss was influenced by Bach's contrapuntal thinking passed down by his teacher, Berg.

In Appendix A, I elucidate the hierarchically ordered voice-leading of the entire work with annotations on the short score. Because the underlying linear-contrapuntal structure of the *Rhapsody* is highly complicated, there are still details that await further exploration. However, coordinated with the analysis of recurring motives, hypermeter, form, and the serial generation of pitches, an understanding of the main outlines and the basic voice-leading of the piece can already be perceived.

CHAPTER 3

PREPARATION OF THE PIANO REDUCTION

Appendix B reproduces my piano reduction of the orchestral score made to facilitate the world premiere of this intriguing work.

Making the reduction was far from easy. Since there are no recordings or any living sound resources for this complex post-tonal work, it was difficult to acquire an aural impression of the music. At the suggestion of Dr. Harlos, I entered the full orchestral score into Sibelius and used the "play" function to get a rough idea of the orchestration, which helped me to achieve a more precise conception of how the piece should sound.

However, the dense texture of the orchestration posed a great challenge for producing the reduction. In order to deal with the passages which are unpianistic, some changes I made are:

- 1. Omitted some notes within chords containing more than ten notes.
- 2. Condensed voicing of chords containing wide intervals.
- 3. Focused on the most important line and reduced the number of contrapuntal voices.

Some other changes were made to make the piano part sound more "orchestral:"

- 1. Octaves were added where appropriate to create a sense of the full orchestral sound.
- 2. Long sustained chords were broken in tremolo chord figurations in a few places where support from the orchestra is needed to intensify a climax.
- 3. In order to sustain the sound of the long pedal points some bass notes were repeated.

To some extent, the results of the voice leading analysis helped me to make

appropriate decisions regarding omitting or preserving certain notes in the reduction.

CHAPTER 4

CONCLUSIONS

Using both musicological and theoretical considerations, this study provides an opportunity to observe the important but often overlooked history of exiled Jewish musicians in Shanghai, specifically, to rediscover one of the representative émigré composers, Julius Schloss, through analyzing his *First Chinese Rhapsody* which he composed during his years of exile in Shanghai.

The selected materials from Julius Schloss collection, such as the Chinese folk- song book, the concert program, the row forms sheet, and most importantly, the printed music score and manuscript, offer valuable information about Schloss as a composer. As a successor of the Second Viennese School, Schloss's activities in Shanghai had profound meaning for the development of Chinese musical modernism; in turn, the refugee experience allowed him to integrate divergent musical cultures in a post-tonal context in his *First Chinese Rhapsody*.

My analysis of Schloss's *First Chinese Rhapsody* combines serial analysis with linear analysis, in order to illustrate the interrelationships between different factors that Schloss was concerned with in his composition, such as the folk-song themes, row forms, and voiceleading. Even without a tonal framework, the *Rhapsody* presents great coherence and continuity through interactions between the recurring motivic ideas from the quoted folk songs and the underlying linear-contrapuntal structure created by the voice-leading.

I hope that my work can provide a departure point for more comprehensive research on the unjustly forgotten composer and his works. APPENDIX A

SHORT SCORE PREPARED AND ANNOTATED BY THE AUTHOR











K


















































APPENDIX B

PIANO REDUCTION PREPARED BY THE AUTHOR



























































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