

DERIVATION OF THE THEMATIC MATERIAL AND INTERVALLIC GESTURES
FROM THE MAIN THEME IN *FANTASIA CARIOCA* BY SÉRGIO ASSAD

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The quantity of classical guitar literature reached a new peak late in the twentieth century with many famous guitarists publishing their own works for solo classical guitar. This increase in the published guitar literature resulted in a decline of the relative analytical discussions of contemporary guitar works. Sérgio Assad is a perfect example of an active guitarist/composer whose works are frequently performed in guitar recitals and yet very little discussion has been provided attempting to gain a deeper understanding of his compositional language.

The purpose of this study is to two-fold: first, to show that *Fantasia Carioca* (1994) is a very carefully organized work and includes an intricate network of thematic material developed through a spectrum of intervallic gestures, of which all derive from the main theme of the piece; second, to provide a deeper insight into the compositional language of Sérgio Assad through a demonstration of different compositional procedures to which the composer resorts.

This one-movement piece reveals a high level of organization present in Sérgio Assad's style. The entire thematic material is carefully derived from the main theme. Each thematic unit shows a set of predetermined characteristics that allow these units to react to particular textures and situations. The thematic organization is interwoven with important intervallic gestures and relationships, which lead the development of the thematic material.

The insight into the applied techniques and structural elements provides a highly beneficial pool of information for anybody who decides to perform this piece. The offered arguments also serve as a good starting point for further analytical approaches and examinations of the growing oeuvre of Assad's classical guitar music.

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CHAPTER 1

INTRODUCTION

Background and Significance

The quantity of classical guitar literature reached a new peak late in the twentieth century with many famous guitarists publishing their own works for solo classical guitar. This increase in the published guitar literature resulted in a decline of the relative analytical discussions of contemporary guitar works. Sérgio Assad is a perfect example of an active guitarist/composer whose works are frequently performed in guitar recitals and yet very little discussion has been provided attempting to gain a deeper understanding of his compositional language.

Such projects are of critical importance to performers. Only through the analytical examination of contemporary works for guitar can a performer understand how contemporary composers construct their pieces, which should then have a great impact on the performances of these works. Many complex thematic, tonal, or formal elements tend to go unnoticed in the performance of modern guitar works. The high level of technical demands that most of these pieces require frequently changes the performer's main focus from the actual content and structure of the piece to their ability to perform it. This problem is minimized through the detailed analytical examinations of such works.

Fantasia Carioca by Sérgio Assad easily falls into this category. A high level of virtuosity overshadows a detailed and complex network of internal structuring. A complete understanding of these connections has an immense impact on the performance of the piece. Deeper insight also highlights certain aspects of the composer's musical language. Sérgio Assad sets himself apart from many contemporary guitarist/composers with the presentation of this composition.

Purpose of the Study

The purpose of this study is to two-fold: first, to show that *Fantasia Carioca* (1994) is a very carefully organized work which includes an intricate network of thematic material developed through a spectrum of intervallic gestures, of which all derive from the main theme of the piece; second, to provide a deeper insight into the compositional language of Sérgio Assad through a demonstration of different compositional procedures to which the composer resorts in order to create such a complex piece of music.

The first part of the lecture contains a detailed analysis of the thematic material, its construction and its treatment throughout the piece. The analysis also presents main intervallic gestures that are related to the thematic organization. Treatment of these intervallic gestures includes a discussion on the possible tonal implications. To further strengthen the presented arguments, I will rely on the comparison of *Fantasia Carioca* to *Fantasia Carioca bis* (1998) for two guitars and chamber orchestra. *Fantasia Carioca bis* contains certain changes and offers a deeper insight into specific elements of the analysis. The comparison offers additional information about the compositional procedures that are being used and their application in a variety of different textures.

Under its descriptive title, *Fantasia Carioca* offers a mixture of melodic and harmonic materials with one bonding element: the main theme. Sérgio Assad creates a highly advanced work through the use of short thematic units, simple intervallic gestures and tonal relationships. The insight into the applied techniques and structural elements provides a highly beneficial pool of information for anybody who decides to perform this piece. The arguments offered through this lecture also serve as a good starting point for further analytical approaches and examinations of the growing oeuvre of Assad's classical guitar music.

State of Research

The assertion of a lack of analytical studies of contemporary classical guitar music can be supported through the fact that the literature today does not offer a single detailed analysis of any guitar work by Sérgio Assad, one of the best-known contemporary composers for the classical guitar. Many articles, interviews, and CD reviews, which mention Sérgio Assad, deal primarily with his biographical details and performance career. Only two recent research papers approach the subject of Sérgio's works from the analytical point of view, but even they do not touch the subject in great detail. The first research paper is João Paulo Figueirôa da Cruz's "An Annotated Bibliography of Works by the Brazilian Composer Sérgio Assad" (D.M.A. dissertation, Florida State University, 2008), and the second one is Guilherme Caldeira Loss Vincens' "The Arrangements of Roland Dyens and Sérgio Assad: Innovations in Adapting Jazz Standards and Jazz-Influenced Popular Works to the Solo Classical Guitar" (D.M.A. dissertation, University of Arizona, 2009).

The dissertation by Figueirôa da Cruz offers a very detailed overview of Sérgio Assad's biographical information and draws connections between Assad's pieces and the influence of Brazilian classical and popular music. This dissertation also provides an annotated bibliography of Assad's compositions and traces several important compositional elements that constitute Assad's compositional language. However, most of the connections shown by Figueirôa da Cruz are very general and presented through relatively short examples taken from a large selection of Assad's guitar music. These examples do provide a good starting point for further research into his works through the outline of some prominent compositional techniques.

The second dissertation, by Vincens, offers a deeper insight into the transcriptions of jazz and popular music by modern guitarists, focusing primarily on the French guitarist/composer

Roland Dyens and Sérgio Assad. In Vincens' dissertation, the emphasis is put on Assad's transcriptions, which are then compared with other recent guitar transcriptions of the same works. Even though Vincens does not examine Assad's original compositions for guitar, the process of comparison between Astor Piazzolla's *Verano Porteño* and *Invierno Porteño* (written for piano, violin, bass, electric guitar, and bandoneon) and Assad's arrangements of the mentioned pieces for solo guitar provides some guidelines that can be helpful for the comparison process used in this lecture recital. The comparison isolates and breaks apart several sections of Piazzolla's works and highlights certain thematic and harmonic changes to which the arranger had to resort due to the technical idiosyncrasies of the classical guitar. I use a similar process in the comparison between *Fantasia Carioca* and *Fantasia Carioca bis*. This time, the process is approached from the opposite direction, since Assad composed a solo guitar version first and then used the orchestral version to further elaborate and refine his ideas. In this case, the comparison serves as a tool for a better understanding of the different ways in which the thematic material is developed.

Apart from Figueirôa da Cruz's dissertation, no other works today examine Sérgio Assad's guitar compositions in further depth. The lack of a detailed thematic or harmonic analysis of Assad's compositions takes away from a full understanding of the complexity and high level of internal structuring in his works. Through the examples presented in this dissertation, performers and researchers can obtain a greater degree of understanding of all the thematic and harmonic intricacies that underline *Fantasia Carioca*. Comprehending these intricacies is critical to understanding the overall musical picture that this particular work creates. Furthermore, these arguments are not restricted only to the examination of *Fantasia Carioca* but also provide possible criteria for future approaches to the examination of Assad's guitar works.

Brief Biography of Sérgio Assad

Sérgio Assad was born in São Paulo, Brazil on December 26, 1952. He received his first guitar lessons from his father who was an amateur guitar and mandolin player. In 1969, Sérgio and his brother Odair began their first classical guitar studies with Monina Távora. After establishing themselves as performing and recording artists in South America by the end of 1970s, the Assad Duo won the first prize at the Rostrum of Young Interpreters in Czechoslovakia in 1979, which marked the beginning of an extraordinarily successful career.¹ Sérgio later received his degree in composition and conducting from *Escola Nacional de Música* in Rio de Janeiro.

Sérgio published his first set of pieces in 1984² and in the next three decades composed over forty pieces for guitar. Due to his educational background as a composer and a long career as a performer, he managed to develop a certain musical style that resonates well with both audience and performers. His works quickly became some of the most performed compositions in guitar recitals across the world. Sérgio's compositional oeuvre ranges from solo guitar works to guitar duets, guitar quartets, and assorted chamber music with guitar.

Sérgio also maintains a rich performing career. The Assad Duo, as one of the most prominent guitar duos today, has recorded over thirty records and received numerous prizes, including three Grammy Awards. Sérgio Assad is also an important pedagogue. After several other teaching positions, he has joined music faculty at the San Francisco Conservatory in California in 2009 and has remained there ever since.

¹ João Paulo Figueirôa da Cruz, "An Annotated Bibliography of works by the Brazilian Composer Sérgio Assad" (Ph.D. dissertation, Florida State University, 2008), 27-8.

² *Três Cenas Brasileiras* (Editions Henry Lemoine).

CHAPTER 2

FANTASIA CARIOCA (1994)

Investigation of several important aesthetic ideas established by Sérgio Assad in his *Fantasia Carioca* for solo guitar offers necessary knowledge that adds to a better understanding of the thematic development inside the piece. The first important idea is the connection to early guitar and lute music through the use of the selected form of the piece. The genre of “fantasy” in which this piece is set differentiates from the 19th century guitar fantasies and draws closer to the Renaissance and Baroque fantasies for the lute. This idea is realized through the use of shorter sections inside the piece and dominance of contrapuntal lines. The derivation of the material from one single idea is also closely related to Baroque aesthetics.

The form of the piece includes four different sections: A section (mm. 1-97), *Vivo* (mm. 98-116), B section (mm. 117-207), and *Vivo* (mm. 208-243). The first section is the longest of the four. This section presents the important thematic material and moves rather quickly through the prominent tonal relationships. The quick tonal movement further subdivides this section into smaller phrases, very audible to the listener due to the appearance of the cadences at the end of each musical idea. This section gives more independence to each voice, particularly through the prominent use of imitation, which turns into a simpler melody-and-accompaniment texture in the later sections. The third section of the piece is closely related to the first. This section relies mostly on the use of the ostinato patterns in several different textures: from block chords to one-measure ostinato units. The endings in both sections are similar and lead to the *Vivo* sections.

The second and the fourth section of the piece are differently structured and provide an effective contrast to the preceding sections. The first *Vivo* is built through four-measure units: the first eight provide an accompaniment pattern, which is repeated for the next eight measures

under the main theme in the top voice. This section elaborates on the same melodic material as the rest of the piece, but the phrasing, constant rhythmic drive and slower harmonic pace result in a drastically different character for this section. Such usage of the form reflects on the similarities to the Renaissance lute fantasies. The last *Vivo* reproduces the material from the first one and the last twenty measures turn into a coda. The slower harmonic pace and the use of repeated units are even more prominent for this section.

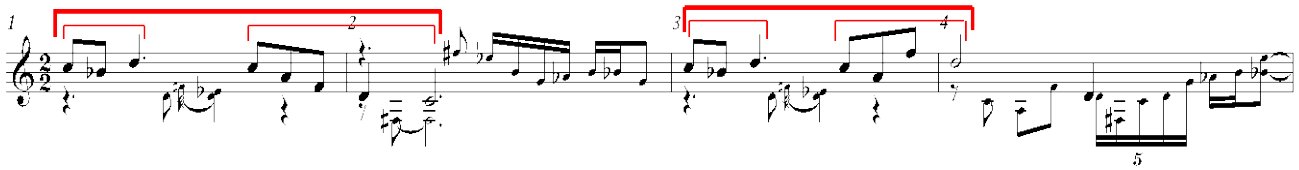
The second prominent aesthetic idea is offered immediately at the beginning in the title of the piece. The term “Carioca,” referring to the people of Rio de Janeiro, serves as a primary idea for the conception of the piece. Using this idea, Sérgio Assad creates an authentic Brazilian piece of music. *Fantasia Carioca* includes different musical characteristics for different sections. Some sections rely primarily on the use of the pentatonic scales, while other sections contain more chromatic ideas. Similar differences are included in the other elements of the piece: from tonal language and harmonic progressions to different textures and rhythms. However, one single idea surpasses all these differences and unites the piece and that is the use of a single thematic unit for the derivation of all the material and intervallic gestures that connect them. The differences still maintain their recognizable characteristics even though they are not separated from each other but united through a common element. Through such elements of rhetoric, the composer dismisses simple clichés associated with Brazilian music, such as: use of folk rhythms and songs, and shows the true nature and evolution of the Rio de Janeiro culture. Sérgio Assad acknowledges the different elements borrowed from other cultures and societies, but he also provides us with the idea of their evolution into the *Cariocas*. This idea displays the complexity and beauty of Rio de Janeiro culture, which can easily be transferred to the entire Brazilian culture and one of its most important elements: the music.

Examination of the Melodic Material

The Main Theme

The main theme of *Fantasia Carioca* is the source from which all the melodic material used in this work is derived. The theme is four measures long and includes two parallel sections (Example 1). Each section is also divided into two parts: head and tail. The head of each section is the same, but the tails are different.

Example 1: *Fantasia Carioca*, mm. 1-4.



The head of the main theme includes a three-note motif consisting of a starting pitch (c^2) outlined by a whole step on either side (b^1 - d^2). This motif will be referred to as the head motif. The intervallic structure of the head motif consists of a descending major second followed by an ascending major third.

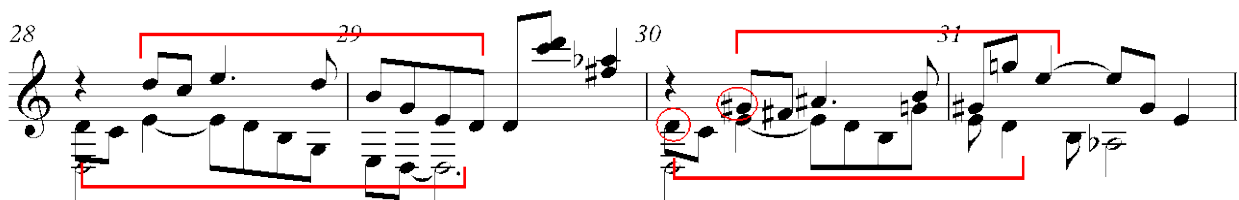
The tails of both sections include melodic and rhythmic changes. In the first section, the tail includes a series of descending thirds (c^2 - a^1 - f^1 - d^1) and ends with a stepwise motion from d^1 to c^1 in m. 2. In the tail of the second section, the last two pitches of the descending thirds are transposed an octave higher (f^2 - d^2) and the descending stepwise resolution to c^2 at the end is abandoned. These two different sections of the theme result in different harmonic implications despite the fact that the majority of the notes in both tails is preserved (only one note is left out) and one interval is inverted (a^1 - f^1 turns into a^1 - f^2). The tail of the first section ends an octave lower from the starting note (c^2 - c^1). The second section begins on c^2 and ends a major second higher on d^2 . The influence of f^\sharp , which appears in the accompaniment in the first section (m. 2),

is softened in the second section with the appearance of f^1 (m. 4). Harmonically, the D^7 sonority at the end of the first section turns into a D-minor sonority at the end of the second section.

Use of the main theme throughout the piece is determined by its mentioned melodic and tonal intricacies. Two different sections offer different sets of options, which make the main theme very adaptable to different situations. The theme appears seven times in *Fantasia Carioca* in the full version with both sections included and the additional three times with only one section. The composer uses the main theme in a variety of compositional procedures in order to develop the material and arrive to the planned tonal areas. The rhythmic adjustments of the theme occur frequently in order to suit the specific character of each section.

After the opening, the next appearance of the main theme occurs in mm. 28-31 (Example 2). The two entrances of the theme are superimposed through the stretto technique between the middle voice and the top voice. The middle voice begins the theme on d^1 on the first beat of m. 28 and the top voice imitates one beat later on d^2 .

Example 2: *Fantasia Carioca*, mm. 28-31.



An interesting change occurs with the entrances of the second sections in mm. 30-1. The middle voice enters again on d^1 on the first beat of m. 30, but the top voice enters on $g^{\#1}$ one beat later. The tritone relationship between the entrances of the second sections creates a dissonant atmosphere with the close appearance of both g and $g^{\#}$ in the following measures. In this section, the composer simply transposes one section of the theme to a different pitch level and uses it in order to move away from the tonal area centered on D. The entrance of the second section in the

top voice also includes an adjusted tail (an ascending leap of a diminished octave) in m. 31 and thus imitates the tail of the section presented in the middle voice with the same notes (g-e). The ending interval of a descending minor third is repeated several times in the measures that follow and provides a link between the ending of the theme and the entrance of different material in the lower voices.

The next entrance of the theme in m. 37 includes the most extensive melodic alterations. The theme begins on e^{b3} in augmentation (Example 3). The expected descending minor third in the tail of the first section is now changed to a descending diminished third ($e^{b3}-c^{\#3}$) in m. 38, which then takes the ending of the first section to f^2 rather than to e^{b2} . The ambiguity of this line offers several different possibilities for the resolution of the melody. The projected melodic line could also be considered to go to c^2 or even g^1 in m. 40. The second section begins an octave lower and the expected falling thirds are now substituted with a series of descending and ascending leaps, but the ending eventually lands on c^2 in m. 43. This tail could also be extended to e^{b1} or b^b in m. 44. These specific melodic alterations will be discussed in the following chapter since the comparison of this section in two versions of the piece reveals more information.

Example 3: *Fantasia Carioca*, mm. 37-44.

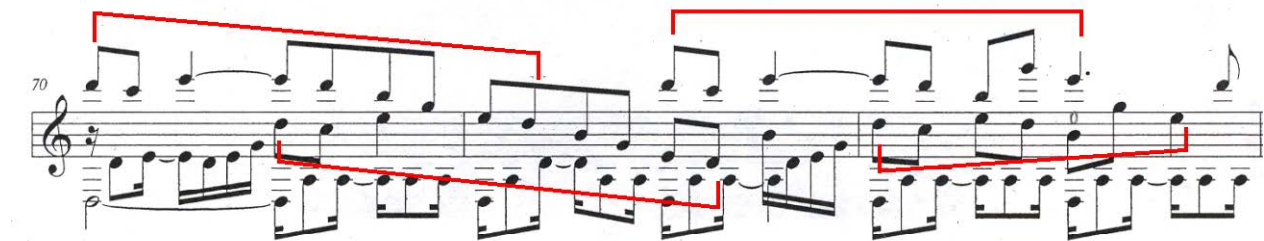


This example demonstrates the process of melodic change in the tails of both sections to which the composer resorts in order to lead the movement towards a specific tonal area. The

material is connected through smaller motivic units. An example of such process occurs in mm. 39-40 where the top voice moves from $c^{\#2}$ down to a^1 and back to c^2 . The same movement is used in the tail of the second section in mm. 42-3, but this time $c^{\#2}$ is changed enharmonically to d^{b2} (Example 3). This particular change happens also in the head motif at the beginning of both sections. The second note of the head motif ($c^{\#3}$) in m. 27 is changed to d^{b2} in m. 41.

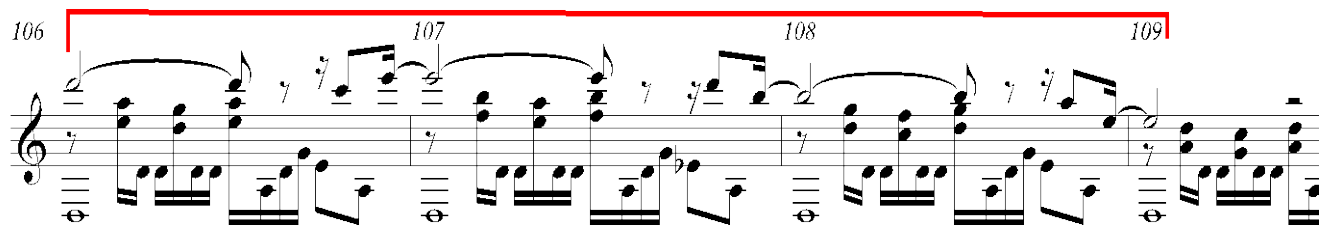
After the presentation of the theme in augmentation on E^b , the next two entrances of the theme in mm. 70-4 resemble the stretto entrances in mm. 28-31. This time the top voice begins the theme on d^3 without any alterations and the middle voice follows two beats later on d^2 . The composer again resorts to the imitative entrances in stretto (Example 4). As in the previous stretto entrances, the last interval of the theme (descending minor third) continues several times in both voices over an ostinato figure in the bass and eventually leads to a chord of resolution.

Example 4: *Fantasia Carioca* mm. 70-4.



The next entrance of the theme occurs in the *Vivo* section in mm. 106-9 (Example 5). This time the development of the theme is achieved through rhythmic variation. The top voice begins the theme on d^3 over an accompaniment figure introduced in the opening eight measures of the *Vivo*. Rhythmically analyzed, the main theme consists of a long note (d^3) at the beginning, which is followed by three smaller rhythmic units, each one consisting of a short eighth-note followed by a long note. One of the expected descending thirds from the tail of the section is changed into a descending second followed by a descending fourth in mm. 107-8.

Example 5: *Fantasia Carioca*, mm. 106-9.



The comparison of this section to the parallel one in *Fantasia Carioca bis* reveals that this particular intervallic change in the tail is due to the technical restrictions of the classical guitar. The expected descending third (b^2-g^2) is changed to a descending second (b^2-a^2) in m. 108 due to the presence of a quick rhythmic accompaniment in the lower voice, which makes a left hand stretch to g^2 very difficult for the performer. The same four-measure section is repeated again in mm. 110-3 without any alterations.

This particular entrance of the theme presents a combination of the first and the second section. The motion of the descending thirds is taken from the first section of the main theme, since the second section includes a leap of an ascending sixth. However, this section begins on d^3 and ends on e^2 which is a characteristic of the second section of the theme. Similar to the previous entrances of the theme, the last intervallic gesture is repeated several times in the top voice over an ostinato figure in the lower voices in the measures that follow. This gesture serves as a connection between the end of the theme and the beginning of the new section (*Lento*). Since the majority of the *Vivo* section repeats at the end of the piece, this entrance of the theme is also repeated again in the final section in mm. 216-23.

The next appearance of the theme, beginning in m. 149, brings unexpected changes (Example 6). For the first time the main theme appears in the lowest voice. This time it enters on e^1 under a three-note ostinato figure ($e^2-d^{\#2}-b^1$) in the top voice. The entrance on this particular

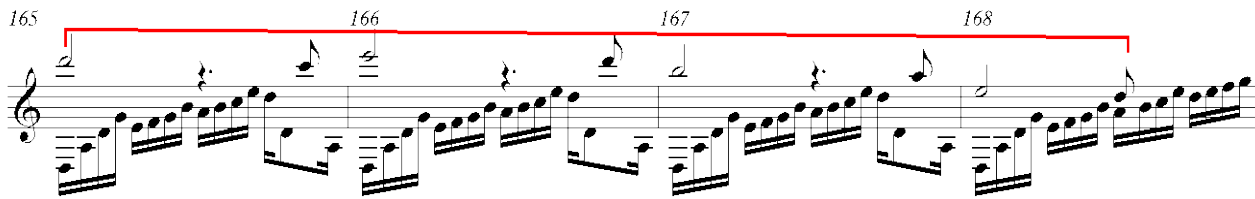
pitch was prepared and expected earlier in the piece, but was misdirected with the augmented entrance of the theme on e^{b3} in m. 37 (see Example 3).

Example 6: *Fantasia Carioca*, mm. 150-9.

The theme is again presented in augmentation and the rhythmic organization resembles the entrance from the *Vivo* section, but it is even more simplified (only quarter and half notes). The intervallic organization is true to the original first section of the theme, but for the first time the whole-step relationship at the beginning of the theme is changed to a half-step ($e^1-d^{\#1}$) in m. 150. Another melodic change happens at the end of the section with the addition of an extra note (d in m. 154). The second section of the theme appears in m. 156, a perfect fourth higher (a^1). This section includes two slight rhythmic changes in mm. 158-9 and has no added notes at the end. This particular entrance of the theme combines different characteristics from the previous entrances: it includes two sections that vary in length (which happened once before in Example 3) and each section begins on a different pitch (as do the stretto entrances in Example 2).

Interestingly enough, only six measures later (m. 165) the theme appears again in augmentation on d^3 in the top voice (Example 7). The augmentation of the rhythmic values is preserved for this entrance but with a slight rhythmic change (quarter notes turn into eighth notes). A quick ostinato accompaniment now appears in the lower voice.

Example 7: *Fantasia Carioca*, mm. 165-8.



Aurally, this entrance resembles the two sections of the theme in the *Vivo* and includes the same pitch correction in m. 167 (a^2 instead of g^2). One particular change happens and that is the final resolution to d^2 . This resolution is omitted in both aforementioned sections. The composer's intent here seems to be the return to a tonal area centered on D. Thus, after the entrance of the theme in mm. 106-13, the tail of the section leads towards e^2 and the next two sections occur respectively on e^1 and a^1 . To make sure that the next entrance on d^3 does not lead again towards e^2 , the composer uses the first section of the theme and ends on d^2 in m. 168. These examples show how a simple change in the tails of two sections provides opposite characteristics and can be used for the development of the tonal direction.

The last entrance of the theme before the repetition of the *Vivo* section occurs in mm. 185-92 (Example 8). The top voice begins the theme in augmentation on g^2 . All the previous examples show that the entrances of the theme on pitches other than C or D either include only one section of the theme or contain certain melodic adjustments. This entrance stands out for those particular reasons since it has both sections of the theme and no melodic alterations.

Example 8: *Fantasia Carioca*, mm. 185-92.



As demonstrated through the examples, the main theme of *Fantasia Carioca* is the basis for the construction and development of the thematic material. Each section of the theme offers a certain set of options that can be used depending on the context. The composer shows different ways through which the theme can be developed while still maintaining its very distinctive character. The head of the theme stays unchanged and works as an aural trigger for the listeners, while the tail of the theme works as a modulating unit and offers several different options of tonal direction for the composer. The theme occurs in several different types of augmentation, two times in stretto, and the sections of the theme are freely combined depending on the context of their appearances. Most of the entrances of the theme in the augmentation appear either over the quick accompaniment figures or the ostinato-like patterns. The rhythmic and melodic complexities of the accompaniment result in the simplified rhythmic versions of the main theme.

The theme is also connected to the overall tonal implications of the piece. The first three entrances appear on C, D, and E^b. The appearance of the theme on E^b highlights an important relationship that will be discussed further in this chapter. The anticipated entrance on E does appear later in the piece, but it is quickly reversed toward a different tonal direction. As the importance of the D-G relationship becomes more prominent, the main theme appears in its original form in G to emphasize the projected relationship.

As a thematic unit the main theme is very flexible. The composer resorts to both small and large melodic alterations of the theme, a variety of rhythmic modifications, and transpositions to different pitch levels. All these compositional processes give a variety of different roles to the main theme. Sometimes the theme appears as a culminating point of a certain section (usually in augmentation) or as a point of arrival at a specific tonal area, but it is also used for the less important connecting segments between the main sections of the piece.

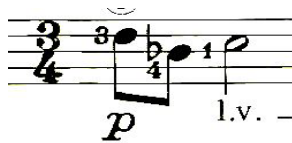
The Head Motif

The head motif is the most prominent part of the main theme and is used separately as an important thematic unit. This motif is used for the creation of other motifs in *Fantasia Carioca*. The intervallic structure of the head motif consists of a descending major second followed by an ascending major third (Example 9a). Example 9b shows that this head motif was composed previously and used in a retrograde version in *Aquarelle* (1988) for solo guitar.³ The simple content of the head motif allows for a variety of different adaptations throughout the piece.

Example 9a: *Fantasia Carioca*, m. 1.



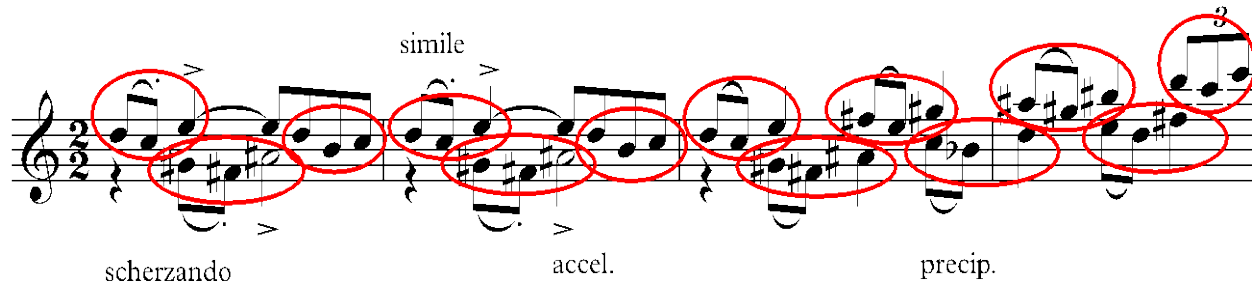
Example 9b: *Aquarelle*, Divertimento, m. 1.



Use of the head motif as a constructing unit is prominent early in *Fantasia Carioca*. In mm. 6-9, several different versions of the head motif are used to create a connecting passage (Example 10). The top voice begins with a one-measure unit consisting of the head motif in an original and a retrograde version. The lower voice enters one beat later also using the head motif. After the repetition of the one-measure unit, both voices continue with the head motif, ascending in whole-steps for each entrance. The major second and major third relationship is preserved for each entrance of the motif, which results in an interesting whole-tone sound for this section.

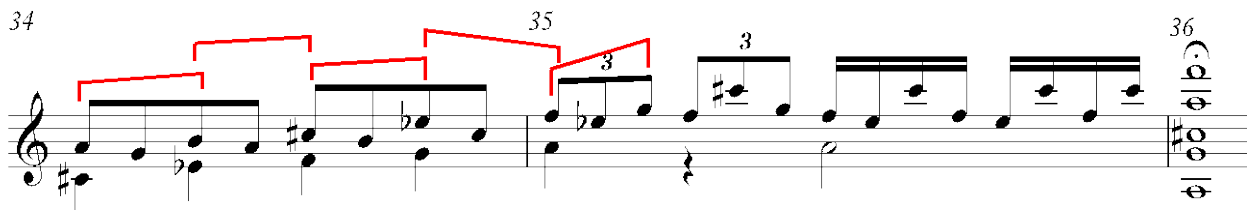
³ Figueirôa da Cruz, 33.

Example 10: *Fantasia Carioca*, mm. 6-9.



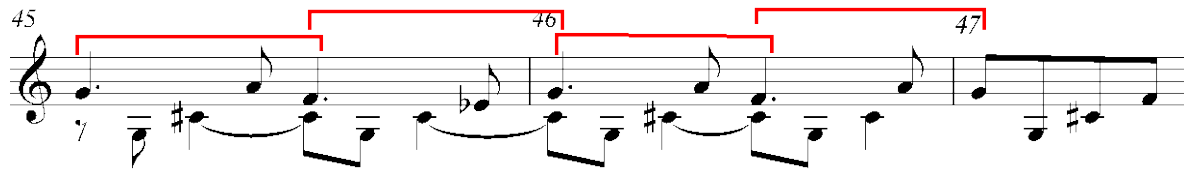
The structure of the head motif allows for an effective elision between the repetitions. In mm. 34-5, the top voice repeats the head motif five times and uses the ending note of the previous entrance as a beginning note of the next entrance (Example 11). The whole-tone relationship between the entrances is also maintained throughout this section.

Example 11: *Fantasia Carioca*, m. 34-6.



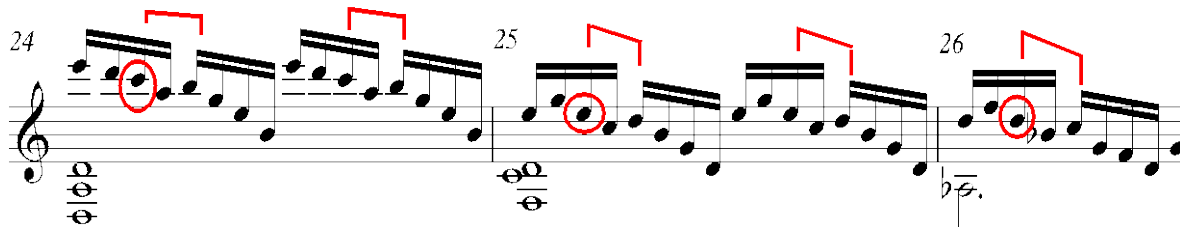
The head motif is often processed through different rhythmic alterations as is the main theme. In mm. 45-7, the different versions of the head motif in the top voice are set against the repeating two-note figure in the bass (Example 12). The head motif appears in the original form on f^1 (second half of m. 45 and downbeat of m. 46), in inversion on g^1 (first two beats of m. 45 and m. 46), and in the retrograde inversion on f^1 (second half of m. 46 and downbeat of m. 47). Minimal rhythmic changes of the head motif occur in order to provide a complementary rhythm between the top voice and the lower voice. The elision between the repetitions of the motif is also maintained in this section together with the whole-tone relationship between the pitches in the top voice (e^{b1} - f^1 - g^1 - a^1).

Example 12: *Fantasia Carioca*, m. 45-7.



Other than the obvious entrances of the motif and its imitative use in the connecting sections, many different forms of the head motif appear as a part of the larger units (Example 13). In mm. 24-6, a retrograde version of the head motif occurs in the middle of the arpeggiated figure five times on three different pitches (c^3 - e^2 - d^2). Interestingly enough, it is followed by a series of descending thirds that resembles the tail of the first section of the main theme.

Example 13: *Fantasia Carioca*, mm. 24-6.



Certain elaborations of the main theme, particularly in the second half of *Fantasia Carioca*, include different adaptations of the head motif. The following example demonstrates how the head motif is adapted harmonically and rhythmically to fit the elaboration of the main theme (Example 14). The whole-tone relationship is abandoned in order to fit the tonal area of the section. The head motif appears in its retrograde version in m. 128, two times in inversion (m. 129 and m. 131), and one time in retrograde inversion in m. 129. Two appearances of the motif include a long note at the end (m. 129 and m. 131). In the other two appearances, the head motif is presented as a part of an ascending and descending line, containing only eighth-notes.

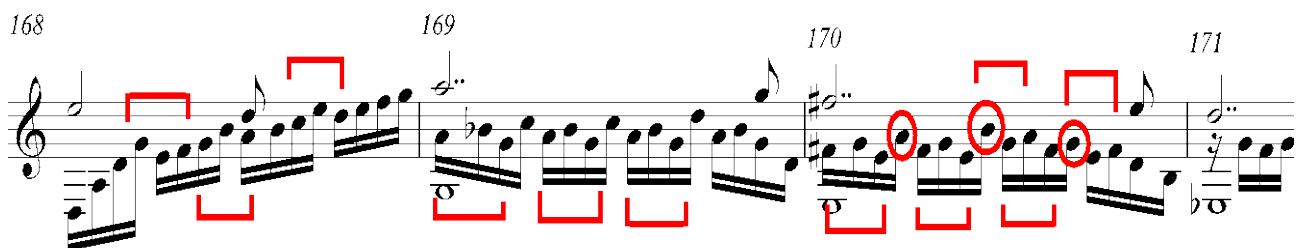
Example 14: *Fantasia Carioca*, mm. 128-31.



As these examples show, the different versions of the head motif are applied throughout *Fantasia Carioca*. These appearances vary from an original version to inverted, retrograde, and many other forms. The intervallic and rhythmic elements of the main motif reinforce the development of a particular tonal direction in different sections. The motif frequently appears as a part of the larger units and on many different levels of the thematic structuring.

A great example of the complexity of the use of the head motif is presented in mm. 168-70 (Example 15). After the entrance of the theme in mm. 165-8, the lower voice elaborates on the main motif while the top voice moves stepwise from a^2 to d^2 (m. 168). The first measure of the example shows the head motif in two different versions (inversion and retrograde inversion) as a part of the bass ostinato underlying the entrance of the theme. The second and the third measure of the example (mm. 169-70) show the application of the head motif in the inner voice as a part of the repeating accompaniment figure. Furthermore, the last notes of the first three beats in m. 170 in the middle voice outline an inverted version of the head motif.

Example 15: *Fantasia Carioca*, mm. 168-71.



The presence of the head motif throughout *Fantasia Carioca* is more than apparent. As the previous examples show, the importance of the head motif is two-fold: it appears as the head of the main theme and is also used as a separate unit in many different textures. Simple melodic and intervallic arrangement of the motif allows for its repetition and development as a unit in a variety of different forms. The head motif appears as a part of the theme, elaboration on the theme, repeated through elision, and is commonly included in the ostinato patterns and connecting arpeggios. The original version of the motif appears frequently in the simpler lines in the top voice, while the other versions occur in the more elaborate accompaniment figures.

Thematic Elaboration of the Head Motif

The second most important thematic motif occurs in m. 20 for the first time. This melodic segment is five notes long and it is derived from the elaboration of the head motif through the addition of an upper neighbor to the first two notes of the motif (Example 16). The descending major second and ascending major third from the head motif are distorted through the addition of the upper neighbors. The final result is the inversion of the intervals at the beginning of this motif. Even though the head motif is still present in the structure of the new motif, the first three notes of the new unit sound like an inverted version of the head motif.

Example 16: *Fantasia Carioca*, mm. 20-1.



The addition of the smaller note values and the stepwise motion allows for a very effective elision between the repetitions of the unit. As the previous example demonstrates, this unit does not require any rhythmic changes to create a chain of consecutive repetitions. Most of the time, this particular motif occurs in a series of two or more with the elision between the last and the first note. Example 16 includes seven elisions of the same motif moving stepwise from $f^{\#1}$ to g^2 in the top voice.

The same melodic changes, together with a quicker rhythmic pace, make this motif very adaptable to different harmonic situations and more suitable for the connecting sections. Since certain notes in this motif repeat as neighboring notes, they permit harmonic alterations to happen quicker than in the head motif. The fourth beat in m. 20 demonstrates the change of tonal direction through such process (Example 16). The appearance of $c^{\#2}$ and $a^{\#1}$ leads the movement away from the E-minor area emphasized on the first three beats of m. 20. The modulating character of the second motif is often reinforced with the different tempo markings throughout the piece, usually indicating tempo increase.

Due to the fact that the second motif presents an elaborate version of the head motif, these two units are frequently combined in the developing sections of *Fantasia Carioca*. For example, the shorter sections that precede both *Vivo* sections are developed primarily through the combined use of the main motif and its elaborated version (Example 17). In this case, the second motif is augmented from its original rhythmic values to make the mixture less apparent. This same example also includes a shortened version of the second motif which happens only under a specific set of circumstances. Unless the elision between the repetitions of the second motif occurs and the melodic line moves by a leap or descends, the second motif is shortened to four notes. Example 17 shows the alteration of the second motif in order to fit the direction of the

melodic line (mm. 85, 88 and 90). The first two measures (mm. 84-5) include two original versions of the second motif and one shortened version, followed by the head motif. The two entrances of the second motif are built through an elision. The first two measures are repeated a minor sixth higher leading to a four measure unit which uses different versions of both motifs and leads to a resolution on the downbeat of m. 92.

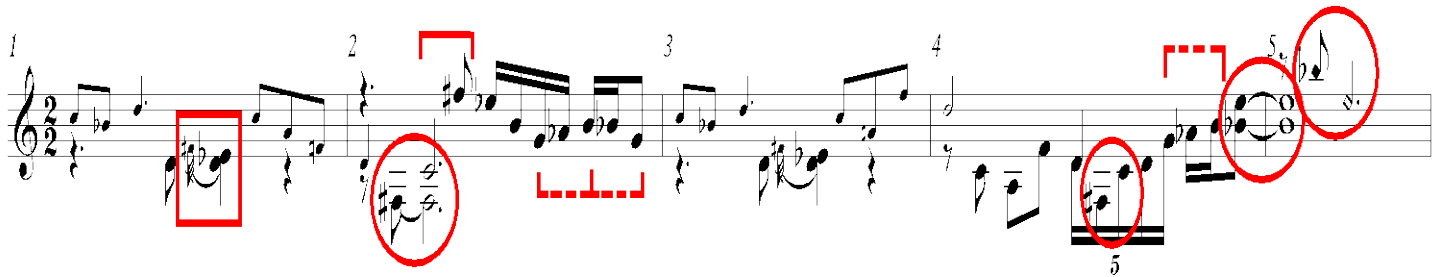
Example 17: *Fantasia Carioca*, mm. 84-92.

These examples demonstrate that the development of the thematic material follows a certain process. The head motif is derived from the main theme and then expanded into the second motif. These three units then serve as the main thematic material in *Fantasia Carioca* and are frequently superimposed and combined through the different textures. The main theme is reserved for larger sections while the two smaller motifs are used for the construction of bigger units due to their length and smaller ranges. These motifs also require less space and are more practical for the quick changes in the tonal directions. They are processed through a variety of different actions and often combined in several different versions. The main theme does carry some tonal implications and is less flexible than the two smaller motifs, but the development of all three main thematic units primarily relies on several prominent intervallic gestures. These gestures occur in the beginning and underline the development of the piece since the main thematic material is frequently adjusted to suit these gestures.

Prominent Intervallic Gestures and Relationships

Despite the fact that the harmonic implications are present in the opening of *Fantasia Carioca*, with the main theme emphasizing D⁷ in m. 2 and D-minor in m. 4, the development of the thematic material relies primarily on the use of several important intervallic gestures. Most of these gestures appear for the first time in the main theme of *Fantasia Carioca* and become exponentially more prominent as the piece develops.

Example 18: *Fantasia Carioca*, mm. 1-5.



In the beginning, the lower voice plays only four different pitches (d¹-e^{b1}-f^{#1} and f[#]) in mm. 1-2 but establishes one important relationship and one intervallic gesture (Example 18). The d¹-e^{b1} interval of a second, which appears on the third beat of m. 1, presents a relationship which is emphasized several times throughout the piece, usually in the lowest voice. Apart from the connecting role of this particular intervallic relationship, it also influences the piece on a larger scale through the entrances of the main theme. As stated in the previous paragraphs, the first entrance (mm. 1-4) begins on C and ends on D. The following two entrances (mm. 28-31) both begin on D and lead to E (see Example 2). The next entrance of the theme is expected to appear on E, as prepared with the previous two entrances. However, the fourth entrance (mm. 37-44) is adjusted and begins on e^{b3} and includes an extended tail that ends on e^{b1} (see Example 3). In this case, the expected ascending whole-step entrance of the main theme is abandoned and adjusted to emphasize the D-E^b relationship.

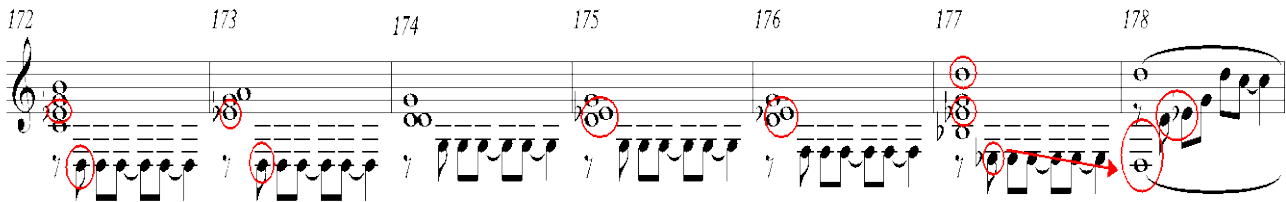
Beside these entrances of the main theme, the mentioned relationship is used several times on the smaller level. The tension between these two pitches becomes prominent in a number of different places. In the fourteen measures of the connecting section preceding both appearances of the *Vivo* (mm. 98-116, and mm. 208-43), the composer relies on the use of the head motif and its elaborations to build the tension before the beginning of the quicker section. The pedal tone for the majority of measures in that section is d, which then continues for almost the entire length of the *Vivo* (seventeen out of nineteen measures have d on the downbeat in the lowest voice). The only movement occurs in mm. 96-7 where the lowest voice moves from d to e^b (Example 19a). The middle voice emphasizes the relationship by repeating d¹ half a beat later, and the top voice follows on the second beat of the same measure. The exact same process repeats in the final section in mm. 206-7.

Example 19a: *Fantasia Carioca*, mm. 88-100.

The same relationship is also highlighted through other textures. The following example shows how the D-E^b relationship occurs several times and fluctuates between the voices (Example 19b). In mm. 172-3 the inner voice introduces e^{b1} over d in the bass. The same e^{b1} resolves to d¹ in m. 174, but then both notes are superimposed in mm. 175-6 over g and f in the

bass. A similar process continues in the following measures where d^2 in the top voice is imposed over e^{b1} in the middle voice and e^b in the bass, which is resolved to d in m. 178. The same interval is further used in the inner voice as a part of the repeating figure (m. 178).

Example 19b: *Fantasia Carioca*, mm. 172-9.

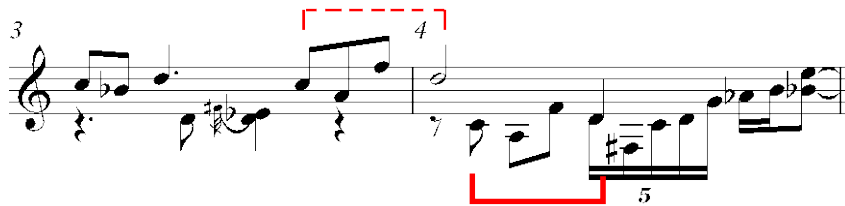


The beginning of *Fantasia Carioca* introduces the importance of a major/minor third relationship that is developed in different contexts later in the piece. The brief $f^{\#1}$ that occurs as an ornament to the second beat of m.1 acts aurally as a major third from d^1 and minor third from e^{b1} (see Example 18). The application of the major/minor thirds throughout the piece includes several different options. In this case, the gesture includes the interval of a major third ornamented by a half step. This process is elaborated immediately in the opening of the piece. In m. 2, the movement from g^1 to b^1 and back on the third and the fourth beat is interrupted with the half steps. The first time a^{b1} occurs at the end of the third beat, and the same gesture is inverted when b^{b1} interrupts a descending b^1 to g^1 major third on the fourth beat (see Example 18). This particular gesture resembles the head motif since it includes the interval of a major third, but it is more dissonant due to the inclusion of a minor second. This gesture is expanded in the later sections of the piece. As the tonal direction moves towards G, this same gesture gets expanded from a major third into a perfect fourth with a minor second ($d-e^b-g$).

The gesture from the second beat in m. 1 introduces the importance of the descending thirds as intervallic gestures in *Fantasia Carioca*, which also includes several different

constructional roles. The descending thirds appear in the tail of the first section of the main theme (see Example 18) as the top voice descends from c^2 to d^1 in m. 1. The same gesture occurs in the accompaniment in the next measure, beginning on $f^{\#2}$ on the second half of the second beat in m. 2 and descending to g^1 . The spelling of the pitches includes some augmented seconds, but aurally all the intervals work as major and minor thirds. The tail of the second section of the theme also includes descending thirds (Example 20a). This time, one third is inverted into an ascending sixth on the last beat of m. 3. This motion is then imitated in the lower voice in m. 4.

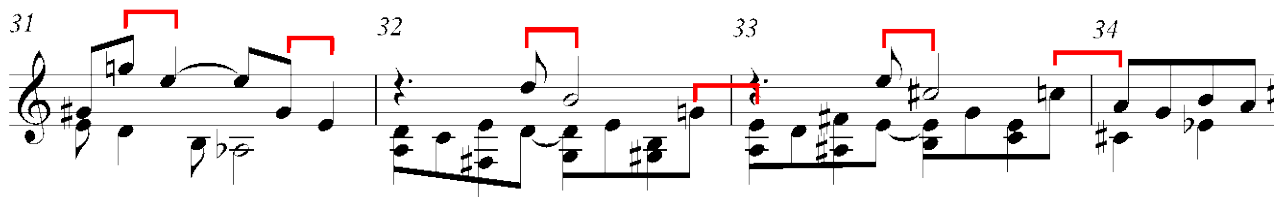
Example 20a: *Fantasia Carioca*, mm. 3-4.



Another important use of the descending thirds gesture occurs often after the entrances of the main theme. In these instances, this gesture works as a connecting unit from the end of the theme to the beginning of a new section. As the previous example shows, this technique is exhibited immediately in the beginning (Example 20a). In m. 4, the lower voice imitates the tail of the second section from the upper voice. The same process is reused several times throughout the piece, always proceeding after the entrance of the main theme.

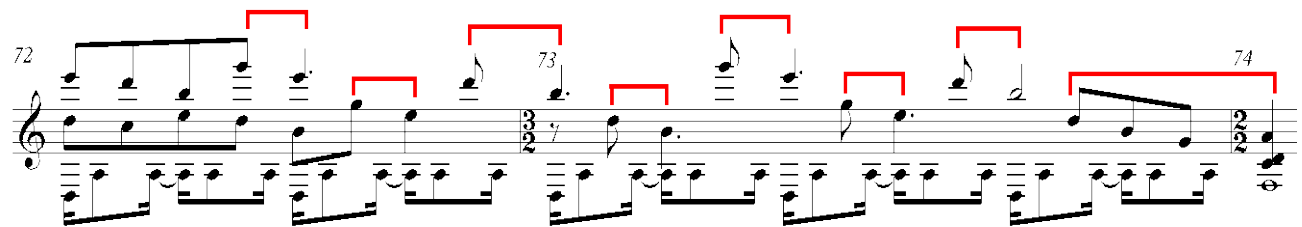
For example, after the stretto entrances in mm. 30-1, the top voice continues with the minor third gesture over an ascending chromatic line in the bass and the elaboration of the head motif in the middle voice (Example 20b). The ending of each measure in the middle voice uses a descending minor third to connect to the downbeat of the next measure. This example demonstrates how different intervallic gestures are combined with the thematic material in the connecting section between the entrances of the main theme.

Example 20b: *Fantasia Carioca*, mm. 31-4.



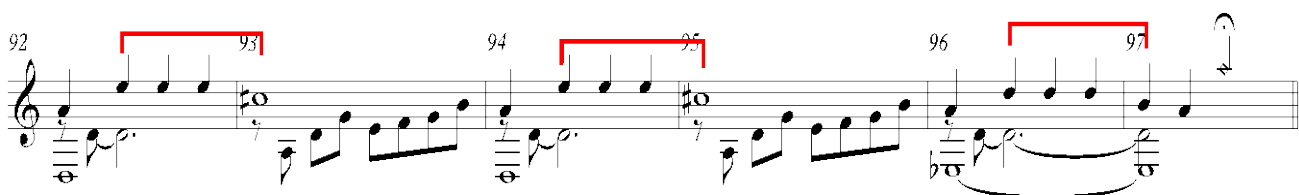
A similar process occurs after another set of stretto entrances of the main theme beginning in m. 70 (Example 20c). This time the top and the middle voice imitate each other three times. In the third repetition, the middle voice extends the motion of descending thirds and connects to a resolving chord on the downbeat of m. 74.

Example 20c: *Fantasia Carioca*, mm. 72-4.



The use of the descending thirds is not restricted to the connecting sections that appear after an entrance of the main theme. The same intervallic gesture tends to occur in the long sections which include a pedal point or an ostinato pattern. Both times before the *Vivo* section, the top voice uses the descending third gesture as an end of the long series of elaborations on the head motif. This same place emphasizes the D-E^b relationship in the lower voice.

Example 20d: *Fantasia Carioca*, mm. 92-7.



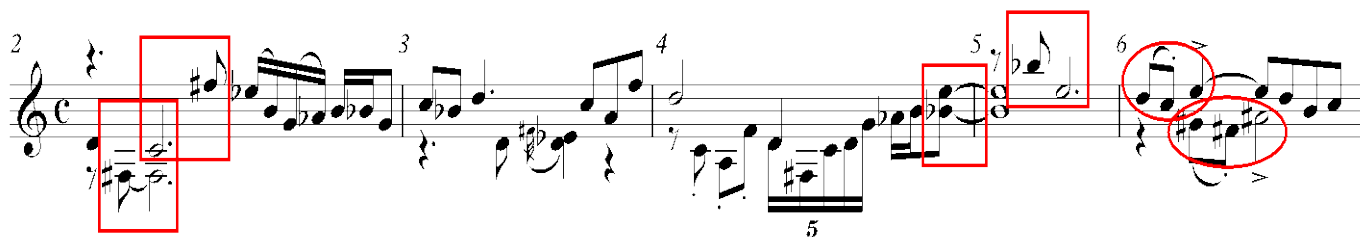
The use of the descending thirds inside the larger constructional units becomes very prominent in the final section of the piece. Example 20e demonstrates the tension building in the ostinato patterns of the coda primarily through the use of the descending thirds in the lower voice. These thirds include four different pitches (c¹-a-f-d) and provide a connection to the beginning of the piece since these four notes transposed an octave higher were used in the tail of the first section of the main theme. This gesture is contrasted with the appearance of an ascending major third in the top voice starting in m. 230. These two notes present the lower and an upper neighbor to note d, which is highlighted as the tonal center of *Fantasia Carioca*. The same gesture is used in both voices with the purpose of developing and connecting the thematic material, establishing a tonal direction and anticipating the ending of the piece.

Example 20e: *Fantasia Carioca*, mm. 223-31.

Another one of the most emphasized intervallic gestures occurs also in the beginning; on the first half on m. 2 (see Example 18). The lower voice enters on f[#] on the second half of the first beat, while the top voice moves from d¹ to c¹ and creates a tritone between the two voices. This interval is one of the most important gestures in the piece and influences different aspects of the thematic and tonal development. The importance of this interval is presented immediately in the beginning. At the end of the theme in m. 2, a tritone appears between the middle voice and the bass (f[#]-c¹). The top voice follows with an entrance on f^{#2} (Example 21a). A similar gesture

occurs at the end of m. 4: the lower voice ends on a $b^{b1} - e^2$ tritone which is then inverted as $b^{b2} - e^2$ in m. 5. The same intervallic relationship between the voices is maintained in the following measure (m. 6). The top voice enters with the head motif on d^2 while the lower voice responds with the same motif on $g^{\#1}$, thus forming a tritone relationship between the entering voices.

Example 21a: *Fantasia Carioca*, mm. 2-6.



This particular intervallic gesture is developed in different textures throughout the piece.

In the following example, the interval of a tritone is expanded and adjusted to the transitional role of the section in which it appears. In mm. 17-22, the quicker upper part is reinforced with the long notes in the bass outlining a descending tritone moving from $g^{\#}$ to d .

Example 21b: *Fantasia Carioca*, mm. 17-22.

Since it often appears in the bass line, the gesture of a tritone influences possible movement of the tonal area. An excellent instance for this argument is the descending bass line in mm. 17-22 from the previous example. The movement through this line could have easily

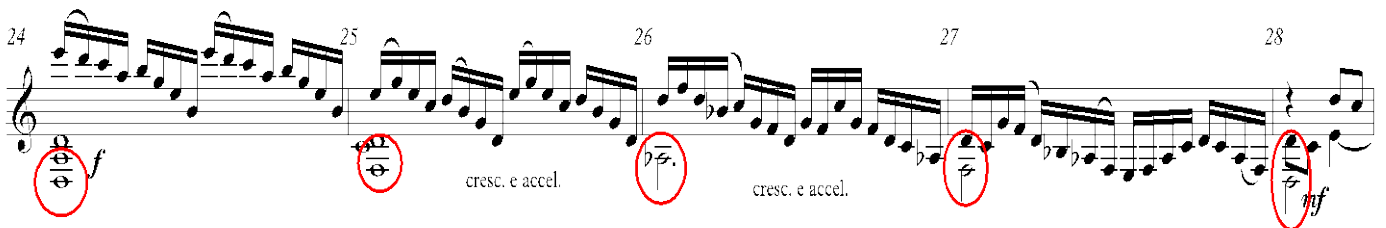
stopped on e or e^b, thus leading towards a different tonal area. Similar processes occur in numerous places throughout the piece (Example 21c).

Example 21c: *Fantasia Carioca*, mm. 142-4.



Another example of the same gesture happens in mm. 24-8 (Example 21d). The bass voice outlines a tritone, but in this case moves in thirds through an ascending and descending diminished triad (d-f-a^b).

Example 21d: *Fantasia Carioca*, mm. 24-8.



An interesting element of the tritone gesture is its connection to the gesture of the descending thirds. Examples 21b and 21c show the division of a tritone into two minor thirds (g[#] - f - d). The second third is further filled with the descending chromatic motion. The connection between these two gestures is more apparent in example 21d since the bass moves through the ascending and descending thirds.

A tritone does not occur primarily in the horizontal movement of one particular line. This next example demonstrates several different applications of a tritone (Example 22). In m. 29 the

top voice sounds a major second (c^3-d^3) followed by a diminished third ($f^{\#2}-a^{b2}$) with a tritone relationship between the two intervals.

Example 22: *Fantasia Carioca*, mm. 29-37.

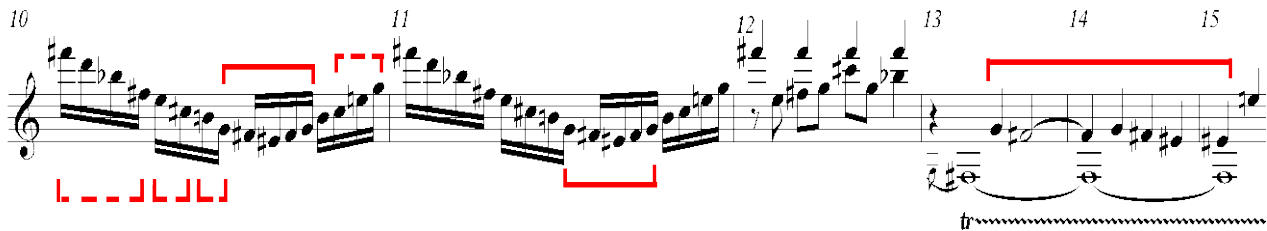
A tritone can also influence the entrances of the theme. In m. 30, the top and the middle voice enter with the main theme on d^1 and $g^{\#1}$. The importance of a tritone is further emphasized through the vertical sonorities between the different voices. This particular gesture happens five times in a row in mm. 34-5. The lower voice moves in ascending whole steps under the head motif in the top voice. This mixture results in a tritone between the two voices on the weaker part of five consecutive beats.

As these examples show, the interval of a tritone is the most influential intervallic gesture in *Fantasia Carioca*. Such use of a tritone also influences the organization of the larger sections. For example, the opening section of the piece starts in C (m. 1) and moves towards $F^{\#}$ (mm. 10-6). $F^{\#}$ moves to $G^{\#}$ (mm. 17-8) and arrives to D (m. 22). Thus, this particular intervallic gesture underlines the development on both larger and smaller scales.

The use of the tritone is commonly connected to the use of another prominent intervallic gesture, briefly pointed out in previous paragraphs: a chromatic line. This gesture appears for the first time in m. 10, emphasizing the upper and lower half step from $f^{\#1}$ and is reused in m. 13-5.

This chromatic line appears as an answer to the opening motif, which uses whole steps to outline c^1 . As the tonal emphasis moves through the use of a tritone to f^\sharp , the same pitch is now outlined by half steps (Example 23). The use of the descending thirds is noticeable at the beginning of m. 10 (marked with dotted lines).

Example 23: *Fantasia Carioca*, mm. 10-5.



The combination of the same two gestures occurs in mm. 17-22 (Example 21b): the bass line on the downbeat of each measure moves from g^\sharp to f and then in the descending chromatic motion to d ($f-e-e^b-d$). These gestures further subdivide a tritone motion into two descending minor thirds ($g^\sharp/a^b - f - d$). The gesture of a chromatic line often appears in the combination with different intervallic gestures. Furthermore, the descending version of the chromatic line seems to be more prominent.

In the conclusion, the use of the main intervallic gestures has a large impact on the development of *Fantasia Carioca*. These gestures influence the piece on many different internal levels. Certain intervallic relationships shape the movement of the tonal direction and determine the entrances of the main theme. The gesture of the descending thirds is present inside several large structures: arpeggios (m. 10), subdivisions of a tritone (mm. 17-22), and similar thematic units. The same gesture is also a frequent element for the connecting sections following the entrances of the theme. The gesture of a tritone is applied in several different roles: harmonically and melodically. All these gestures are commonly combined with each other and with other thematic material to create a complex internal web of closely related elements.

CHAPTER 3

COMPARISON OF *FANTASIA CARIOCA* AND *FANTASIA CARIOCA BIS* (1998)

The second version of *Fantasia Carioca*, scored for two guitars and chamber orchestra⁴, was completed in 1998. This version of *Fantasia Carioca* will be referred to in this dissertation as *Fantasia Carioca bis*, the title which João Paulo Figueirôa da Cruz uses in his annotated bibliography.⁵ *Fantasia Carioca bis* reuses thematic material from the first version, but it also includes certain changes. Most of the important thematic material is preserved and further reinforced through the availability of multiple instruments. Apart from the reused material, the composer relies on the introduction of new material, mostly in the connecting sections. All of the material is processed through the similar compositional techniques as in the previous version.

A richer texture of *Fantasia Carioca bis* further emphasizes the important intervallic gestures and relationships. The changes between the two versions occur on many different levels. Their entire presentation would be very overwhelming so I have decided to show some of the examples for each element of the analysis discussed in the previous chapter and to single out some of the occurrences that will lead to a better understanding of the piece and to better future performances. Furthermore, the comparison offers information crucial for a better understanding of Sergio Assad's compositional process. This information is observed through the introduction of the new material, changing of the textures and transformation of the original material.

The extensive analysis of the form is not included in the previous chapter because it does not impact the development of the thematic material or intervallic gestures. However, a comparison of the formal organizations in both versions of the piece offers interesting results. This area of research includes unexpected alterations. As the following chart presents, *Fantasia*

⁴ Chamber orchestra includes: woodwinds (flutes, oboes, clarinets (b^b), bassoons), timpani, piano I, piano II, and strings (violin I, violin II, viola, violoncello, and contrabass).

⁵ Figueirôa da Cruz, 60.

Carioca bis is two measures longer than the original and the lengths of the individual sections do not correspond to each other (Example 24). The inner organization of the sections follows the same order, but the lengths of the sections vary. The different sections in *Fantasia Carioca bis* are indicated with the placement of the rehearsal marks which are absent from *Fantasia Carioca*.

Example 24: Structural comparison of *Fantasia Carioca* and *Fantasia Carioca bis*.

<i>Fantasia carioca</i> (1994)		<i>Fantasia carioca bis</i> (1998)		
243 measures		245 measures		
m. 1	(no tempo indication)	m. 3		$\text{♩} = 74$
m. 13		m. 15	A	Tempo primo
m. 28		m. 31	B	Tempo primo
m. 37		m. 40	C	Tempo primo
m. 84	Lento	m. 81	D	Tempo primo
m. 98	Vivo	m. 90	E	Allegro
m. 117	Lento	m. 111	F	Andante
m. 137	Lento	m. 135	G	Lento e dolce
m. 185		m. 187	H	Lento
m. 208	Vivo	m. 206	I	Allegro

Examination of the chart above shows that the length of each section varies from one version to the other. For example, section C of *Fantasia Carioca* begins three measures earlier and ends three measures later than in the second version. The changes also go the opposite way: section G of the second version begins two measures earlier and ends two measures later than in the original version. These discrepancies in the lengths of the inner sections provide a good starting point for the examination of the changes between the two versions and the possible connections to the thematic material and relevant intervallic gestures.

Another significant detail is the presence of the tempo marking (quarter-note = 74) at the beginning of *Fantasia Carioca bis*. Establishing a particular tempo at the beginning provides a crucial reference point since both versions include many tempo variations. This detail provides valuable information beneficial for a better understanding of tempo changes and their relations throughout the piece. Furthermore, the examples will show that certain measures in *Fantasia Carioca bis* are already written in diminution, thus demonstrating the intended aural perception of the composer (see Example 30).

The main thematic units from the first version are transferred to the second version. The main theme, which occurs in m. 1 in *Fantasia Carioca*, enters in m. 3 in *Fantasia Carioca bis*. The added two-measure introduction in the second version predicts important intervallic gestures and relationships. Example 25 shows the added opening of *Fantasia Carioca bis*. The gesture of a tritone is presented immediately in the beginning with piano I opening with a d^1 - $g^{\#1}$ tritone on the first beat of m. 1. Two lower string instruments (the double bass and the cello) highlight the same intervallic gesture with their entrances: the double bass enters on d on the first beat and is followed one beat later by the cello on $g^{\#}$.

The violin II elaborates on the same d - $g^{\#}$ tritone in m. 1 with a four-note pattern (e^{b2} - d^2 - b^{b1} - $g^{\#1}$). This gesture indicates another important relationship, namely E^b - D , and also includes the important gesture of descending thirds. The same four-note pattern is imitated in rhythmic augmentation a major third higher in the violin I starting in m. 2 (g^2 - $f^{\#2}$ - d^2 - c^2). This time, the important pitch relationship (d - $g^{\#}$) of a tritone from m. 1 moves to another important set of pitches (c - $f^{\#}$) in m. 2.

Example 25: *Fantasia Carioca bis*, mm. 1-2.

The musical score for Example 25, mm. 1-2 of *Fantasia Carioca bis*, features six staves: Timp., Pno. I, Vln. I, Vln. II, Vc., and Db. The time signature is common time (C). Measure 1 shows the Pno. I staff with a circled chord of F# and C. Measure 2 shows the Vln. I staff with a circled chord of G and D. Red brackets and dashed lines highlight specific intervallic relationships across the staves, including a G-D interval in the Vln. I staff and an F#-C interval in the Pno. I staff.

The four notes presented in the violin I in m. 2 outline the most important tonal relationships developed throughout *Fantasia Carioca*: G-D and F[#]-C. Through the use of only six instruments of the orchestra, in this opening the composer highlights some of the most prominent relationships and intervallic gestures of *Fantasia Carioca* before the entrance of the main theme.

Another great example of such process occurs at the ending of the last section in *Fantasia Carioca bis*. After the entrance of the main theme, completely different thematic material is introduced (Example 26). The composer relies on several prominent intervallic gestures to connect and develop this new material. The grouping of the instruments contributes to the creation of different textures and to the prominence of particular intervallic gestures. Instruments present the new material individually and in groups guided primarily by the already established intervallic gestures.

Example 26: *Fantasia Carioca bis*, mm. 232-7.

The long pedal point in the lower instruments moves from D to E^b on the downbeat of m. 233. This relationship is used as a connection between mm. 233-6 in the lower strings (the viola, the cello, and the double bass). This stepwise movement emphasizes again the importance of this relationship, which is then carried throughout the piece. The connection in m. 233 in the timpani is achieved through a descending leap of a tritone. Several measures later in m. 237, through the use of a tritone (a^b-d) found in the double bass and the timpani, the tonal direction returns back to D. On top of these gestures, the descending scales in the woodwinds turn into short descending chromatic scales starting in m. 235 (indicated with the dotted lines in the example). The interval of a third also becomes an important element. The relationship between the violin I and the

violin II in mm. 233-6 is developed through thirds (including the inversion and the compound interval): $b^{b1}-g^2$, g^1-b^{b1} , $e^{b1}-g^2$. Furthermore, the repeating one-beat unit in the violin II is based primarily on the descending thirds ($b^{b1}-g^1-e^{b1}$).

An interesting process occurs in the top woodwinds in mm. 233-5 (Example 26).

Fantasia Carioca includes two sections with stretto entrances of the main theme and a brief moment at the beginning where the head motif occurs in stretto. In *Fantasia Carioca bis*, several sections include imitative entrances of the new material. In this particular section, the top three woodwinds enter with the same one-measure unit. Each entrance in this case is two beats apart. All three instruments enter on the same note, with the interval of a third (or sixth) between the imposed upper voice. After these three entrances, the instruments are paired together (the flute and the oboe; the clarinet and the bassoon) through the use of the descending chromatic lines. In only several measures of the last section, the composer manages to prolong the tonal anticipation and build the thematic material purely through the use of the already established intervallic gestures and relationships. The new material carries no particular thematic importance and does not introduce any important motives or themes. However, the connection is achieved subtly through the use of the aforementioned intervallic gestures. The imitation seems to occur at a more frequent rate throughout the second version, probably due to the increased number of instruments.

The elaboration on these elements continues throughout *Fantasia Carioca bis*. The composer uses the presence of multiple instruments to further emphasize the important gestures and to extend the limit of their superimposition. Due to this occurrence, certain sections of the second version result with a completely different texture (Example 27). These differences further lead to the change in the character between the same sections of the two versions. The following

example shows how a fairly simple five-measure connecting section from *Fantasia Carioca* (see Example 10), which uses elaborations of the head motif and a tritone gesture, is turned into a fuller version in *Fantasia Carioca bis* with more emphasis on the relevant intervallic gestures.

Example 27: *Fantasia Carioca bis*, mm. 8-12.

The musical score for Example 27, *Fantasia Carioca bis*, measures 8-12, is presented below. The score is for a full orchestra and piano. Measures 8-12 are highlighted. Red annotations highlight specific intervallic gestures: a tritone (g#1-d2) in measures 8-9 in the woodwinds and strings, and a descending third in measures 10-11 in the woodwinds and strings. The piano part features a complex rhythmic pattern in measures 8-9.

The top melody from *Fantasia Carioca* is still present in the violin I and doubled to some extent in the violin II, while the lower voice is presented in the woodwinds (oboe and bassoon). The entrance pitches of both lines stay the same (tritone: g^{#1}-d²). The melody in the woodwinds is more elaborate in this example and the version of the second motif in the first two measures turns into a mixture of two different gestures: the descending thirds and a tritone. In mm. 10-1, a

repeating gesture of a descending third is interrupted with an ascending second, which thus creates a descending tritone. The gesture of a tritone is also presented in the piano I between g^\sharp - d^1 and f^\sharp and c^2 . This line turns into another gesture: a chromatic line, descending in octaves from d to f^\sharp (mm. 10-2). The timpani double the same chromatic line with slight variations.

The first two measures of the piano I (mm.8-9) use the $D-E^b$ relationship to connect to the descending chromatic line. The same relationship is used in the lower strings after a descending whole-tone scale in m. 11 to connect to m. 12. This arrival is superimposed with a tritone ($c^2-f^\sharp2$) in the violin II on the downbeat of m. 12. The importance of the intervallic gestures becomes more prominent in certain sections of *Fantasia Carioca bis*. Due to this, any performer can take them in consideration when approaching the analysis and interpretation of *Fantasia Carioca*.

The reinforcement of the thematic material is not always as elaborate as in the previous three examples. In section A of *Fantasia Carioca bis* most of the material is presented between the two guitars. In the last four measures of the section, the guitar I presents the material from the corresponding section in *Fantasia Carioca* (see Example 13) while the guitar II provides a simple accompaniment based on the head motif (Example 28). The top voice in the guitar II includes a mixture of ascending thirds and descending whole-steps, which in itself includes the head motif beginning on beat two. The first three notes in the top voice of all four measures of the guitar II also include an inverted retrograde version of the head motif.

Example 28: *Fantasia Carioca bis*, mm. 27-31.

The image shows a musical score for two staves, measures 27 through 31. The top staff has a complex, fast-moving melodic line. The bottom staff has a simpler, more rhythmic accompaniment. Red brackets connect notes between the two staves, indicating intervals. Red circles with arrows highlight specific notes in the bottom staff, likely indicating the 'head motif' mentioned in the text.

The gesture of a tritone is still present in the lower voice in the guitar II, moving in the ascending thirds from d to a^b. The downbeat of each measure in the top voice of the guitar II also outlines a tritone through the ascending thirds (e¹ - g - b^{b1}).

As demonstrated in the previous chapter, a mixture of the head motif together with its elaborate version is present in several sections of *Fantasia Carioca*. This step is further developed in *Fantasia Carioca bis*. The superimposition of several different versions of the same motif between the different instruments occurs frequently. Example 29 shows the combination of two important motifs in the guitar I (original melody from *Fantasia Carioca*), which are superimposed against several repetitions of the second motif in diminution in the top voice in the guitar II. Both instruments include an original and a shortened version of the second motif. Both lower voices include different gestures: the guitar I uses the descending thirds in mm. 197-8 (g¹ - e¹ - c¹), while the lower voice of the guitar II outlines a tritone through a descending chromatic line from g to d^b. The descending movement of d to d^b in mm. 199-200 is inverted into an ascending leap due to the range restriction of the classical guitar.

Example 29: *Fantasia Carioca bis*, mm. 197-200.

Both gestures are also present vertically between the sonorities. The majority of the relationships between the two top voices of both guitars contain an interval of a third or a sixth

(including their compounds) on the main beats and their divisions. The tritone also appears several times between the instruments (first beat in m. 197, second beat in m. 198, etc.). The most prominent appearance of a tritone for this example is between the two lower voices on the third beat of m. 199 (d-a^{b1}).

Certain sections of *Fantasia Carioca bis* include additional entrances of the main theme. These entrances are not included in the added measures but occur under the preexisting material. Common places for this occurrence are sections that include a pedal point in the lower instruments. The following example shows the connecting section before the *Allegro* section (corresponding to the *Vivo* in *Fantasia Carioca*). Both guitars continue with the original material from *Fantasia Carioca* in diminution, while the piano I enters with the first section of the main theme on d. The pedal point in the piano II and the double bass remains on d for four measures and moves to e^b in m. 89. The same process is repeated in mm. 201-4. Guitars I and II combine the new and old material while still relying on the prominent intervallic gestures.

Example 30: *Fantasia Carioca bis*, mm. 85-9.

The musical score for Example 30, measures 85-90 of *Fantasia Carioca bis*, is presented below. The score includes five staves: Gtr. I, Gtr. II, Pno. I, Pno. II, and Cb. (Double Bass). Measures 85-86 show the guitars playing a rhythmic pattern with a tempo marking of quarter note = 91. Measures 87-88 show the guitars continuing with a tritone interval (F#-C) circled in red. Measures 89-90 show the piano I entering with a main theme on d, while the piano II and double bass maintain a pedal point on d. Red brackets and circles highlight specific musical features and intervals.

This example demonstrates the use of a very particular tempo marking (quarter-note = 91), which is absent from the corresponding section in *Fantasia Carioca*. Four measures of eighth-notes (mm. 88-91) with “precipitando” (pushing) marking in *Fantasia Carioca* (see Example 17) are compressed into two measures of sixteenth-notes (mm. 84-5) in *Fantasia Carioca bis*, including also a different tempo marking. These tempo changes in the second version show the probable aural intention of the composer. He marks the projected arriving tempo since the presence of more instruments makes the acceleration of the phrase more difficult in this case. This version makes the movement more rigid, but it offers very specific tempo information that is extremely valuable for the performance of the solo guitar version.

Additional entrances of the main theme are less noticeable in other places. Example 31 shows the additional entrance of the theme in the lower voice of the guitar I.

Example 31: *Fantasia Carioca bis*, mm. 60-3.

The guitar II plays the descending line in the fourths taken from *Fantasia Carioca*, while the guitar I introduces a one-measure unit which is repeated two times and includes the first section of the main theme in the lower voice. The motion of the descending thirds in the tail is adjusted to a descending second followed by a descending fourth ($b^1-a^1-e^1$). This particular change comes as a result of the one-measure unit being repeated in the guitar I, which includes a

long note in the lower voice followed by a descending major second. Since the same unit is repeated two times, it automatically alters the tail of the main theme. The intervals in the top voice of the guitar I are adjusted freely in each measure. With the alteration in the tail of the theme, this particular entrance does resemble the adjusted version of the theme found in the top voice of the *Vivo* section in *Fantasia Carioca*. The reason for that adjustment in the solo version is the technical difficulty of the section.

Apart from the main thematic material which is reused throughout and the introduction of the new material primarily in the added measures, the composer often resorts to the introduction of the new shorter melodic units. Most of these units occur in the connecting sections, usually after the entrances of the main theme. This material is processed through the same compositional techniques as the main thematic material. Frequently, these links are presented through the imitative repetition.

A good example of such process occurs in the connecting section after the entrance of the main theme on G. Since the entrance of the theme ends on g² in m. 194 in the oboe and the connecting section begins in m. 197 with the second motif starting on a¹ in the guitar I, a short one-measure unit connects the two sections through the use of imitation between the top five instruments (Example 32). Each repetition of this unit enters two beats later and the opening note is substituted with the rest. The omission of the first note has no aural impact on this section since the ending of the each repetition aurally serves as a beginning of the next entrance. The last entrance in the bassoon in m. 196 has a melodically adjusted ending which allows for a better connection to the beginning of the new section entering in m. 197. As it was the case for a majority of the new material, these one measure units occur over a long pedal chord in the lower voices (strings).

Example 32: *Fantasia Carioca bis*, mm. 193-6.

The musical score for Example 32, measures 193-196, features a variety of instruments. The guitar parts (Gtr. I and Gtr. II) and the bassoon (Ban.) are highlighted with red brackets, indicating specific intervallic gestures. The flute (Fl.) and oboe (Ob.) parts also show similar gestures. The woodwinds (Cl.) and brass (Cb.) parts are also present. The string section (Vln. I, Vln. II, Vla., Vc.) provides a harmonic foundation. The score is written in a key with one flat and a 4/4 time signature.

The extended appearance of the intervallic gestures in the second version sometimes offers very contrasting results with the ones found in *Fantasia Carioca*. The elaboration of one particular intervallic gesture in multiple instruments occasionally overpowers the presentation of the original material (Example 33). In the following example, the original material from *Fantasia Carioca* (see Example 20b) is presented in the viola and the cello (mm. 35-7), but the other instruments overpower the texture through the use of a chromatic line. An interesting elision occurs between the two sections of the main theme on the downbeat of m. 36, which has not been used before in any entrances of the theme. The violin II takes over the original material on the downbeat of m. 37 with its rhythm slightly altered. The other instruments present the new material, relying on the intervallic gestures.

Example 33: *Fantasia Carioca bis*, mm. 35-9.⁶

Several important gestures appear in this example. The descending thirds in the accompaniment are still present (violins I and II) and even reinforced with the gesture of a tritone between each other. The ascending chromatic line from the lower voice in the original is changed into a quick ostinato pattern in the double bass which outlines a major third (f[#]-g-a-b^b) in m. 35 and changes into a minor third (g-g[#]-a-b^b) in m. 36. This chromatic line from the bass is foreshadowed in the top voice of the guitar II which includes descending chromatic fourths beginning in m. 35. The gesture of a chromatic line (presented with dotted lines in the example)

⁶ The woodwinds enter in m. 37 and provide an exact doubling of the high strings (violins I and II, viola, and cello) and are taken out of the example in order to save space.

completely takes over in the next two measures. Both guitars continue with the elaboration of a descending line, which is also imitated in the piano I starting in m. 37. The other instruments include different combinations of the ascending and descending chromatic lines. The anticipated chord in m. 39 is prepared with the chromatic movement in almost all of the instruments. This section is a great example of one particular gesture taking control and overpowering the development of the thematic material. Most of the thematic material from *Fantasia Carioca* is present, but the direction and the connection of the sections are achieved through the use of one intervallic gesture. These changes result in a completely different aural character for this section.

Another beneficial element of the comparison between the two different versions is a clearer presentation of the material in *Fantasia Carioca bis*. In certain sections of *Fantasia Carioca* the analysis of the thematic material is further complicated with the mixture of different voices on a single staff. The entrances of the main thematic material are easier to observe in the second version of the piece. Some of the material is closer to the true intentions of the composer.

Example 34: *Fantasia Carioca bis*, mm. 40-7.

The musical score for Example 34, measures 40-47 of *Fantasia Carioca bis*, is presented for five instruments: Flute (Fl.), Oboe (Ob.), Clarinet (Cl.), Bassoon (Bsn.), and Piano (Pn.). The score is in 2/2 time. Measures 40-43 show the Flute and Oboe playing a descending chromatic line, while the Clarinet and Bassoon play an ascending chromatic line. Measures 44-47 show the Flute and Oboe playing a descending chromatic line, while the Clarinet and Bassoon play an ascending chromatic line. Red brackets highlight the chromatic movement in measures 44-47.

The entrance of the main theme on E^b in m. 37 of *Fantasia Carioca* includes an extended tail in both the first and the second section (see Example 3). In the same section, the top voice is

mixed with the accompaniment, which adds a certain degree of difficulty of determining the projected tonal direction. This problem is eliminated in *Fantasia Carioca bis* since the entrance of the main theme is split between the woodwinds (Example 34). The clarinet and the bassoon enter with the first section of the theme, which is followed by the second section in the flute and the oboe. This example shows clearly which notes belong to the extended tail of the main theme.

Another example of a clearer presentation of the material in *Fantasia Carioca bis* is the entrance of the main theme in section E (*Allegro*). This section corresponds to the *Vivo* section of the first version. This time, the theme is presented in the guitar I (Example 35) and includes certain melodic changes from the solo version (see Example 5).

Example 35: *Fantasia Carioca bis*, mm. 96-9.

The descending major second (b^2-a^2) on the fourth beat of m. 107, followed by a descending fourth (a^2-e^2) in *Fantasia Carioca*, is changed into two descending thirds ($b^2-g^2-e^2$) in mm. 97-8. The reason for this change in the main theme becomes obvious with the comparison of two different versions. The alteration is primarily technical in its nature. Furthermore, in *Fantasia Carioca bis* the theme is reinforced with the accompaniment pattern in the guitar II which is changed to outline a motion of the descending thirds. The accompaniment also includes an inverted version of the head motif at the end of the first two measures. The final result is a better recognition of the main theme and a better connection to the accompaniment. Inclusion of

these gestures is abandoned in the same section in *Fantasia Carioca*. Furthermore, the entrance of the theme in *Fantasia Carioca bis* includes both sections of the main theme. In the first version, the first section is repeated twice due to the technical difficulty of the section and the close proximity of the theme to the accompaniment, which also results in a very dense texture of the section. In the second version, the entire theme is presented and, similar to other sections, the gesture of descending thirds is used at the end to connect to the following section.

The previous example shows the direct reasons for the melodic changes in the entrance of the main theme in *Vivo* section of *Fantasia Carioca*. One very interesting change does occur in *Fantasia Carioca bis* and seems to contradict some of these statements. At the beginning of the final section of *Fantasia Carioca bis* the first section of the main theme appears one extra time in the flute (Example 36). Previous examples showed that additional entrances of the main theme appear several times in *Fantasia Carioca bis*. This entrance also appears over a pedal point in the strings with one interesting change. The motion of descending thirds in the tail of the theme is now changed into a descending major second (b^2-a^2) followed by a descending leap of a fourth (a^2-e^2). This particular gesture imitates the adjusted entrance of the main theme from *Fantasia Carioca* (see Example 5). This same melodic change is applied in another previous entrance, where it was a result of the repetitions of the smaller units (see Example 30).

Example 36: *Fantasia Carioca bis*, mm. 206-9.

Again in this section, the composer uses one-measure units of the new material.

Following the earlier procedures, these smaller units are imitated between the woodwinds underneath the theme entrance. Three measures after the entrance of the theme in the flute, the guitars I and II enter with the main theme and lead to the ending of the piece.

As aforementioned in the previous paragraphs, the division of the material between the multiple instruments in *Fantasia Carioca bis* allows for a clearer look inside the textural underlining. In certain sections of *Fantasia Carioca* the main thematic material and related intervallic gestures are significantly compromised by the technical limitations of a single classical guitar. Dividing the material among several different instruments clarifies the separation of the melody and the accompaniment and further reinforces implied relationships.

Example 37 shows the differences in clarity between the same sections in two different versions. In the orchestral version (Example 37a) the melody is clearly outlined in the violin I, the inner instruments fill out the harmony while the lowest instrument relies on a descending chromatic line.

Example 37a: *Fantasia Carioca bis*, mm. 135-42.

The image displays a musical score for five instruments: Violin I (Vln. I), Violin II (Vln. II), Viola (Vla.), Violoncello (Vc.), and Contrabass (Cb.). The score covers measures 135 through 138. Red brackets are used to group specific musical phrases: in measure 135, a bracket spans the first two staves; in measure 136, a bracket spans the first staff and another spans the second and third staves; in measure 137, a bracket spans the first staff and another spans the fourth and fifth staves; in measure 138, a bracket spans the first staff and another spans the fourth and fifth staves. A red dashed line is positioned below the first four staves, spanning from the beginning of measure 135 to the end of measure 138.

The image shows a musical score for five instruments: Violin I (Vln. I), Violin II (Vln. II), Viola (Vla.), Cello (Vc.), and Double Bass (Cb.). The score covers measures 139 to 142. Red brackets are used to highlight specific musical features: in measure 139, a bracket connects the first two notes of the Violin I staff; in measure 140, a bracket connects the first two notes of the Violin II staff; in measure 141, a bracket connects the first two notes of the Viola staff; in measure 142, a bracket connects the first two notes of the Cello staff; and a long bracket at the bottom spans from the end of measure 139 to the end of measure 142, indicating a continuous line or gesture across the lower staves.

The lower line includes several appearances of a tritone. In m. 139, the double bass utilizes a simple ascending leap of a tritone (c^\sharp -g) which develops into a descending movement from g^\sharp to d in mm. 140-2. This gesture of a descending tritone uses the same technique as do many examples in *Fantasia Carioca*: the gesture is broken into two minor thirds (g^\sharp/a^b -f-d) and the second third is filled out with a descending chromatic movement. The imitation of the elaborated head motif between the violin II (m. 136), the viola (mm. 136-7), and the cello (mm. 137-8) in this section is also more apparent.

The same section looks very different in *Fantasia Carioca* (Example 37b). In this version the melody is presented in the inner voice while the other accompaniment notes are divided between the top voice and the bass. The descending chromatic lines from cello and double bass from the previous example are now inverted into an ascending chromatic line in the top voice. Many notes are left out due to a very dense texture of the section.

The transpositions of certain intervallic gestures and melodic lines into different octaves have an immense impact on the projected tonal direction. The harmonic implications are altered since the notes change their meaning with the relationship to the bass. The descending chromatic

movement in the double bass in mm. 135-8 is completely altered on the solo guitar in *Fantasia Carioca* (mm. 137-40). The second descending line (g[#]-d) from the same instrument is present in the original version but it is set in a different texture and has a different character than the same material presented in *Fantasia Carioca bis*.

Example 37b: *Fantasia Carioca*, mm. 137-44.

All of these drastic reductions come as a result of a very high positioning of performer's left hand on the fretboard. The coloristic differences in the solo version are very noticeable. The main melody in the middle voice changes strings and fretboard positions which results in the audible changes of color. The examination of the orchestral version thus reveals a closer look of the composer's true melodic and intervallic intentions. Such places are helpful for the performers and lead to a better understanding of the material, its derivation, and the connection to the other thematic material presented in the earlier sections.

CHAPTER 4

CONCLUSION

Performance of the contemporary classical guitar literature can sometimes be misleading. More than often, the technical capabilities of many composers/guitarists take the primary place in the process of interpretation. The internal connections, structuring, and organization of the pieces tend go unobserved. Sérgio Assad's guitar music easily falls into this category. The technical complexity of his pieces overshadows the structural elements inside his guitar works.

Fantasia Carioca presents an important guitar work of the late 20th century. This one-movement piece demonstrates a high level of organization present in Sérgio Assad's style. The entire thematic material is carefully derived from the main theme. Each thematic unit shows a set of predetermined characteristics which allow these units to react differently to particular textures and situations. The composer develops this element to its finest. The material is frequently mixed and the units are superimposed. They occur in variety of different forms and go through a prism of diverse melodic and rhythmic alterations. The thematic organization is interwoven with important intervallic gestures and relationships. These gestures, most of them also derived from the main theme, lead the development of the thematic material. *Fantasia Carioca* depicts Sérgio Assad's way of seeing Rio de Janeiro: different textures, tempo variations, quick movement of tonal centers and a variety of melodic and rhythmic alterations, but with the main theme as the common element that produces all the material and gestures and ties everything together.

The availability of the second version of the piece, *Fantasia Carioca bis* for two guitars and chamber orchestra, offers a different pool of information that contributes immensely to the analytical investigation of *Fantasia Carioca*. This version eliminates the high level of technical difficulty of the classical guitar and focuses on the further development and presentation of the

aforementioned material and gestures. This version proves that many melodic alterations and adjustments that occur throughout *Fantasia Carioca* are not just a matter of coincidence or playability of the material on the classical guitar, but occur as a result of the carefully planned and executed compositional plan. The second version does not rely only on the reproduction of the original material. It also includes new material which is processed through different techniques, some of them absent from *Fantasia Carioca*.

The goals of this dissertation have been to show this intricate web of thematic internal structuring, and to offer certain guidelines on what each performer can expect from Sérgio Assad's guitar works. Through the detailed analytical approach to important structural elements, I sincerely hope to bring the understanding of the piece closer to the performers. Despite the great popularity of Assad's guitar works and their frequent performance, a detailed analytical examination of his works has not been present in the contemporary literature.

Although the one correct way of interpreting this piece does not exist, all the provided arguments do show how the piece is put together and which elements have more prominence. This knowledge can change the approach to the piece and guides the process of interpretation for the performers. This research also provides a look into Sérgio Assad's box of compositional tools and presents basic guidelines for future approaches to Assad's guitar oeuvre.

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