

A MAN OF TWO WORLDS: CLASSICAL AND JAZZ INFLUENCES IN  
NIKOLAI KAPUSTIN'S *TWENTY-FOUR PRELUDES*, OP. 53

By

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## ABSTRACT

Nikolai Kapustin was born in 1937 and has been active as a composer since the late 1950s, though he has only become relatively well known in the West since around 2000. Despite the fact that he has spent his whole life in Russia, Kapustin was strongly influenced by American jazz and his compositional style has always been a combination of the formal elements of classical music and the stylistic elements of jazz. Critics have all commented on Kapustin's astute blend of classical form and jazz style, mentioning the influence of Russian composers Rachmaninov and Scriabin, while also noting echoes of Art Tatum, Oscar Peterson, and Chick Corea. The *Twenty-Four Preludes*, Op. 53 were published in 1988 and follow the key sequence set forth by the Chopin *Preludes*, Op. 28. These preludes are as virtuosic and ambitious as those of Chopin, Scriabin, and Rachmaninov.

A close examination of the score of the *Twenty-Four Preludes*, Op. 53 reveals that Kapustin uses several methods of thematic organization, including variations of scoring, thematic transformation, and spinning out the germ of an idea in a more improvisatory way and that these techniques can be traced directly to the music of Rachmaninov, Scriabin, Liszt, and Beethoven. There are examples of ternary, rondo, and monothematic forms, and the ternary *Preludes* in particular contain elements similar to sonata-allegro form. Kapustin's musical language is infused with the harmonic and rhythmic elements of jazz, with ample use of added note chords in sophisticated voicings. The echoes of various jazz artists are represented by his skilled use of pianistic

techniques like stride and walking bass along with a broad range of harmonic and rhythmic devices that span the stylistic range from Swing and Novelty piano, to Bebop and contemporary Jazz-rock. Though he is clearly familiar with standard jazz harmonic devices, he uses them sparingly, preferring instead to use modulation and developmental models that are grounded in classical music practice. From modern jazz, he takes quartal, pentatonic, and diminished harmony, along with highly chromatic two-voiced textures similar to those used by jazz artists from the 1960s onward, particularly Miles Davis.

## CHAPTER 1: INTRODUCTION

Nikolai Kapustin has been active as a composer since the late 1950s though he has only become known in the West during the last decade. His scores are relatively difficult to obtain and costly, and his own recordings are available only through foreign sources.<sup>1</sup> Two prominent pianists, Steven Osbourne and Marc-André Hamelin, have recorded all-Kapustin CDs and these recordings have generated most of the articles about Kapustin in western music magazines over the last few years.<sup>2</sup> Most critics have appropriately commented on Kapustin's astute marriage of classical form with jazz style. This study seeks to quantify these claims through an analysis of his informed use of jazz style as well as his command of classical form. In this study, I will attempt to show, through stylistic and formal analysis, that Kapustin has combined a classical approach to composition with an authentic command of jazz styles in the *Twenty-four Preludes*, Opus 53. Kapustin's assimilation of the stylistic language of jazz and its application to written composition presents interesting questions about stylistic boundaries, the notation and performance of jazz scores, and the musical similarities between jazz piano music and classical piano music. This study will explore these questions in relation to the *Preludes* and substantiate the observations others have made about his stylistic influences, while presenting a detailed analysis of his compositional style.

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<sup>1</sup> For information on recordings and scores, see [www.nikolaikapustin.net](http://www.nikolaikapustin.net). Recordings are available through HMV Japan and scores through Tutti UK. See Reference section for complete information.

<sup>2</sup> Marc-André Hamelin, *Nikolai Kapustin Piano Music*, Hyperion CDA67433, 2004, and Steven Osbourne, *Nikolai Kapustin Piano Music*, Hyperion CDA67159, 2000.

Most observers who comment on Kapustin's music focus on his combination of jazz harmonic and rhythmic language with classical form. Besides his ability to recreate the styles of Art Tatum, Oscar Peterson, and Erroll Garner, there is also a unique and sophisticated craftsmanship at work. Stuart Isacoff refers to the "organic cohesiveness of the compositions, the technical flair of a pianist/composer, ... [and] the lyricism and adventurousness found in much early twentieth-century Russian music."<sup>3</sup> Other composers have written music with a combination of jazz and classical influences, but it is possible that no one has combined the two in such an integrated way.<sup>4</sup> In reference to his jazz influences, Jed Distler has said, "[h]e hasn't merely appropriated but truly internalized the music's stylistic and textural evolution from Scott Joplin to Keith Jarrett."<sup>5</sup> Though Distler, Isacoff, and others have written knowledgably about Kapustin and his music, these articles have appeared in liner notes and popular magazines like *Piano Today* and *International Piano*. In the one existing scholarly paper on Kapustin to date, Jonathan Mann states "...a jazz vernacular is presented in a contrapuntally dense framework of thematic organization, development, and restatement."<sup>6</sup> I agree with Isacoff that Kapustin's work combines classical and jazz in a more integrated way than many others who have attempted such a syntheses and it is the author's intention to corroborate this claim through detailed analysis. It is my intention to continue a scholarly discussion

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<sup>3</sup> Stuart Isacoff, "Marc-André Hamelin Plays the Wild and Jazzy Music of Nikolai Kapustin," *Piano Today* 24, no. 4 (Fall 2004): 5.

<sup>4</sup> Kirsten Joan Helgeland, "Jazz and the Classics: A study of American crossover piano works from 1920 to 1935" ( PhD diss., University of Cincinnati, 1999).

<sup>5</sup> Jed Distler, notes to *Nikolai Kapustin Piano Music*, Hyperion CDA67433, 2004.

<sup>6</sup> Jonathan Edward Mann, "Red, White, and Blue Notes: The Symbiotic Music of Nikolai Kapustin" (D.M.A. diss., University of Cincinnati, 2007):2.

of Kapustin's work with the present study of stylistic and structural elements of the *Preludes* with the hope that future scholars will continue to discuss, analyze, enjoy, and disseminate the music of Kapustin.

The way that Kapustin uses the raw material of jazz recalls Bach's use of contemporary dance forms and the use of folk music by many nineteenth and twentieth century composers.<sup>7</sup> Just as Bach turned the vernacular dance styles of the era into art music, so Kapustin seems to have used the raw material of twentieth century jazz to create concert music that is modern, refreshing, pays homage to its jazz sources, and speaks to contemporary audiences in a unique way.

From the vantage point of the early twenty-first century, it seems that the world of art music is embracing a wide variety of musical styles as never before, and jazz-oriented music is one of the main influences. Contemporary classical performers are including transcriptions of Art Tatum, Bill Evans, and Fats Waller in their recordings and concert programs, and audiences seem curious if not eager to hear this music in a new context.<sup>8</sup> These developments raise interesting questions about classification and context. They also tend to elucidate elements of jazz style—elements that, because they are truly based in an aural/oral tradition, defy notation and often befuddle performers who are not steeped in that tradition. Kapustin's music fits nicely into this trend, presenting performers with fully notated scores that require significant insight into jazz performance

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<sup>7</sup> Meredith Little and Natalie Jenne, *Dance and the Music of J. S. Bach* (Bloomington: Indiana University Press, 2001).

<sup>8</sup> Recordings of Art Tatum's music by Steven Mayer, Fats Waller's music by Paul Posner, and Bill Evans's music by Jean-Yves Thibaudet are current examples. See Bibliography for details on recordings.



practice. Only time will tell if this trend will continue to blur the boundaries of the great classical-jazz divide.

## CHAPTER 2: BACKGROUND INFORMATION ON NIKOLAI KAPUSTIN

Nikolai Girshevich Kapustin was born in 1937 in Gorlovka in the Ukraine. He graduated in 1961 from the Moscow Conservatory, where he was a student of the famed pianist Alexander Goldenweiser (1875-1961). At the same time that he was immersed in classical literature, he began experimenting with jazz, making his debut at the Sixth International Festival of Youth and Students in Moscow in 1957 with his Concerto for piano and jazz orchestra, which is deemed his Opus One. After completing his studies, he served as pianist and arranger with Oleg Lundstrem's Symphony Orchestra of Light Music (1961–1972), the Television and Radio Light Orchestra of Vadim Lyudvikovsky (1972–1977), and The State Cinematography Symphony Orchestra (1977–1984).<sup>9</sup>

Kapustin's focus as a composer has always been a combination of jazz style fused with classical form, putting his work firmly in what was deemed "Third Stream" music by Gunther Schuller in 1957. He has composed works for large ensembles, including many concertos—for orchestra, for wind and string instruments, and six for piano. Chamber music includes duos, trios and larger ensembles of strings and winds with piano. Because he is an accomplished pianist, it is perhaps not surprising that Kapustin's output for solo piano is large, including seventeen sonatas, the set of *Twenty-Four Preludes*, a set of *Preludes and Fugues* in all 24 keys, and many other collections including suites, etudes, and impromptus. His opus numbers now top 130.

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<sup>9</sup> A performance video of the *Toccata*, Op. 8 featuring Mr. Kapustin with Oleg Lundstrem is available at <<http://www.youtube.com/watch?v=kUYiD7VGBXY>>. Please note that this spelling is used in some references, including YouTube; others use the alternate spelling Lundstrom.

One might well ask how a young man living in the Soviet Union of the 1950s absorbed the influences of contemporary jazz performers so authentically. Though the Soviet regime took an antagonistic view of jazz in the early 1950s, Khrushchev's reforms created a considerably more comfortable climate for jazz by the end of the decade. Willis Conover's Radio Free Europe programs gave Russian jazz enthusiasts an opportunity to hear contemporary trends.<sup>10</sup>

While Kapustin's interests were certainly not the norm for the Moscow Conservatory, the fact that his music contains no improvisation and blends classical and jazz influences seems to have kept it safe from censure. As Kapustin explains, "I was entirely free; no problems. My music wasn't avant-garde."<sup>11</sup> Both Kapustin and his experience with the Lundstrem group exemplify the hybrid nature of their endeavors. Judging from the video clips available on YouTube, Lundstrem's music was presented in a manner suited to its pedigree; though there were sections of hard-swinging jazz, they looked and acted more like a classical orchestra than a jazz band. Black tie and tails and a classical manner of conducting created a familiar presentation that was both non-confrontational and sophisticated.

Though Kapustin studied with Goldenweiser, apparently the association was more cordial than constructive. Speaking of Goldenweiser, Kapustin said "He was a very interesting person—he remembered Rachmaninov and Medtner, so it was very interesting to speak with him. But as a teacher he gave me nothing, because he was very old—he

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<sup>10</sup> Wendell Logan, "The Development of Jazz in the Former Soviet Union: An Interview with Victor Lebev," *Black Music Research Journal*, Vol. 12, no. 2 (Autumn, 1992): 229-230.

<sup>11</sup> Martin Anderson, "Nikolai Kapustin, Russian Composer of Classical Jazz," *Fanfare* Sep-Oct 2000: 96.

was already 81.”<sup>12</sup> Instead, it was Kapustin’s previous teacher whom he credits with advancing his skills. “I had another teacher, a great teacher, but nobody knows about him—Avrelian Rubakh. He was a student of Blumenfeld.”<sup>13</sup>

There is also an interesting link between Rubakh and the man who is considered Russia’s first jazz pianist, Alexander Tsfasman (1906-1971). Both Rubakh and Tsfasman studied with Felix Blumenfeld (1863-1931), and in the 1960s Tsfasman became a mentor to Kapustin. “We pianists liked Tsfasman for his elegance and easy-going style and his perfect finger technique...”<sup>14</sup> Also, Blumenfeld, Tsfasman, and Kapustin are all Ukranian.

Though his early experiences seemed to indicate a career as a virtuoso classical pianist, his path changed in his early twenties. “... at 20, 21, 22, I understood that jazz was very important. And I didn’t like performing; composing was more interesting.”<sup>15</sup> A reserved and apprehensive interviewee, Kapustin’s rare interviews have supplied only limited information about his background. When asked in 2000 about his influences, he mentioned just one: Oscar Peterson, “He’s No. 1 for me.”<sup>16</sup>

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<sup>12</sup> Anderson, 94.

<sup>13</sup> Ibid., 94.

<sup>14</sup> Mann, 33.

<sup>15</sup> Anderson, 94.

<sup>16</sup> Harriet Smith, “Bridging the Divide,” *International Piano Quarterly*, Vol. 4, No. 13, (Autumn, 2000), 55.

CHAPTER 3: *THE PRELUDES* IN CONTEXT

The *Twenty-Four Preludes*, Op. 53 (hereinafter referred to as *The Preludes*) were published in 1988 and are unique in their relationship to other works in this genre. Kapustin follows the key sequence set forth by Chopin in his Op. 22 *Preludes*: all major and minor keys beginning with C major, traversing the circle of fifths with each major key followed by its relative minor. Though there are musical figures that reappear throughout *The Preludes*, this does not seem to be an attempt to create structural integrity through repeated, unifying motives.

Composers began writing sets of preludes in the 17<sup>th</sup> century, and though these were often grouped by key sequence, composers have followed several distinct methods of organization.<sup>17</sup> Though there were others before him, Bach established a method of chromatic organization with his two sets of twenty-four preludes and fugues in all keys, published as *The Well-Tempered Clavier*, Books I and II. Several composers have followed this organizational method, including twentieth-century composers York Bowen, Robert Cumming, Fernando Lopes-Graça, Niels Viggo Bentzon, and Henry Martin. Though influenced by Bach, Chopin chose to compose preludes without fugues and to organize his set around the circle of fifths. Chopin's influence is easily as strong as Bach's and many composers have followed his lead in organizing their own sets, including Felix Blumenfeld, Ferruccio Busoni, Dmitri Kabalevsky, and Dmitri

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<sup>17</sup> Eric Gilbert Beuerman, "The Evolution of the Twenty-four Prelude Set for Piano" (D. M. A. diss., University of Arizona, 2003).

Shostakovich, Robert Casadesus, Alexander Scriabin, and Rodion Shchedrin (preludes and fugues) also composed their sets with the same structure but with some enharmonic equivalents. Two of the most popular and influential twentieth-century prelude sets were by composers who did arrange them by key sequence. Serge Rachmaninov composed 24 preludes in all keys published in three collections over the course of his lifetime (Op. 2, 23, and 32), but did not group by key. Claude Debussy's compositional method did not follow such strictly defined rules and his preludes were composed in two books of twelve pieces, but without any defined key relationships or tonal organization throughout the sets.

Though composers from many countries have contributed to the genre of preludes, it is interesting to note that a large number of Russian composers have done so. This list includes Scriabin, Blumenfeld, Cui, Rachmaninov, Glière, Shostakovich, Kabalevsky, Soulima Stravinsky, and Shchedrin. Kapustin has doubly contributed with his *Twenty-Four Preludes*, Op. 53 as well as the *Twenty-Four Preludes and Fugues for Piano*, Op. 82. Kapustin's organization of the *Preludes and Fugues* is interesting in that it does not fall neatly into any of Beuerman's classifications: major keys traverse the circle of fifths, while the minor ones that follow are a major third below. So the sequence begins C, g#, F, c#, etc.

The fashionable twentieth century idea of a composition as an inviolable whole does not apply to *The Preludes*. When asked whether they should be played as a cycle,

Kapustin responded, “Actually, no. I think they’re too long that way—pianists can play any part of it. It doesn’t matter.”<sup>18</sup>

I have selected *The Preludes* for this study because these short pieces, in contrast to the longer sonatas, more closely resemble the jazz models Kapustin emulates. A collection of twenty-four short pieces also invites a broad stylistic range within the scope of one collection, and Kapustin takes full advantage of the opportunity. Analyses of specific *Preludes* will illuminate the broad range of his stylistic references.

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<sup>18</sup> Harriet Smith, “Bridging the Divide,” *International Piano Quarterly*, Vol. 4, No. 13, (Autumn, 2000), 54-55.

## CHAPTER 4: STANDARD JAZZ TECHNIQUES

Instead of merely assimilating clichés, Kapustin integrates jazz techniques into his own idiosyncratic but sophisticated musical language. A quick comparison with the music of other “crossover” composers in Chapter 15 will elucidate some differences of approach between Kapustin and other composers who have used jazz elements in their music. Chapters 4 and 5 will present detailed analyses of specific techniques found in *The Preludes*, with sources ranging from boogie-woogie and stride, to jazz-rock and avant-garde techniques. This chapter deals with standard jazz techniques—practices that were in place before 1960. The following chapter will cover developments in jazz after 1960. Chapters 13 and 14 will discuss these same techniques as they are applied in *The Preludes*.

1890	1900	1910	1920	1930	1940	1950	1960	1970	1980	1990
Ragtime										
Blues										
Tin-Pan Alley										
			Early Jazz							
			Novelty Piano							
			Swing							
					Bebop					
						Hard-bop				
							Cool/Modal/West Coast			
								Free Jazz		
									Jazz-rock	

Table 4.1, History of Jazz and Jazz-influenced music

Table 4.1 shows a brief timeline of the history of jazz styles. A simplistic look at the evolution of jazz might suggest that each successive style supplanted and improved upon its predecessor. By the turn of the twenty-first century, this view is generally



thought of as outdated. Just as contemporary classical music embraces many diverse styles, so does jazz. In 2009, it is possible to find communities of performers in every genre listed in the table above as well as new trends that are easy enough to distinguish but difficult to label.

### Jazz Harmonic Progressions

By the late 1920s, jazz had become infused with the harmony of popular song forms from Vaudeville and Broadway and this influence formed the basis of jazz form and harmony until the 1950s. This standard jazz harmony is strongly tonal and the ii-V progression functions as its basic building block.

The image shows two staves of musical notation for Charlie Parker's *Confirmation*, A section. The first staff is in treble clef, 4/4 time, and contains the following chords and melodic lines: FΔ (I), EØ (vii), A7+9 (III (V/vi)), D- (vi), G7 (II (V/V)), C- (ii), and F7. The second staff is in bass clef, 4/4 time, and contains the following chords and melodic lines: Bb7, A- (V), D7 (II), G7 (V), G- (ii), C7 (V), FΔ (I), and F7. The notation includes various rhythmic values, including eighth and sixteenth notes, and rests.

Example 4.1, Charlie Parker's *Confirmation*, A section

The ii-V progression can both establish a key center and also serve as the engine for modulation. In a diatonic context, the progression leads to circle of fifths motion around a key center. In the Bebop era of innovation (circa 1944-1955), artists like Charlie Parker based their experiments on a superabundance of ii-V progressions to keep the harmony constantly moving. In *Confirmation* (ex. 4.1), ii-V progressions lead around the

circle of fifths in the key of F major. Considering just root movement, it is entirely diatonic, moving around the circle of fifths from vii until it returns to tonic. The progression uses ii-V movement of mostly diatonic ii chords and secondary dominants. Exceptions are the C minor and F7 chords in bar 4, which are ii-V in the key of B<sup>b</sup>, the subdominant. Also, before resolving to the diatonic ii chord of G minor, bar 7 uses G<sup>7</sup>, V of V, to prolong the phrase before a ii-V cadence in F.

Example 4.2, Thelonious Monk's 'Round Midnight, chromatic ii-V progression

The chromatic ii-V is another progression originating from the Bebop era that adds color and harmonic movement to a phrase. A chromatic ii-V progression is inserted into a diatonic setting, usually the ii-V a half step above the diatonic ii-V. While this is more likely to happen in improvisation choruses, Thelonious Monk's 'Round Midnight uses the progression in the A section of the song (ex. 4.2).



Example 4.3, I-vi-ii-V turnarounds, *I Got Rhythm*, first four bars

After ii-V, the most basic harmonic progression in jazz is I-vi-ii-V-I. It could be said that the repertoire that is commonly referred to as “jazz standards” is powered by this progression, one of the most basic and ubiquitous in tonal harmony. This and several other progressions can be classified as tonic prolongation, used to add color to music that would otherwise become dull and static. These progressions are also inserted into cadences to push back to the beginning of the form of a song and for that reason are called “turnarounds.” There are countless songs in the standard repertoire that use this progression, and Gershwin’s *I Got Rhythm* is just one well-known example (ex. 4.3).



Example 4.4, Substitutions and alterations in turnarounds

Jazz performers use many alterations and substitutions to the chords of this progression to keep it fresh. Some of the substitutions include using a iii chord in place of a I chord, and tritone substitutions, which will be covered below. Alterations mostly

involve changing minor chords into secondary dominants, so vi becomes V of ii, and ii becomes V of V. The progression in ex. 4.4 begins on iii and the vi and ii chords are changed from minor to dominant, becoming secondary dominants. The iii can also be converted into a dominant chord. Also notice that the alterations and added notes can be voiced in such a way as to create smooth chromatic voice leading.

The image contains two musical examples, each on a grand staff (treble and bass clefs).  
 Example 1, titled "I to iii", shows a progression from I to iii in a minor key. The bass line starts on a whole note I chord, then moves to a half note ii chord, and finally to a half note iii chord. The treble line features a melodic line with a trill on the final note of the iii chord.  
 Example 2, titled "iii to I", shows a progression from iii to I. The bass line starts on a whole note iii chord, then moves to a half note #ii^o7 passing chord, and finally to a half note I chord. The treble line features a melodic line with a trill on the final note of the I chord.

Example 4.5, the  $\#ii^{\circ 7}$  passing chord

Two more common progressions involve use of a  $\#ii^{\circ 7}$  passing chord (ex. 4.5).

The first is another sort of tonic prolongation that moves up from I to iii and is used in the well-known Duke Ellington song *Don't Get Around Much Anymore*. The second progression moves in the opposite direction and can either just move down from iii to ii or go completely back to I. This progression is used in the first bar of the Teddy Wilson example below (ex. 4.6).



Example 4.6, The  $a^{i^7}$  chord complements and extends I

Another common device that adds color to a tonic chord is to insert a  $a^{i^7}$  chord into the phrase (ex. 4.6). Erroll Garner's *Misty* is often played using this progression.

Tonic 6-4 Progression w/ tritone substitution ending



Tonic 6-4 Progression w/ turnaround



Example 4.7, Blues-based  $I^{6_4}$  progression with and without turnaround

While there are several varieties of twelve-bar blues progressions, the common denominator is a move to a IV chord in the fifth bar of the form and a return to I in bar 7. There are several variations to the last section of the form, though most contemporary jazz-oriented performers use ii-V progressions and turnarounds. A common Blues-based

progression includes V of IV and a  $I^{64}$  as a cadence or turnaround. Example 4.7 shows two versions of this progression.



Example 4.8, A turnaround with tritone substitutions

Tritone substitution chords are another staple of jazz keyboard harmony. A tritone substitution chord retains the tritone present in a seventh chord but substitutes the root a tritone away. For example, a  $G^7$  chord has the tritone B—F and so does a  $D^{\flat 7}$  chord, so  $D^{\flat 7}$  chord can be used as a tritone substitution for  $G^7$  and vice versa. In ex. 4.8, the second and fourth chords are tritone substitutions: the  $G^{\flat 7}$  for  $C^7$ , and the  $F^{\flat 7}$  for a  $B^{\flat 7}$ . Of course, there are other upper added notes to the chords and the last two use parallel motion.



Example 4.9,  $\flat II-I$  Cadence

Another type of dominant substitution is created by using a major 7<sup>th</sup> chord a half step above the tonic (<sup>b</sup>II major 7<sup>th</sup>). It often uses parallel voicing and could also be considered an example of planing.



Example 4.10, <sup>b</sup>V cadence

Finally, a <sup>b</sup>V cadence is another popular progression often used as an introduction or tag ending to a song. As seen in ex. 4.10, it starts a tritone from the tonic and can either use circle of fifths movement or downward movement chromatically from a dominant chord using other tritone substitution chords along the way.

### Chord Voicings

In most modern jazz, rarely do 7<sup>th</sup> chords provide enough resonance—most chords include further extensions of 9<sup>th</sup>, 11<sup>th</sup>, 13<sup>th</sup>, and chromatic alterations. In jazz theory, these extensions are often called “upper structures.” In order to create chords with these upper structures, either the chord must have a fuller texture or else some of the basic chord members are omitted. Often these chord voicings are spread between the

hands, and hardly ever voiced simply in stacked thirds. Chromatic inner voices and smooth voice leading are also markers of sophisticated jazz harmony.

Both George Shearing and Bill Evans were known for their “touch” or “sound” at the piano. There are two aspects to this concept of a jazz pianist’s sound. One is technical—the resources brought to bear in the physical aspect of playing piano, which is beyond the scope of this discussion. The other aspect is the pianist’s harmonic approach and the way he or she voices chords.

The image displays a musical score for George Shearing's arrangement of the jazz standard "How About You". The score is presented in three systems, each consisting of a grand staff with a treble and bass clef. The key signature is one sharp (F#), and the time signature is 4/4. The notation is characterized by dense, chromatic voicings in the right hand and a steady, rhythmic bass line in the left hand. The first system shows the initial chords and a melodic line in the right hand. The second system continues the harmonic progression with more complex voicings. The third system features a prominent chromatic movement in the right hand, with the bass line providing a consistent accompaniment.

Example 4.11, George Shearing’s arrangement of *How About You*

This arrangement of the tune *How About You* by George Shearing (ex. 4.11) shows his chromatic approach to harmony. The song helps in this case, since it is an interesting



tune in G major that briefly modulates to the foreign key of B major. It does so simply by stepping down from G major to F<sup>#</sup>7, the dominant of B major, in measure 4 above. It returns to G major through a circle of 5ths progression: B – E – Am<sup>7</sup> – D<sup>7</sup>. This example is full of colorful passing chords and movement in tenths between the right and left hand parts along with ample upper extensions in chord voicings.

Moderately ad lib., but with a feeling of 2

Chord progression: Eb<sup>+</sup> Cm Fm<sup>+</sup> Bb<sup>7</sup> Eb C<sup>7</sup> Fm<sup>7</sup> Gm<sup>11</sup> Bbm<sup>7</sup> Dbmaj<sup>7</sup> Eb<sup>7</sup><sub>4</sub><sup>6</sup>, Abmaj<sup>7</sup> Gm<sup>9</sup> Cm<sup>7</sup> Fm<sup>7</sup> F<sup>#</sup>dim Eb<sup>9</sup> E<sup>phi</sup><sup>7</sup> Fm<sup>9</sup> Abm<sup>7</sup>

Example 4.12, Bill Evans arrangement of *Who Can I Turn To*

Bill Evans's recordings from the late 1950s and 1980s have exerted an enormous influence on pianists ever since. His sophisticated harmony and chord voicings, which seem certainly to have been influenced by Ravel, bear witness to his classical background. Example 4.12, a transcription from his recording of *Who Can I Turn To*,

uses chromatic inner voices along with somewhat dissonant chord voicings to create a beautiful rendition of the song.<sup>19</sup> The cadence in the final bar uses a novel dominant substitution. Instead of a V chord, he uses a tritone substitution ( $E^7$ ) and precedes it with its ii, B min<sup>7</sup>. The right-hand part complements the progression with diminished harmony, a topic in the next chapter.

### Boogie-woogie

Boogie-woogie is defined by the New Grove Dictionary of Jazz as being “...characterized by the use of blues chord progressions combined with a forceful, repetitive left-hand bass figure.” There are several standard boogie figures, but Kapustin tends to use them in ways that are similar to pianists who incorporate these figures as one element of their style, rather than those whose style is completely defined by their use.

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<sup>19</sup> Note some of the erroneous chord symbols that completely ignore the root of the chord. Some examples include Gm11 in bar 2, which is really an A<sup>b</sup>M7 with a #13, the D<sup>b</sup>M7 in bar 4, which is a B<sup>b</sup>m7, the E<sup>b</sup>7, which is an A7 with #11, and the Gm9 in bar 6, which is a G sus that resolves to G7.

The image displays three systems of musical notation for a piano piece. The first system consists of a treble clef staff with a melodic line and a bass clef staff with a bass line, marked with a mezzo-forte (*mf*) dynamic. The second and third systems continue the piece with similar notation, including various rhythmic patterns and chordal structures.

Example 4.13, Waller's *Between the Devil and the Deep Blue Sea*

In ex. 4.13, *Between the Devil and the Deep Blue Sea*, Thomas “Fats” Waller uses a technique that later became a trademark of Count Basie: two voices that push the harmony and rhythm forward. Here the bass moves up chromatically from I to ii, then to V and back to I, with the chromatic note functioning as V of V. The tenor part repeats scale degrees 5-6-5 throughout.

The image displays two systems of musical notation for the piano accompaniment of 'Alligator Crawl'. The first system consists of two staves: a treble clef staff with a whole rest and a bass clef staff containing a broken-octave boogie figure. The bass clef staff is marked with a dynamic of *mf* and the instruction '8va Basso'. The second system also has two staves. The treble clef staff begins with a triplet of eighth notes, followed by a whole rest, and then features a Stride-style pattern with triplets and chords. The bass clef staff continues the broken-octave boogie figure from the first system, marked with a dynamic of *mf* and the instruction 'taco'.

Example 4.14, Fats Waller, *Alligator Crawl*

In ex. 4.4, *Alligator Crawl*, Waller uses the broken-octave boogie figure, here arpeggiating the tonic added-sixth chord. In measure 7, it switches to Stride—addressed below.

Example 4.15, Boogie with broken chords

Another type of boogie accompaniment figure is also used in blues and rock. In ex. 4.15, the upper two voices of each triad move up to the 7<sup>th</sup> then back to the triad. In a blues progression, it usually will appear in the same format on I, IV, and V chords, as in the example above.

## Stride

Stride is a style of piano playing that grew directly out of ragtime and was the predominant approach for pianists wishing to imitate the rhythmic drive of a jazz ensemble in solo playing. In some stride piano, there is a constant swing back and forth between low bass and mid-range chord; others vary this rhythm. The use of tenths in stride is common and for some performers, an integral feature of their approach. Two examples will show aspects of the style.

The image displays five systems of piano accompaniment for the song "Blue Moon" by Teddy Wilson. The music is written in a grand staff (treble and bass clefs) with a key signature of two flats (B-flat major/D minor) and a 4/4 time signature. The first system begins with a dynamic marking of *mf* and includes a boxed-in section in the bass line with the annotation "iii-#ii-ii". The second system features a triplet in the treble line and chord labels V/vi, V/vii, V/V, ii, and V. The third system has a boxed-in section in the bass line with chord labels C7/G, Cb7/Gb, Bb7/F, I, and vi. The fourth system includes chord labels ii and V. The fifth system continues the accompaniment without specific labels.

Example 4.16, Teddy Wilson's *Blue Moon* arrangement

Teddy Wilson's arrangement of *Blue Moon* is a good example of harmonic expansion in early jazz, as well as the use of tenths in stride at a relaxed tempo. This arrangement is, for the most part, very diatonic and rhythmically straightforward, though



Wilson does alter the basic I-vi-ii-V-I pattern of the song, which is a standard 32-bar song form in AABA format. In the original version, the I-vi-ii-V-I pattern is repeated eight times in the span of the first two A sections. Wilson uses this progression only once, in measures 9-11. In place of this, he inserts a V of vi in measure four and this move to vi breaks up the monotony of the repeated progression. In addition, there is an unexpected chromatic sidestep in the last two bars of the first A, which normally would have a turnaround. In measures 7-8, Wilson alters the basic pattern of chromatic tenths used in measures 1-2, placing the G<sup>b</sup> and B<sup>bb</sup> in bar 8 in the “wrong” place—the downbeat. This creates a harmonic displacement and a sidestep from C<sup>7</sup> to C<sup>b7</sup> to B<sup>b7</sup>, so possibly an example of planing. The C<sup>b7</sup> is a tritone substitution for F<sup>7</sup>. It is also noteworthy that Wilson’s chord voicings rarely go beyond the 7th.



The image displays a musical score for Art Tatum's arrangement of "Sunday". It consists of six systems of piano and bass notation. The score is written in a key signature of one flat (B-flat major or D minor) and a 4/4 time signature. The first system begins with a piano dynamic marking (*mf*). The music is characterized by complex harmonic structures, including extended chords and chromatic alterations, and complex rhythmic patterns, such as triplets and syncopation. The score includes various performance markings, including *8 bassa* and *8va*, and dynamic markings like *mf*. The notation is dense and intricate, reflecting the complexity of Tatum's style.

Example 4.17, Art Tatum's *Sunday* arrangement

Art Tatum's *Sunday* arrangement is much more complex harmonically and rhythmically, with use of extended structures in chord voicings, chromatic alterations of chords and melodies, and complex rhythmic displacement within the context of a relaxed

stride technique. While Wilson used tenths to create resonance and a fuller texture, Tatum goes further by often turning the upper note of the pair into a tenor counterpoint line, with elements of voice leading pushing the harmonic progression forward. One of the most striking things in this arrangement is the way that Tatum temporarily leaves the key center in the break between the A sections—the same place in the form that Wilson performed a little sidestep. In measures 7 and 8 there would normally be a I-vi-ii-V-I turn-around; instead Tatum uses an out-of-context circle-of-fifths harmonic progression: C–A<sup>b</sup>–D<sup>b</sup>–G<sup>b</sup> with a sidestep up to the dominant G<sup>7</sup> in the third beat of bar 8 to return to C major.

### Swing Eighths

By the late 1920s, a rhythmic style that sounds contemporary by current standards had been established. That rhythm is generally referred to as swing or swing eighths, an uneven triplet-based subdivision of the quarter note. It is a ubiquitous sound, easy to identify yet difficult for many to master. Sometimes swing eighths are notated as eighth-note triplets with a tie between the first two notes. Other times, duple-based eighth notes are accompanied with an indication to swing the rhythm. Swing eighths and syncopation are an integral part of many jazz styles from the 1920s to the present.

Syncopation has been a part of jazz from the beginning, but the type of rhythm that was a product of the Bebop revolution of the 1940s was decidedly different from the relaxed swing era syncopation that preceded it. Though it is still triplet-based, there is more duple division of the beat than existed in the Swing Era, partly because of the faster

tempos and faster runs. As the tempo increases, the distinction between triplet-based swing rhythm and straight-eighths becomes less and less apparent. Three elements specific to Bebop rhythm have become part of standard jazz rhythmic practice: very fast tempos, triplets alternating with duple rhythm, and strong accents at the ends of phrases, often on the last sixteenth note. This type of syncopation is sometimes an anticipation, which will be discussed below. Performance aspects of swing-eighths will be discussed in Chapter 7. Kapustin makes ample use of syncopation and swing-eighths, though less than half of *The Preludes* use this type of rhythmic approach.

#### Bent-note and Double-note Techniques

Jazz and jazz-rock use bent-note and double note techniques that originated from vocal and guitar-based blues forms. Since both the voice and the guitar can bend pitches, it is a natural means of expression and is an American interpretation of African musical practice. The piano can only simulate the effect by using crushed notes, usually the blue notes of flat third and fifth, which are very effective at giving a funky blues feeling.<sup>20</sup> Oscar Peterson was a master at using these techniques and two examples will illuminate their use.

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<sup>20</sup> The New Harvard Dictionary of Music defines funky as “Earthy, sexual, danceable, gospel-influenced.” The Oxford Companion to Music online says funk is “a musical style derived from Rhythm and Blues and Soul, characterized by repeated rhythmic figures and a strong bass line.”

The image displays a musical score for Oscar Peterson's piece "The Smudge". It consists of four systems of piano accompaniment, each with a treble and bass clef staff. The key signature is E-flat major (three flats). The score includes various chords and melodic lines with specific performance instructions.

- System 1 (Measures 107-110):** Treble clef starts with a melodic line. Chords Eb9, C+7, F7+9, Bb7, and Eb7 are indicated above the staff. A box labeled "Ch. 10" is present. Bass clef provides harmonic support. Performance markings include "POLO CRESC..." and "ME PIANO SOLO 6".
- System 2 (Measures 110-113):** Treble clef continues the melodic line. Chords Bb7, Eb7, A13, and Ab13 are indicated. Bass clef continues the harmonic accompaniment.
- System 3 (Measures 113-116):** Treble clef continues the melodic line. Chords Ab7, Eb7, Ab7, and Eb7 are indicated. Bass clef continues the harmonic accompaniment.
- System 4 (Measures 116-119):** Treble clef continues the melodic line. Chords G+7, C+7, F7, Bb7, and Bb+7 are indicated. Bass clef continues the harmonic accompaniment.

Example 4.18, Oscar Peterson, *The Smudge*

*The Smudge* is a blues piece in E $\flat$  written by Peterson. This example is from the tenth chorus of his improvisation and shows both bent notes and double notes. These bent-notes are all G $\flat$ , the blue third, or D $\flat$ , the blue seventh. Peterson insistently repeats

these notes despite the changing harmony, creating effective dissonance that must be resolved.



Example 4.19, Oscar Peterson, *Blues Etude*

Two bars from *Blues Etude*, another blues piece written by Peterson, will demonstrate double notes. The added notes are always chord tones and add texture and resonance to a single-note melodic line.

### Walking Bass Lines

Walking bass developed in the swing era and has continued to be a primary component of any jazz ensemble. Pianists can also benefit from occasionally simulating the effect of an upright bass with its unique ability to keep both rhythm and harmony moving forward. Effective walking bass lines have the following characteristics:

Mostly step-wise motion in quarter notes

Strong chord tones (goal notes) on downbeats

Approach notes, usually a half-step above or below a goal note

Arpeggiation, eighth notes, and triplets to provide accents

♩ = 100

C7 F7 C7

4 F7

7 C7 Dm7

10 C7 C7 A7 Dm7 G7

Example 4.20, Walking bass line in a blues progression

Example 4.20 shows a walking bass line in a blues progression with chromatic approach notes that push to important chord tones, especially on downbeats.

### Rhythmic and Harmonic Anticipation

The use of syncopation in jazz is widely understood, though another common device, anticipation, is perhaps not so well documented. Anticipation is a technique used in broad range of jazz styles to heighten rhythmic vitality. Simply put, playing a chord just ahead of its anticipated appearance enhances the effect of syncopation. Jazz artists as diverse as Art Tatum, Bill Evans, and Chick Corea all use anticipation. There are anticipations in some of the examples above. In Teddy Wilson's *Blue Moon* (ex. 4.16), he consistently places chords in the right-hand part an eighth or sixteenth beat ahead of their anticipated appearance, coming ahead of the left-hand harmony. In fact, the arrangement starts with this technique and it is repeated in measures 2-3, 4-5, 8-9, 10-11, 14-15, and 15-16. There are fewer instances in Art Tatum's *Sunday*, ex. 4.17, but it is used in bars 2, 4, 10, and 14. In Peterson's *The Smudge* (ex. 4.18), there is anticipation in measures 4-5, 6-7, and 11. The device is also present in two examples of Herbie Hancock and Chick Corea to come.

### Garner-style Chords

Like most of the influential jazz performers of the twentieth century, Erroll Garner developed his own distinctive and instantly recognizable approach to jazz piano.

Garner's style combines elements of Swing and Bebop, and is both uniquely his own and at the same time often emulated.

The most characteristic element of Garner's style is repeated left-hand chords, not unlike the strumming of a big-band guitarist serving up a steady beat in support of a soloist. In the same manner, repeated left-hand chords on the piano create a propulsive and steady rhythmic backdrop for syncopated right-hand improvisation. Garner would often add occasional offbeat syncopated kicks in the left hand. This is such a strong stylistic marker, that it is hard to play repeated left-hand chords in a jazz style without evoking Garner.

The musical notation for Example 4.21, Garner's *Paris Bounce*, A section, is presented in a grand staff. The left hand (bass clef) plays a steady accompaniment of repeated chords, while the right hand (treble clef) plays a syncopated melody. The first measure is bracketed as a first ending. The tempo is marked *mp* (mezzo-piano). The key signature has one flat. The left hand chords are G7, C9, Am7, D9, G7, and C9.

Example 4.21, Garner's *Paris Bounce*, A section



The musical score for Example 4.22, Garner's *Paris Bounce*, B section, is presented in two systems. The first system (measures 1-3) features a right-hand melody with syncopated rhythms and a left-hand accompaniment of steady chords. Chords are G7, C7-9, F, Dm7, Dbm7, and Cm7. The second system (measures 4-6) continues the melody and accompaniment with chords F7+9+5 and Bb6. Fingerings and accents are clearly marked throughout the score.

Example 4.22, Garner's *Paris Bounce*, B section

In ex. 4.21, the A section of Garner's *Paris Bounce*, steady left-hand chords play against a syncopated right-hand melody. Example 4.22 is the bridge of the same song—an example of Garner injecting syncopations into the left-hand part in measures 2 and 6. This example is an original piece in a published arrangement. In performance, Garner would often take advantage of his large span and play these chords in tenths, thereby putting the bass notes lower in the range of the instrument. The result is a fuller sound and even more of a rhythmic kick from the left hand.

### Summary

The stylistic language of jazz developed quickly from around 1920 until the 1950s, with each subsequent generation extending its range until a fairly stable approach

to rhythm and harmony had been achieved. Though innovation continued and styles developed from Swing to Bebop, and on to Cool and Post-bop, by the late 1950s jazz had achieved something akin to the stylistic stability of common practice tonality in classical music. In the late 1950s, this began to change with the inclusion of rock and 20<sup>th</sup> century classical elements influencing new directions in jazz.

## CHAPTER 5: MODERN JAZZ STYLISTIC TECHNIQUES

The history of harmonic practice in jazz can be viewed as a continuum of steadily increasing complexity from its inception at the beginning of the twentieth century until the early 1960s when Free Jazz experiments were underway. What had taken 200 years in Western art music had taken roughly 50 years in jazz: a development from basic diatonic structure to one of extreme chromaticism. Many performers from the 1950s onward began experimenting with “playing outside the changes,” an approach that expands harmonic complexity by venturing freely outside of key centers. The Art Tatum example shows an early step in this process by substituting chords outside the tonality for the turnaround (see *Sunday*, ex. 4.17 in Chapter 4). Many jazz artists, including Ornette Coleman, Miles Davis, and Gerry Mulligan, achieved greater harmonic freedom by reducing the texture either by eliminating homophonic instruments like piano and guitar, or limiting what they played to occasional chords and monophonic solo lines. In this context, the absence of chords de-emphasizes harmony, allowing contrapuntal freedom between the bass line and solo improvisations on top of it. Because a chordal instrument is not creating a defined harmonic structure, tonality is more ambiguous and open to interpretation and variation. Musicians have used different devices to develop and structure this leaner, more linear music, for example, using patterns and pentatonics as well as diminished and quartal harmony. Since all of these methods exist in the most dissonant passages in Kapustin’s music, this provides a strong link to modern jazz. These

influences will be apparent in the analysis of the B sections of *Prelude I* and *Prelude XXII* in chapters 12 and 14.

### Quartal Harmony and sus Chords

*Quartal Harmony* uses the interval of the fourth as a basic building block instead of the more typical third. In jazz, quartal harmony became popular in the 1960s with pianists McCoy Tyner, Herbie Hancock, and Chick Corea, among others. Corea's 1968 album *Now He Sings, Now He Sobs* is an almost single-minded exploration of quartal harmony. Example 5.1 below, the tune *Matrix*, will illuminate the use of quartal harmony and sus chords. *Sus Chords* are suspensions, used in jazz to effect harmonic ambiguity (the fourth does not resolve to the third), and are often derived from, and used with, quartal harmony.

1st Chorus

Esus Diminished B7<sup>13</sup>

B7<sup>13</sup> B7<sup>13</sup> Pentatonic A7<sup>13</sup> Esus

2nd Chorus

Pentatonic Pentatonic

Chromatic / Blues Chromatic / Blues

3rd Chorus

Chromatic / Blues Diminished

Detailed description: The image shows a piano accompaniment score for three choruses. The music is written in a key with two flats (B-flat major or D-flat minor) and a 4/4 time signature. The score is divided into three systems, each representing a chorus. The first system is labeled '1st Chorus' and contains four measures. The second system is labeled '2nd Chorus' and contains four measures. The third system is labeled '3rd Chorus' and contains four measures. Chord labels are placed below the bass line: Esus, Diminished, B7<sup>13</sup> in the first system; B7<sup>13</sup>, B7<sup>13</sup>, Pentatonic, A7<sup>13</sup>, Esus in the second system; Pentatonic, Pentatonic in the third system; Chromatic / Blues, Chromatic / Blues in the fourth system; Chromatic / Blues, Diminished in the fifth system. Several melodic lines in the right hand are circled in black, highlighting specific musical phrases or techniques. The circled lines include: a descending eighth-note line in the first system; a descending eighth-note line in the second system; a descending eighth-note line in the third system; a descending eighth-note line in the fourth system; a descending eighth-note line in the fifth system; and a descending eighth-note line in the sixth system.

Example 5.1, *Matrix* from Corea's *Now He Sings, Now He Sobs*

*Matrix* is an original tune by Corea that is loosely structured on a twelve-bar blues, and this example shows the first three and a half choruses of improvisation. With two exceptions, every left-hand chord is quartal in nature, using two types of quartal-based chords. One is purely quartal, consisting of three notes separated by fourths. The second type is quartal in nature but includes a tritone between the lower two intervals (it is often written as an enharmonically diminished fifth instead of an augmented fourth). This chord is dominant in nature, as it is typically used as an upper-structure chord containing the flat-seventh, third, and thirteenth. For example, the chords in the second line, bars 8-10, would be B7, B<sup>b</sup>7, and A7. Also note that these chords can assume their alternate identities as tritone substitutions, becoming F7, E7, and E<sup>b</sup>7. The many instances of the chord F-B<sup>b</sup>-E<sup>b</sup> are examples of tonic sus chords as there is no third in the chord and the B<sup>b</sup> never resolves down to the A. Although there are many patterns in the right-hand part that could be construed as being quartal, a more accurate explanation is that they implement another common jazz harmonic device—pentatonics. The other key element in this example is the frequent use of blue notes, minor third, flat-fifth, and minor seventh.

### Pentatonics

Art Tatum was among the first jazz pianists to use pentatonic scales and runs in the 1930s, and jazz musicians have employed pentatonic techniques ever since. In this context, these techniques fit nicely with standard diatonic, tertian harmony. However, in the 1960s when jazz musicians were experimenting with quartal harmony, pentatonics

were used more chromatically than diatonically, with the three pianists already mentioned, Tyner, Hancock, and Corea, as primary exponents. When pentatonics are used chromatically, they create a rich, complex sound and allow the improviser to step outside of the key area while maintaining a motivic relationship to the home key. The previous examples from Waller, Wilson, Tatum, and Corea will illuminate tertian and quartal uses of pentatonic scales.



Example 5.2, *Sunday*, Art Tatum, pentatonic run, measure 15

A pentatonic scale based on the tonic will use the scale degrees 1-2-3-5-6, which together creates a chord with the second (or ninth) and the sixth in addition to the tonic triad. It is a very pleasing, harmonious sound, and one that early jazz innovators quickly adopted. In Waller's arrangement of *Between the Devil and the Deep Blue Sea*, the right-hand figure of the four-bar introduction uses a pentatonic scale in F, the tonic (ex. 4.13). In measure 11 of the Tatum arrangement of *Sunday*, he uses an F pentatonic scale over a D minor chord (this is also thought of as being a D minor pentatonic), and a C major pentatonic run in measure 15 (ex. 5.2).

In a more modern context, pentatonic scales are used chromatically, often in brief patterns that move up or down by half step or whole step. While these patterns have an

unmistakable pentatonic flavor, it is often impossible to identify the key relationships of these patterns. There are several of these distinctive chromatic pentatonic patterns in measures 15-17 and 19-20 of Corea's *Matrix*. In measures 15-16, a B pentatonic is arpeggiated down, with a quick sidestep up to resolve to a B<sup>b</sup> pentatonic in measure 17. A short pentatonic pattern in measures 19-20 steps down chromatically, E-D-B-A | E<sup>b</sup>-D<sup>b</sup>-B<sup>b</sup>-A<sup>b</sup> | D-C-A-G. This type of pentatonic harmony is more fluid and, instead of reinforcing the tonal center like the earlier examples, is used instead to render tonality more ambiguous.

#### Diminished Scales and Harmony



Example 5.3, Diminished scale with sharp-ninth chords

Diminished seventh chords have been used since at least the Classical era to provide color and drama in tonal music. The diminished seventh occurs naturally on the raised seventh scale degree in minor keys and is often borrowed for use in major keys, where it provides both dramatic color and a flexible way to modulate. Since it is symmetrical, a single diminished seventh chord can lead to four different destinations. For example, B-D-F-A<sup>b</sup> can resolve to C, E<sup>b</sup>, G<sup>b</sup>, or A. Since it is comprised of minor thirds, there are only three different diminished seventh chords before inversions begin.



While the diminished seventh chord was used as far back as the Classical Era, the diminished scale did not become widely used until late in the late nineteenth century. Like the diminished chord, the diminished scale is symmetrical, an eight-note (octotonic) collection of alternating whole and half steps, or half and whole steps.<sup>21</sup> As Stefan Koska states, “The octotonic scale is a rich source of melodic and harmonic material. It contains all of the intervals, from minor 2<sup>nd</sup> up to major 7<sup>th</sup>. All of the tertian triads except for the augmented triad can be extracted from this scale, as can four of the five common 7<sup>th</sup>-chord types (the major-7<sup>th</sup> cannot).<sup>22</sup>

Diminished scales and patterns derived from them are now part of modern jazz harmonic vocabulary and are used primarily to complement altered dominant chords. For example, a half-whole diminished scale over a G7 chord will include most of the common extensions and alterations:  $\flat 9$ ,  $\sharp 11$ , and 13. Another common hybrid scale, the diminished-whole tone, is usually implied by the “alt” chord symbol. This scale includes a  $\flat 9$ , both major and minor thirds (also referred to as a  $\sharp 9$ ), and a  $\flat 5$ . It starts out like a half-whole diminished scale and ends like a whole-tone scale. A diminished-whole tone scale in C would be C, D $\flat$ , E $\flat$ , E, G $\flat$ , A $\flat$ , B $\flat$ . Its use can be more clearly seen in the Herbie Hancock example, the D7 alt in bar 49 (ex. 5.7 and 5.8).

Diminished scale patterns are present in the Chick Corea’s *Matrix* above (ex. 5.1). In the Herbie Hancock examples below, he uses diminished scale patterns in the first

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<sup>21</sup> There are two types of diminished scale. One alternates a half step-whole step pattern, the other alternates whole-step-half step pattern. A half-whole diminished scale on C includes C, D $\flat$ , E $\flat$ , E, G $\flat$ , G, A, B $\flat$ . A whole-half diminished scale on C would include C, D, E $\flat$ , F, G $\flat$ , A $\flat$ , A, B.

<sup>22</sup> Stefan Koska, *Materials and Techniques of Twentieth-Century Music*, (Upper Saddle River: Pearson Prentice Hall, 2006), 32.

example in measures 23-24 and 35-36 (ex. 5.6). The second example is full of diminished patterns, with most of the material in measures 39-48 using diminished scale patterns to create a highly chromatic improvisation (ex. 5.7).

### Jazz-rock Straight-eighths

In the late 1960s, jazz-rock burst on the scene. Most critics have commented on the use of electronic instruments and loud volume, but when jazz musicians experimented with rock styles, it was mostly the straight-eighths rhythm and style of drumming that influenced them. Most of the younger generation of jazz musicians in the 1960s and 1970s began experimenting with jazz-rock and electronic instruments, creating a broad range of hybrid styles. Miles Davis was one of the primary innovators, and his influential band of the late 1960s included many musicians who would later distinguish themselves in jazz and jazz-rock settings, including Chick Corea, Herbie Hancock, Keith Jarrett, Joe Zawinul, John McLaughlin, and Wayne Shorter. Keith Jarrett's albums from the early 1970s are an interesting example since he incorporates these rhythms without the use of electronic instruments.



Example 5.4, Mark Harrison, Funk piano with quartal chords



Example 5.5, Mark Harrison, Funk piano with flat-fifth blue notes

The rhythmic elements of pop and funk piano styles are well documented in Mark Harrison's *The Pop Piano Book*.<sup>23</sup> In chapter 15, *R'nB Funk*, the rhythmic and accompaniment patterns bear a very close resemblance to many of Kapustin's themes in *The Preludes*. In the introduction to the chapter, he discusses the importance of "... 16th note rhythms and emphasizing anticipations (at medium-to-fast tempos) in order to achieve a 'funky' effect."<sup>24</sup> In addition to the sixteenth note anticipations, the other striking characteristic is the left hand's "rhythmic conversation" with the right-hand part.<sup>25</sup> This conversation creates a sort of rhythmic counterpoint that is a key element of the style. It is also noteworthy that these examples also include quartal chord voicings, double notes, and blue and bent notes. All of these elements are part of Kapustin's stylistic footprint.

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<sup>23</sup> Mark Harrison. *The Pop Piano Book*, (Sherman Oaks: Harrison Music Education Systems, 1993). (must get current publication info and rights to reproduce!)

<sup>24</sup> *Ibid.*, 289.

<sup>25</sup> *Ibid.*, 289.

## Modal Jazz

Just as the stylistic elements of the Classical era were a direct reaction against the Baroque, so the Cool jazz movement of the 1950s was a reaction against the Bebop style of the 1940s. The complex harmony and furious tempos of Bebop led to a desire for a more relaxed approach and the modal style that appeared in the 1960s included modal harmony, slower tempos, and slower harmonic rhythm. Instead of chord changes every measure, this music was intended to allow a soloist to stretch out on much longer chord changes. The modal approach de-emphasized the tonic-dominant axis of Bebop, leading to a more pan-diatonic approach to harmony.

While there is nothing relaxed about the harmonic rhythm in Kapustin's music, there are modal elements in some of his themes. Probably the most popular of the modes is Dorian and one of the first popular modal pieces, *So What* by Miles Davis, uses a Dorian riff.

Example 5.6, *So What* by Miles Davis

In the original recording of *So What*, the bass plays the riff and the punctuating chords are played by the piano. Bill Evans’s voicing of the chords has become a staple—so much so that this particular type of voicing is referred to as “So What” chords.

#### Playing “outside the changes”

To illuminate techniques of “outside” playing, an excerpt of Herbie Hancock’s solo on the standard tune *There is No Greater Love* will show its application within the context of a standard AABA song form. This performance from a live recording demonstrates Hancock’s skill at moving from “inside” to “outside” and back again within the space of three choruses.

While the first chorus is both inventive and swinging, it stays within the context of the harmonic framework of the song for the first three quarters of the form, the first two A sections and the B section (the bridge). In the last A section of the chorus, Hancock's solo line becomes more chromatic, setting up movement away from the tonal center for the beginning in the second chorus. During the "inside" section, Hancock accompanies regularly with left-hand chords; their absence is noticeable once he starts to move away from the tonal center. From measures 25 to 37 in ex. 5.7, Hancock omits chords in the left hand, and uses them afterward only in sections that have a clear harmonic context.

21  $D7^{\flat 9}$   $G^-$   $C7$   $F7$

25  $B^{\flat}7$   $E^{\flat}7$   $D7$   $G7$

29  $C7$   $F7$   $B^{\flat}$   $F7$

33  $B^{\flat}7$   $E^{\flat}7$   $D7^{alt.}$

2. CHORUS

36  $G7$   $C7$

Example 5.7, *There is No Greater Love*, first to second chorus

The device used to move away from the tonal center is a descending chromatic whole-step pattern that begins in the final A section of the first chorus (ex. 5.7, measures 25-29). Hancock ends this chorus with a strong dominant but supplies only the root of F in bar 32. Though the second chorus begins clearly with a B<sup>b</sup> broken chord in the first set of triplets, Hancock moves immediately outside of the harmonic framework with triplet patterns that rely strongly on diminished scale patterns. In measure 37, he lands firmly on a C7, both melodically and harmonically, but moves away from it immediately.



39 F7 Bb7

42 Eb7 D7alt. G7

45 C7 F7 Bb

48 A-7 D7alt.

50 G-7 D7alt. G-7

Example 5.8, *There is No Greater Love*, second chorus

Between measures 37 and 43 (ex. 5.7 and 5.8 above), Hancock uses chord structures in the left-hand that are consistent with the harmonic progression while the melodic lines have no obvious relationship. Another unaccompanied section with triplet diminished patterns in measures 44 to 48 prepares for the bridge of the second chorus. By this point, Hancock introduces more left-hand chords, breaks out of the almost constant triplet eighth notes that he has used for most of the solo, and starts to move back within the harmonic framework of the form. The solo ends with a bluesy repeated pattern in the first A section of the song. In addition to “outside” playing and diminished scale patterns, Hancock makes effective use of anticipation in the left hand in measures 21, 22, 25, 32, 48, and 51. It seems likely that Kapustin has heard and been influenced by techniques similar to the ones that Hancock so effectively employs in this performance.

### Summary

All of the stylistic elements of jazz explored in the last two sections are part of Kapustin’s vocabulary as a composer. This is perhaps extraordinary given that he has spent his whole life in Russia, far from the American source of this music. The way that Kapustin has integrated jazz style with structural elements of classical music is perhaps even more extraordinary, and the result is a complex and distinctive blend of musical influences. The following chapter will explore key elements of classical composition that have influenced Kapustin’s sense of structure and development.

## CHAPTER 6: CLASSICAL TECHNIQUES, FORM, AND THEMATIC DEVELOPMENT

## Organized Formal Structures

Through his formal education at the Moscow Conservatory, Kapustin absorbed the technical and structural aspects of classical music from Bach to the twentieth century. In his own work, Kapustin has demonstrated that he is no stranger to the sonata form and its established developmental model. He uses sonata-allegro form in the first movements of most of his sonatas and the *Sonatina*, Op. 100, adapting his jazz-influenced ideas to the standard tripartite form. Unlike the complex sonatas, which betray the influence of Rachmaninov, the *Sonatina* has a clear and succinct form, more in the style of Haydn. As is appropriate for shorter pieces, Kapustin often uses ABA forms in *The Preludes*. However, the complex way that he weaves his musical material together suggests the exposition-development-recapitulation framework of sonata-allegro form. The skill with which he applies these techniques testifies to his deep historical understanding of classical compositional method.

Though a reticent interviewee, Kapustin was clear about the role of classical composition in his work. When asked whether his work was an attempt to create a true hybrid blend of jazz and classical elements, he responded “The jazz style is there to give colour—I don’t like jazz ‘forms’—if you can describe them as that—which is why I’ve adopted those from classical music.”<sup>26</sup>

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<sup>26</sup>Smith, 55.

Since its development in the Classical era, sonata-allegro form has been organized around two principles: the tension of tonic-dominant tonal organization and the development of thematic material in a large-scale form. The first of these was perhaps more important during the classical era, while the second became more important during the romantic era. Kapustin's use of form tends to be like the Romantic composer's use of thematic development but with the clear and succinct statement of themes of the classical era. Kapustin uses many techniques to vary musical material and develop themes, including:

- A theme repeated with varied scoring,

- A theme adapted for new key areas, making intervallic changes to accommodate the change in tonality,

- A motive is "spun out" in a free manner but with recurrences of the motive.

- A motive is formally developed in the manner of a classical sonata.

The next few examples from classical literature will discuss these approaches to thematic development.

## Varied Scoring



Example 6.1, Rachmaninov *Prelude* Op. 23, No. 4, main theme, first version

One of the distinctive features of *The Preludes* is the way that Kapustin varies his musical material so that there are almost no exact repetitions. In a similar manner, Rachmaninov's *Preludes* almost always vary scoring when a motive is repeated, as in *Prelude* Op. 23 No. 4 in D, where there are three statements of the main motive. The first is in the right hand with arpeggiated accompaniment both above and below played by the left hand.



Example 6.2, Rachmaninov *Prelude* Op. 23, No. 4, main theme, second version

In the second statement, the melody is in the same register, but in addition to the left-hand arpeggios, the right-hand adds chords below it and a counter-melody above it.



Example 6.3, Rachmaninov *Prelude* Op. 23, No. 4, main theme, third version

In the last appearance, the sweeping left-hand arpeggios continue but the melody is raised an octave with fuller chords and a different counter-melody above it. These scoring variations allow the composer to repeat musical material while providing a sense of development and variety that would otherwise be absent.

Kapustin uses the same types of techniques throughout *The Preludes* to minimize exact repetition and this, along with his penchant for modulation and his avoidance of repetitive forms, accounts for the “classical” sound of his compositions. As in the Rachmaninov preludes, Kapustin almost never uses exact repetition. Instead, changes in scoring, accompaniment, register, and harmony keep repetitions of themes and motives fresh and forward-moving.

## Thematic Tonicity Changes

con grazia

Example 6.4, Liszt *Valse Oubliée No. 1*, first statement

Example 6.5, Liszt *Valse Oubliée No. 1*, second statement

con grazia

Ped. come prima

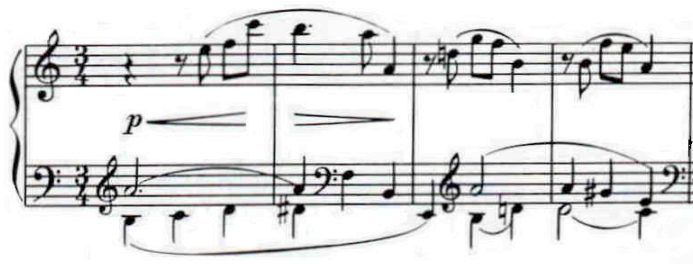
Example 6.6, Liszt *Valse Oubliée No. 1*, third statement



The *Valse Oubliée No. 1* by Liszt is a good example of a piece with a theme that is adapted for three different key areas, like a character in a play wearing three completely different costumes for three very different scenes. The first statement is in the tonic of F#, the second in the mediant A# minor, and the last in the unrelated key of G minor. Though the rhythm and melodic shape remain the same, intervallic relationships are modified to accommodate changes in tonality.

Though less inclined to transpose a complete theme from one key to another, Kapustin uses similar techniques with motives in *Prelude IV* and *Prelude XVI*. These are discussed in Chapter 12, section 2 and Chapter 9, section 4.

#### Free Motivic Development



Example 6.7 *Prelude in A minor*, Op. 11 No. 2 by Scriabin

Each of the Op. 11 *Preludes* of Scriabin seem to flow organically from the germ of a musical idea. *Prelude II* in A minor unfolds naturally from the initial musical motive, a motive that is repeated three times over the course of the piece, creating both a balanced



structure (each section is 16 measures) and a musical narrative that begins the same way each time but travels each time in a different direction, like a story told from three distinct points of view. Since the first two measures are the only ones that are repeated, this prelude gives the impression of being improvisatory. However, the carefully placed restatements of the motive along with a strong harmonic plan give it a clear and balanced structure. Only the first two measures of the four-bar phrase are the same each time, with changes in harmonic movement from the third measure onward. The first such phrase resolves back to A minor with a V-i cadence (ex. 6.7).



Example 6.8, *Prelude in A minor*, Op. 11 No. 2 by Scriabin, second statement

The motive is repeated in measure 17 (ex. 6.8 above), this time moving in a different direction from the first phrase, and ending on a diminished chord (most likely a  $vii^7$  in second inversion). Unlike the other sections, this one resolves 16 measures later in E minor, the minor dominant, growing over the course of its own 16-measure structure to rest again on the dominant,  $E^7$ . This is also the only 16-measure section that does not begin with the opening motive, making it seem more like an extension of the previous section.



Example 6.9, *Prelude in A minor*, Op. 11 No. 2 by Scriabin, third statement

The third and final statement of the motive begins in measure 49 and unfolds in yet a different way, resolving on A7, V of ii.

Harmonically, Scriabin creates a highly chromatic surface within a strongly tonal framework: each section moves away from tonic with alternating step-wise and circle-of-fifths motion, with an emphasis on arrival points that strongly reinforce related key areas. In the course of the second statement of the motive, measures 17-32, he uses the ambiguity of the tritone A<sup>#</sup> - E in an F<sup>#7</sup> chord to alternate with B<sup>b</sup> - E in a C<sup>7</sup> chord, a tritone substitution in jazz harmony. This section resolves from F<sup>#7</sup> to B<sup>7</sup>, creating a cadence in E minor in measure 32 (so the F<sup>#7</sup> is V of V of V). From here Scriabin returns to the dominant at the end of this 16-measure phrase, in preparation for the final statement of the motive.

In later chapters, it will become obvious that all of the aspects of musical organization that Scriabin uses in this *Prelude* are present in Kapustin's *Preludes*. There are pieces that replicate this type of musical organization using a single repeated motive that unfolds naturally with variations on each repetition. These *Preludes* are full of step-

wise and circle of fifths motion, chromatic in detail but within a strong tonal structure. Because of this, though the musical ideas are drawn stylistically from jazz, they are structured organically like classical music in general and, at least in places, like Scriabin in particular. Chapter 12 on monothematic forms in particular will show Kapustin's indebtedness to Scriabin.

### Formal Development

Finally, the thematic development in the first movement of Beethoven's *Sonata* Op. 10 No. 3 in D is an example of a piece that is tightly structured around its opening motive, with almost all of its musical material stemming from that one musical gesture. A quick description of thematic organization in the exposition of this movement will serve as an example of this type of thematic development.

The image displays a musical score for Beethoven's Op. 10 #3, Theme A. The score is written for piano and is in 3/4 time. It begins with the tempo marking 'Presto' and the dynamic 'p'. The first system shows the initial statement of Theme A, marked 'p'. The second system, starting at measure 7, shows Theme A Variation 1, marked 'p' and 'sf'. The third system, starting at measure 13, shows Theme A Variation 2, marked 'f'. The fourth system, starting at measure 18, shows Theme A Variation 3, marked 'p' and 'ff'. The score includes various musical notations such as slurs, accents, and dynamic markings. Fingerings are indicated by numbers 1-5. The key signature is one sharp (F#).

Example 6.10, Beethoven Op. 10 #3, Theme A



Figure 6.1, Beethoven Op. 10 #3, Theme A Rhythm

After the initial statement, the four-bar opening motive (Theme A) is treated to three variations leading to the second theme of group one, the melody in B minor, at the pickup to measure 23 (Theme B). Theme B is the only one that does not seem to be

related to Theme A, except for the fact that it also has an anacrusis. Theme B is developed, literally spun out, using scale patterns that achieve a modulation to the dominant.

Example 6.11, Beethoven Op. 10 #3, Theme C

Though there are three motives in theme group two, they are all derived from the main motive (Themes C, D and E). Theme C (Example 6.11) appears in measure 53 with a repetition in minor in measure 60.

Example 6.12, Beethoven Op. 10 #3, Theme D

Measure 66 brings a new variation, Theme D, with the melody and accompaniment patterns reversed. Here the left hand has the theme, the right hand has a new counter-melody, and this theme is treated to variations in the same manner as Theme A. An interesting aspect of Theme D is that, after its initial statement, the theme is shortened to its initial motive and stated in counterpoint, with both rising and falling references to the motive. Harmonically, it begins in the dominant and is not so much developed as simply transposed into six different key areas, resting finally on a German sixth chord of the dominant ( $F^7$  in the key of A).

The image displays two systems of musical notation for Beethoven's Op. 10 #3, Theme E. The first system, starting at measure 92, features a right hand with chords and a left hand with a rhythmic pattern of eighth notes, marked *fp*. The second system, starting at measure 97, shows a right hand with a melodic line and a left hand with a rhythmic pattern of eighth notes, marked *fp*, *cresc.*, and *ff*. A finger number '15' is indicated in the left hand at the beginning of the second system.

Example 6.13, Beethoven Op. 10 #3, Theme E

One final thematic variation of the main motive, Theme E, appears in the pickup to measure 93 and is stated three times, first in octaves in the right hand, then twice in the left hand. The thematic relationship between Themes A and D is rhythm: both have the same rhythmic footprint outlined above.



The image shows a page of musical notation for Beethoven's Op. 10 #3. It is divided into three systems of staves. The first system, starting at measure 102, is labeled 'Theme F' and features a treble clef with a melody of eighth notes and a bass clef with a steady half-note accompaniment. The second system, starting at measure 109, is labeled 'Closing A'' and continues the half-note accompaniment while the treble clef has a more complex melodic line. The third system, starting at measure 119, shows further development of the half-note accompaniment. Dynamics include *pp* and *p*. Fingerings and articulation marks are present throughout.

Example 6.14, Beethoven Op. 10 #3, Theme F and Closing A'

The exposition ends with references to two motives. With its steady half-note rhythm, Theme F in measures 105 to 113 recalls the B minor melody of Theme B and, though it is not obvious, it has the same rhythm as Theme A in augmentation (half notes instead of quarter notes). The closing bars of the exposition have both rising and falling references to the motive, as in Theme D.

As is usual for a development section, this one is in constant motion harmonically and is tied together with motives that all use the rhythm of Theme A. Though the B<sup>b</sup> pedal point at the beginning of the development seems like a distant key from the tonic of



D, Beethoven uses this in the context of a D minor statement of the Theme A and also returns to B<sup>b</sup> later in the movement as a German sixth in the home key.

Since the work of Kapustin under examination is a set of preludes, it is not surprising that there are no examples of sonata-allegro form represented. There are still many *Preludes* that are organized using similar techniques to this Beethoven sonata. In particular, Chapter 9 on ternary forms will explore *Preludes I* and *XXII*, both of which have developmental middle sections that transition from B back to A using motives from the A section, creating retransition sections similar to a complex sonata movement.

### Summary

Over the course of the last two hundred fifty years, classical music saw a rapid change of stylistic practice unprecedented in history.<sup>27</sup> Despite the vast range of musical styles, the underlying elements of structural and harmonic organization used to create basic form have had similar goals: to allow composers to make larger forms without relying on exact repetition. These are among the elements that differentiate musical practice in classical music from other genres. Western classical music has, for the most part, been developmental, while non-classical music tends to be based on repeated patterns. Through his formal education, Kapustin has assimilated the developmental model of classical music and, because of this, though his stylistic language is based on jazz, his developmental model is often but not always based on classical techniques.

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<sup>27</sup> Leonard B Meyer, *Music, The Arts, and Ideas* (Chicago: University of Chicago Press, 1967).

## CHAPTER 7: NOTATION OF JAZZ STYLE, SWING RHYTHM, AND PERFORMANCE

In notated jazz, swing rhythm is hard to quantify, difficult to notate, and rather dependent on tempo—the faster the tempo, the more even the subdivision.<sup>28</sup> It is rare for swing-eighths to be notated; a more common approach is to write even eighth notes and indicate that the rhythm is swung.

Since Kapustin uses swing rhythm as well as straight-eighths and jazz-rock styles, it can be difficult to tell when he intends the rhythm to be swung. There are several spots in *The Preludes* where he notates the instruction “Swinging,” and these are clear indications. Other than that, it seems that passages with the most triplet-based swing are actually notated with a dotted-eighth and sixteenth rhythm. Kapustin seems to derive most of his jazz references through pattern, harmony and chord voicings, and accentuation.

Certainly, there are interpretive difficulties for classical pianists playing this literature, and making decisions about where to use swing rhythm is as crucial as the ability to play effectively in that style. Even jazz performers have unique approaches to swing rhythm in much the same way that individuals betray remnants of regional accents in their speech. One person from the southeastern United States may have an obvious southern drawl while another will exhibit only the slightest hint of one. Similarly, swing rhythm can be subtle or overt. One of the ways that students of jazz betray their lack of experience is by “over-swinging,” which results in stopping the pulse rather than

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<sup>28</sup> By swing rhythm, I am referring to the uneven triplet-based subdivision of swing-eighths.

allowing it to flow. Another factor is that our sense of swing rhythm has evolved over the course of the last century. At this stage in the early twenty-first century, a modern player would not use rhythm in the same way as one from the 1930s would. Just as one cannot learn to interpret Mozart without exposure to the style, a performer hoping to create an effective performance of Kapustin's music must at least be acquainted with the rhythmic language of jazz.

Kapustin's interpretive ideas are clearly documented in his recordings, which manage to make his music sound more like jazz than the recordings of other classical performers who have recorded his music. A few brief examples will illuminate the subtleties involved. In *Prelude I*, Kapustin's performance tempo matches his speedy tempo marking, so the jagged syncopations in the B section whiz by at lightning speed. In *Prelude II*, the jazzy B sections are swung, but there is also a hint of swing feel in some of the A section variations. *Preludes IV* and *XVII*, notated throughout as dotted-eighth and sixteenth, are appropriately swung and here Kapustin achieves a natural feel. In *Prelude VII*, he swings the rhythm in the second variation—a place that seems more effective if played in a straight-eighths, jazz-rock style. In *Preludes* with a straight-eighths feel, Kapustin's accents and syncopations sound more idiomatic than most strictly classical players can achieve—evidence of his grasp of a wide-range of jazz and popular styles.

This brief investigation into interpretive choices has only scratched the surface of the issues performers must face in performing Kapustin's music. It is inevitable that

performers with different backgrounds will bring their experiences to bear on performance of this music, resulting in a wide range of interpretive choices.

## CHAPTER 8: TWO WORLDS COLLIDE

Throughout *The Preludes*, classical and jazz elements combine to create a stimulating hybrid. *Prelude II* in A minor is a good starting point for analysis because Kapustin creates the form itself from this juxtaposition of influences. The A sections are formally structured like classical music while the B sections are loosely structured like jazz. The A sections are organized using thematic transformation while the B sections use a repeated harmonic progression in the same manner that a jazz musician uses when improvising over the harmonic structure of a song. In this way, the two worlds collide not only stylistically, but formally as well.

As the piece develops, the jazzy B sections seem to influence the presentation of A section material. Subsequent A sections feature ingenious variations of motives with jazz inflections that grow in each recurrence until the distinction between the two styles becomes blurred. While the A sections are firmly tied to each other through repeated and developed motives that feature straight-eighths rhythm, the B sections are much more improvisatory and include many more jazz-oriented stylistic techniques, including implied swing eighths, walking bass, blue notes, and bent and double notes. It is possible to compare this *Prelude* to a jazz ensemble piece, such as for Big Band, where the A sections are through-composed for ensemble and the B sections are the “blowing” sections for soloing.

There are several possible ways to interpret the formal design of this *Prelude*. The overall structure could be viewed as a rondo, ABA'CA with coda. While this is a valid

interpretation, the details muddy the waters a bit since the second A actually has two separate variations of A material and the B and C sections are both based on the same harmonic structure. It could also be viewed as a theme or variations with contrasting material in two sections: ABAABA. The feature that most supports this view is that each recurrence of A material is transformed in ways that are similar to thematic transformation and variation technique. While open to interpretation, the choice that seems to make the most sense is that it is a type of rondo form, ABA'B'A with coda. The formal design is as follows:

<b>Section</b>	<b>Measures</b>	<b>Description</b>
A 16 bars	1-16	Theme I is stated twice, in bars 1 and 9. Theme II, consisting of a descending bass line, appears in bars 5-8. The rhythm is straight eighths. Theme III is first stated in bars 13-14.
B 8 bars	17-24	More jazz-oriented rhythm and style are featured, with stride-like left hand (LH) in the first three bars, then a walking bass line. The right-hand (RH) part contains many jazz elements.
A' 28 bars	25-52	Theme I is stated three times measures 25, 37, and 45. Theme III three times, in measures 29, 35, and 49. Theme II appears in bars 41-44.
B' 13 bars	53-65	Same chord progression as previous B section, walking bass patterns, use of triplets, bent and blue notes, but motivically unrelated to prior B section.
A 16 bars	1-8, 66-69	Repeat signs lead to restatement of the first 8 bars. Theme III is used to create a rhythmic, tag ending
Coda 7 bars	70-76	Theme II is repeated here transposed from dominant to tonic.

Table 8.1, *Prelude II* form

Also note that the second A section is twice as long as any other section. Since this comes in the middle, it also creates a sort of arch form, with the longest and most complex development of motives in the center of the piece.

Tracing each motive in the piece will illuminate its structure to show how Kapustin varies the repetition of themes, creating a complex design for this *Prelude*. The motives are themselves short, but since they are used as units thematically, I will refer to them as themes.



Example 8.1, *Prelude II*, Theme I



Example 8.2, *Prelude II*, Theme III

Like most of the *Preludes*, *Prelude II* features two melodic motives that are short, simple, and diatonic; however, what Kapustin does with this material is anything but simple (Motive II will be discussed below). These two themes reappear constantly throughout the piece and Kapustin handles these repetitions in a way that is typical of his compositional approach: these motives never repeat in exactly the same format (except for the D.S. repeat, the only one of only two explicit repeats in *The Preludes*). Sometimes the musical transformations relate directly to the motives, with variations in accompaniment, register, texture, and rhythm. Other times, the melodic connection is obscured and we must look at key center, harmony, and voice leading to establish relationships.



Example 8.3, *Prelude II*, bars 1-4, Theme I, first occurrence

Theme I begins the piece clearly in A minor and features a simple melody with two falling thirds followed by a second (ex. 8.3). This four-bar structure is created by two statements of the motive, each two bars long. Because subsequent repetitions include the complete four-bar phrase, I will call this whole phrase Theme I. One of this theme's key features, the tonic pedal in the left-hand part, remains basically unchanged in later variations. It is also interesting that, though it is clearly in A minor, Kapustin avoids an A minor triad in cadences. In both cases he uses sus chords with no resolution to the third. The last chord in bar two has a B in the melody, so this would create a dissonance anyway (the chord is an A sus or G/A). In bar four, Kapustin avoids resolution by placing the tonic on the B melody note instead of the A, creating an elision to continue to the next phrase. There is also no third in this chord like the previous one, so it is somewhat ambiguous. Kapustin scores a four-part texture with a diatonic alto counter-melody and a chromatic tenor counter-melody.

Aside from the rhythmic elements, the way Theme I is scored brings to mind the keyboard style of Rachmaninov. There are a several reasons for this: the writing is in four



parts, two per hand; the inner voices are highly chromatic; chromatic harmony and chromatic inner voices decorate a diatonic melody in a strongly tonal context; and juggling these voices causes the hands to be open in a way that is similar to what is often required in Romantic keyboard literature. The resulting texture is rich with chromatic polyphony, similar to the keyboard writing of Rachmaninov or Godowsky. As is typical of Kapustin's approach, each statement of motives involves change and manipulation of musical material, resulting in very little exact repetition. This is another similarity with the compositional style of many Romantic and Twentieth-century classical composers.

It is possible to feel the rhythm of the opening in a jazz-rock style. Though it does not feel swing-oriented, the syncopated melody of Theme I creates an interesting three-against-two feel (see ex. 8.3 above). Counting in eighth notes, the pattern is 12-123-123-123-123-12. This creates a rhythmic flow that may not be swing-oriented, but does not seem to derive from classical music either.

The image shows a musical score for four bars of music. The upper staff is in treble clef and the lower staff is in bass clef. The key signature has one flat (B-flat). The music is characterized by dense, chromatic textures. A circled area in the upper staff, spanning the first two bars, is labeled "Rhythm used for Motive III". A circled area in the lower staff, spanning the first two bars, is labeled "Descending bass line". The score includes various musical notations such as notes, rests, and dynamic markings.

Example 8.4, *Prelude II*, bars 5-8, Theme II, first occurrence

Though the musical material in bars 5 through 8 never repeats, this phrase is important for two reasons: the descending bass line is used in several places, including

the final cadence, and the rhythm of the first two bars is used to create another motive that *is* repeated—Theme III. Because of this, I will refer to the descending chromatic line as Theme II. Clearly, the first phrase establishes the tonic of A minor, while this phrase reinforces it by centering around the dominant. The bass line descends chromatically from G#- to E, with the F# appearing in the right-hand part, which could be considered a voice exchange (see circled notes in ex. 8.4).



Example 8.5, *Prelude II*, bars 9-12, Theme I, second occurrence

Theme I is stated again in bars 9-12, with only slight modifications to chord voicings in the right hand, and a more rhythmic left-hand part achieved through octave displacements. The alto counter-melody and harmony remain basically the same.



Example 8.6, *Prelude II*, bars 13-14, Theme III, first occurrence

Theme III, a brief phrase in C major, first appears in bars 13-14. It is clearly in the relative major but over a dominant sus chord that resolves to C major, without an unequivocal C major chord. Instead, this cadence is elided like the previous transition from Theme I to Theme II. This brief motive is identified as Theme III because of the clear shift to the relative major and the fact that this thematic material repeats three times; two of these repetitions are clearly recognizable. The rhythm of this motive comes directly from Motive II, bar 5. Like Theme I, this motive features a pedal point in the bass, but here it is a dominant pedal with a sus chord.



Example 8.7, *Prelude II*, bars 15-16, transition to first B section

As the first B section approaches, Kapustin transitions to jazz style by making changes in rhythm—specifically syncopation, accents, and triplets. This section is also transitional harmonically since Kapustin avoids a clear cadence in C major after two bars of G sus and G7. He further obscures the tonality with one of his typical devices in transition sections: he uses chromaticism and fourths. This use of fourths also creates a modern jazz style and provides a smooth transition to the jazzy B section. Kapustin joins these sections together, just as he did with Themes I and II. This is an aspect of

Kapustin's compositional technique that has clear precedents in classical music from Bach to the present.

The image shows a musical score for Example 8.8, *Prelude II*, bars 17-24, B section. The score is in 4/4 time and features a right-hand melody with bent and double notes, and a left-hand walking bass line. Circled annotations highlight specific rhythmic and melodic features:

- Bar 17: Circled notes in the right hand (measures 1 and 2) and the left hand (measure 1).
- Bar 18: Circled notes in the right hand (measures 1 and 2) and the left hand (measures 1 and 2).
- Bar 19: Circled notes in the right hand (measures 1 and 2) and the left hand (measures 1 and 2).
- Bar 20: Circled notes in the right hand (measures 1 and 2) and the left hand (measures 1 and 2).
- Bar 21: Circled notes in the right hand (measures 1 and 2) and the left hand (measures 1 and 2).
- Bar 22: Circled notes in the right hand (measures 1 and 2) and the left hand (measures 1 and 2).
- Bar 23: Circled notes in the right hand (measures 1 and 2) and the left hand (measures 1 and 2).
- Bar 24: Circled notes in the right hand (measures 1 and 2) and the left hand (measures 1 and 2).

Example 8.8, *Prelude II*, bars 17-24, B section, RH bent and double notes, LH walking bass

After this transition, the B section switches to a jazz style with no real relation to the A section. Tonality, musical material, and texture are all different from what precedes it. The left-hand part in bars 17-19 is stride-like, with chord roots on beats one and three and chords on two and four. In bar 19, this switches to a walking bass line that continues

for the remainder of the B section. Here Kapustin uses the typical chromatic bass line techniques, including approach notes that push to chord roots (see parts circled in left-hand part of ex. 8.8). The right hand also has some typical jazz figuration with blue notes, bent and double notes, and chromatic passing tones—also circled above.

The harmony of the B section is a common jazz progression—in the key of F, it is I-VI-II-V with altered dominant chords, and it is stated twice. The second time ends on E7 to prepare for the return of A minor: F–D<sup>7</sup>–G–C<sup>7</sup>–F–D<sup>7</sup>–G<sup>7</sup>–E<sup>7</sup>. The voicings of these chords give this section a truly jazz feel—there are plenty of 9<sup>th</sup>, 11<sup>th</sup>, and 13<sup>th</sup> chords with chromatic alterations.

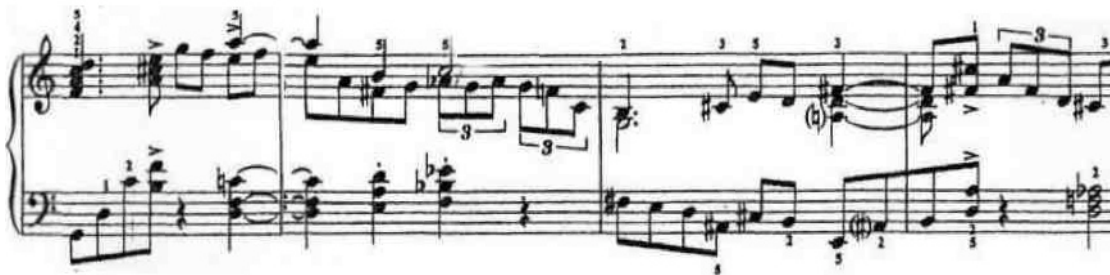
The B section ends on an E7<sup>#11</sup> chord to prepare a return to tonic and A section material. Kapustin organizes this A section differently than the first one, which had themes in this order: I, II, I, III. The second A section features a longer, more developmental arrangement of themes: I, III (developed), III, I, II, I, III.

The image shows a musical score for piano, consisting of two staves: a treble clef staff on top and a bass clef staff on the bottom. The piece is marked with a piano (*p*) dynamic. The bass line features a chromatic descending sequence of notes, with triplets of eighth notes and some notes circled. The right hand contains complex chords and melodic lines, including blue notes and chromatic passing tones, with some notes circled. The score is divided into four measures, each containing a measure from the treble and bass staves.

Example 8.9, *Prelude II*, bars 25-28, Theme I, third occurrence

In the next statement of Theme I, bars 25 to 28 (ex. 8.9), the motive is clearly present in the top voice scored again over a tonic pedal in the bass, but everything else is

different. The triplets and stride-like accompaniment from the B section appear in the left hand and the right-hand part features some wonderfully dissonant chords. Because of both the rhythmic and harmonic changes, the theme is beginning to develop more of a jazz feel.



Example 8.10, *Prelude II*, bars 29-32, Theme III, second occurrence



Example 8.11, *Prelude II*, bar 35, Theme III, third occurrence

Theme III reappears in bar 29 newly scored (ex. 8.10), and here it is developed for several bars, ending in bar 36. Kapustin uses the triplets from the B section and repeats the motive starting on B over an E minor chord in the third bar. Soon after, the theme is restated back in its original key in bar 35 in an altered form with added chromatic notes and a harmonization in tenths in the left-hand (see ex. 8.11 above). As with Theme I, jazz elements of the B section are apparent in this second statement of Theme II. In particular,

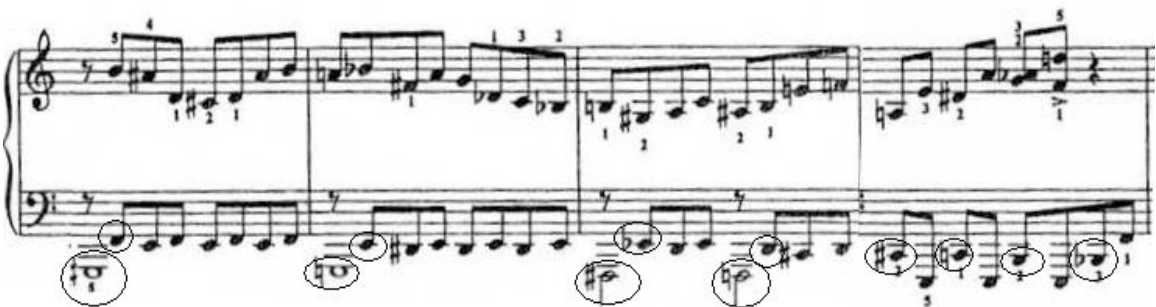


chord voicings include upper structures and alterations, for example, the  $G7^{\#11}$  in bar 29 and the quartal chords in measure 30.



Example 8.12, *Prelude II*, bars 37-40, Theme I, fourth occurrence

When Theme I reappears, in bars 37 to 40, it includes the tonic pedal through repeated open fifths in the left-hand part. In the right hand, the previous alto counter-melody is modified and harmonizes the motive in thirds and fourths, like double notes. The left hand also has little rhythmic kicks with grace notes. This is similar to what a drummer might do to inject subtle rhythmic inflection and also not unlike the styling of Erroll Garner.



Example 8.13, *Prelude II*, bars 41-44, Motive II, second occurrence

The second statement of Theme II (ex. 8.13) features a right-hand part that is completely different, but the descending chromatic line, including the F $\sharp$ , is clearly outlined in the bass. Also note the extreme chromaticism in the right-hand part.

The last bar of this section also has an interesting feature in the left-hand part. The descending motive from G $\sharp$  to E is transposed and treated in diminution. Note the descending line C $\sharp$ -C-B-B $\flat$  in the upper voice of the left-hand part, which resolves to A in the next bar. One can also trace a chromatic descent from F to D in the upper voice of the left-hand part in the first few bars above. Tracing this whole line in the above example, a chromatic descent from F to A is accomplished. This is interesting because, though it is musically very different, the footprint of Motive I also spans the same interval space, from F down to A.

Example 8.14, *Prelude II*, bars 40-44, Theme I, Fifth and final occurrence

In the final version of Theme I, bars 40 to 44, Kapustin retains the tonic pedal, the four-bar structure, and the basic outline of the motive, but changes everything else about the right-hand part. The left-hand part is the same as the previous statement, while the right hand plays a syncopated line that clearly grows out of the motive but with an altered



falling third pattern. Using dotted-quarter note rhythms for all four bars creates an interesting rhythmic displacement—one that continues the syncopated pattern for the whole phrase instead of breaking down into groups of two as the earlier versions did.<sup>29</sup> The melodic outline still descends, though it does not replicate the same pattern as the first few occurrences. With each recurrence of Theme I, Kapustin gets further and further from the initial statement of the theme.



Example 8.15, *Prelude II*, bars 49-51, Theme III, fourth occurrence

The next appearance of Theme III in bar 49 is also much more varied—the harmonic function is the same but the motive is missing, transformed into boogie-woogie style with a left hand figure similar to Waller’s arrangement of *Between the Devil and the Deep Blue Sea* (ex. 8.15). With its blue notes, double notes, accents, and constant use of dominant seventh harmony, the transformation from classical to jazz style is complete.

The second B section has none of the motives of the first, but uses the same harmonic structure, like two improvisations on a theme or two succeeding improvised

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<sup>29</sup> Instead of two groups of 12-123-123-123-123-12, this is 12-123-123-123-123-123-123-123-123-123-123.

choruses. Like the first, it is purely in jazz style with triplets, blue notes, double notes, and a constant walking bass line. This time, Kapustin strengthens the return to tonic and Theme I by including a free-form cadenza marked *a piacere*.<sup>30</sup>

After this long dominant pedal, a *D. C.* leads back to the opening measures. This is one of the few examples of an exact repetition in *The Preludes* and the only type of repeat sign in the whole set.

Example 8.16, *Prelude II*, bars 66-72, Theme III, fifth and final occurrence

Finally, Kapustin returns to Theme III to provide an effective and highly syncopated ending for the piece, in a manner that recalls the stylings of Zez Confrey (see ex. 8.16 above). Kapustin uses similar devices to construct endings for *Preludes I* and *IV*.

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<sup>30</sup> Defined by The New Harvard Dictionary of Music as “At the pleasure of the performer, especially as regards tempo and the use of rubato.”

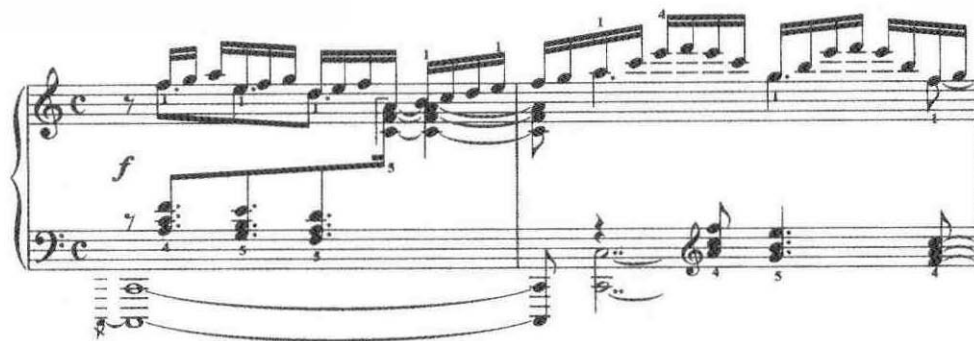
Theme II also makes a hidden appearance in measures 71-72 above. The tenor voice in the left-hand part descends chromatically from C# to A. This is Theme II transposed from dominant to tonic, neatly tying the motivic strands together (the resolution to A happens at the end, two bars after the example above).

Example 8.17, *Prelude II*, Final cadence

While so much of jazz harmony comes from classical music, the Picardy third is rarely used. Though there are many examples of songs that modulate back and forth from minor to relative major, there are very few that stay firmly in minor and switch to major in the final cadence. The ending of this *Prelude* is influenced by classical music in general and Bach in particular. The alto voice is a mirror image of the alto voice in the opening theme, this time ascending in major mode instead of descending in minor mode. The final chord is an  $AM^7$  with #11 and 13.

The way that Kapustin develops and transforms themes in *Prelude II* is also a clear example of the influence of classical music on his compositional technique. This link with the classical tradition comes more clearly into focus with the realization that the motive used to construct this *Prelude* actually originates in *Prelude I*. The transformation

of the rhythm of *Prelude I* to *Prelude II* is similar to the way that Beethoven structures his themes in the Op. 10 *Sonata* analyzed in Chapter 6. Like Beethoven, Kapustin takes the rhythmic footprint of one motive and uses it to construct another. Examining the motive from the beginning and ending of *Prelude I* and its relationship to Theme I of *Prelude II* will illuminate its transformation.



Example 8.18, *Prelude I* beginning, bars 1-4

The initial motive contains the germ of the rhythmic idea. The relationship is further obscured by the fact that *Prelude I* is in common time and *Prelude II* is in cut time. In the first measure, Kapustin uses the rhythmic subdivision 12-123-123-123-12345. While this is not exactly the same, it is both distinctive and clearly related to the 12-123-123-123-123-12 subdivision of *Prelude II*.

The image shows three systems of musical notation for the ending of the first Prelude. The first system (bars 64-65) includes a circled '8' above the staff, indicating an eighth-note triplet. The second system (bar 66) shows a more complex rhythmic structure with slurs and triplets. The third system (bar 67) begins with the instruction 'molto ritard.' and ends with 'attaca'. Fingerings and articulation marks are clearly visible throughout the score.

Example 8.19, *Prelude I* ending, bars 65-67

This motive returns in the same format at the return of the A section, measure 61, but scored one octave higher. Several bars later, in measure 65, the transformation of the rhythm is complete (ex. 8.19). It bears no other relationship to Theme I of *Prelude II*, except perhaps that the pattern is generally ascending in minor thirds while in *Prelude II* it is descending in minor thirds.

This is one of only two places in *The Preludes* where Kapustin creates links between successive pieces: *Preludes I* to *II* and *Preludes XXI* to *XXII*. Both contain a motive that is immediately transformed in the following *Prelude* and both are marked *attaca*.

## CHAPTER 9: TERNARY FORMS

There are a great variety of forms used in *The Preludes*, and this chapter will examine the ways that Kapustin structures his ternary forms. While none of these *Preludes* offer as much contrast between sections as *Prelude II*, Kapustin often takes advantage of the form's ability to link disparate musical styles. Most of these *Preludes* are complex and fairly long. The complexities stem from two things: either Kapustin uses multiple themes and weaves them together in interesting ways, or else he uses a developmental model, bringing some of the aspects of sonata-allegro form into a less formalized structure. This chapter will examine the form and thematic structure of five of the *Preludes*.

### Prelude I in C major

When a composer decides to create a set of preludes invoking the memory of Chopin, he is betraying his ambitions. In such a scenario, an auspicious beginning is necessary, and Kapustin certainly provides one with *Prelude I*. Though it does not bear a close musical resemblance, its effect is much like Rachmaninov's *Prelude I*, Op. 32 No. 1 in C. It has the same manic energy, propulsive rhythm, and chromatic figuration. Like Rachmaninov, Kapustin creates a highly chromatic surface resting on top of a strong and tonally centered framework. The table below shows the formal layout. Like *Prelude II*, the A section seems more classically oriented, while the B section is unequivocally in jazz style.

**Presto** (♩ = 160 - 176)

The musical score is presented in four systems, each with a grand staff (treble and bass clefs). The first system begins with a forte (*f*) dynamic. The tempo is marked **Presto** with a metronome marking of a quarter note equal to 160-176 beats per minute. The music is characterized by intricate rhythmic patterns, including frequent sixteenth and thirty-second notes, often beamed together. The right hand features a melodic line with various ornaments and slurs, while the left hand provides a harmonic accompaniment with chords and moving bass lines. Fingering numbers (1-5) are indicated throughout the score.

Example 9.1, *Prelude I*, A section



Section	Measures	Description
A	1 – 19 (19 bars)	Brilliant figuration, changing tonality, many musical ideas that are later developed (in this Prelude and elsewhere)
B	20 – 35 (16 bars)	Extremely chromatic with constant LH walking bass, RH pentatonic figures with chords in fourths.
B'	36 – 51 (16 bars)	Appears to start over with the same LH bass line as bar 20, but develops differently. Similar RH figuration.
A' retransition	52 – 60 (9 bars)	The opening low C octave returns, but Kapustin begins with material from bar 15 (bars 52-55), then bars 12-14 (bars 56-57).
A'	61 – 67 (7 bars)	Variation of opening motive reappears in bars 61 to 64, ending with varied material from bars 7-8.

Table 9.1, *Prelude I* form

Despite this clear high-level architecture, the details of *Prelude I* are rather complex. It is intended as a work in C major and though it begins with a strong pedal point on C and uses dominant and tonic roots at key structural points, there is no unequivocal cadence in C major anywhere in the piece. Even the opening material is vague; though the first three and a half bars are completely diatonic, it seems to suggest F major (or more accurately, F Lydian) as much as C major. Things turn chromatic at the end of bar 4 with jazzy rhythmic and harmonic inflections. The A section ends with a cadence implying C major in preparation for the B section.

The high-level structure is ABA with the B section divided into two sections of equal length. The A section has multiple themes with minimal development. Like *Prelude II*, the two B sections are stylistically different from the A sections, with no motivic relationships to the A section. Though there is no repeated harmonic progression, the figuration of the two B sections is similar and both are 16 measures in length.

Though the A section clearly contrasts with the B section, it is extremely varied in its figuration. It would be possible to identify bars 1-5 as Motive I, 6-11 as Motive II, and 12-19 as Motive III. Motives I and III reappear but there is only a brief allusion to Motive II later in the piece. There is an interesting feature common to Motives I and II: both split their figuration between the hands in the manner of virtuosic Romantic piano literature. There are other places in the *Preludes* where Kapustin uses similar techniques.

If the opening is harmonically vague, it quickly becomes even more chromatic and unstable. Theme I is vague but stable, while the other themes in the A section are highly chromatic, inflected with diminished scales, resulting in no discernable key center until the cadence at the end of the A section.

Examining the cadences at key structural points is illuminating since, to a great extent, this is how the form is determined. Musical material and figuration will change, but there is always a cadence, whether it is explicit or not. All of the defining cadences in this *Prelude* are clear, though somewhat unorthodox by classical standards.

The image shows a musical score for a piano piece, specifically a cadence at the end of section A. The score is written for two staves, treble and bass clef. It begins at measure 19. The music is highly chromatic and features complex rhythmic patterns, including triplets and sixteenth-note runs. The piece concludes with a cadence marked 'fp portando'. The notation includes various accidentals and dynamic markings, and the piece ends with a final chord in the right hand.

Example 9.2, *Prelude I*, Cadence at the end of A section

The last bar of the A section is very chromatic and the clearest indication of a cadence is the low G<sup>1</sup> in the left-hand part (ex. 9.1). Taken together, that last beat is a G sus chord. The B section starts in the next measure with a walking bass line and a C blues scale, with the low C<sup>1</sup> signaling the tonic.

While the A section had constantly changing figuration and musical material, the B section is unified by a chromatic walking bass line in the left hand and right-hand patterns full of pentatonic, quartal, and diminished figures. However, it is similar to the A section in that there is no discernable harmonic progression or key center—something that is perhaps unusual since the left-hand walking bass would normally provide that. The only repetition in the two B sections is the left-hand part of the first measure that begins each section.

The image shows a musical score for piano, consisting of two systems of staves. The first system begins at measure 34 and ends at measure 35. The second system begins at measure 36 and ends at measure 37. The right-hand part (treble clef) contains intricate, chromatic patterns with numerous accidentals and fingerings (e.g., 5, 4, 3, 2, 1, 5, 3, 1, 2, 5, 2, 1, 5, 1, 2, 3, 1, 4, 1, 3, 2, 1). The left-hand part (bass clef) features a walking bass line with a low G in the final measure of the first system. Dynamics include 'mf' and 'p'. A circled '8' is above measure 34, and a 'V<sub>5</sub>' marking is present above measure 35.

Example 9.3, *Prelude I*, Cadence at the end of the first B section

The last measure of the first B section is even more chromatic than the previous cadence. Again, the clearest indications of harmony and structure are supplied in the  $G^1$  in the bass in measure 35, and the  $C^1$  in the first measure of the second B section (ex. 9.2). The tritones at the end of measure 35 are similar to those used in the A section, measures 12 and 14. The right-hand part in measure 35 also derives from the same place.

Example 9.4, *Prelude I*, Cadence at the end of the second B section

The last measure of the second B section is not as chromatic as its predecessors, but reinforces the same  $G^1$  tonality seen at the end of the A section. The final notes in the left hand are chromatic upper and lower neighbors to that same  $G^1$  that appeared in every previous cadence.

Example 9.5, *Prelude I*, Retransition, bars 52-55

Example 9.5, *Prelude I*, Retransition, bars 52-55

Bar 52 begins a retransition back to the A section. The harmony alternates back and forth between  $C^7$  and  $G^7$  and elements of all three A section motives return. The right-hand part in measures 52-53 is similar to bars 11-12 and 34-35.

Example 9.6, *Prelude I*, bars 13-16

Example 9.6, *Prelude I*, bars 13-16

Example 9.7, *Prelude I*, Retransition, bars 56-57

In bars 56-57 the right-hand part has similar interval content but is transposed. The left-hand part is like measures 16-17 of the original A section, but transposed from E to B $\flat$ .

Example 9.8, *Prelude I*, Retransition, bars 58-60

In measures 58-59 of ex. 9.7, material from bars 7-9 returns in an altered form that will be used to end the piece. The dramatic contrary-motion chromatic run in bar 60 uses the same type of interval content seen in many places throughout the piece (bars 12, 14, 15, etc.), though here it is clearly symmetrical. The right hand starts on C and the left hand on E. In opposite directions, they move in the following pattern: minor second, fourth, minor second, minor second, fourth, continuing until the right hand lands on E and the left hand on C. All twelve notes of the chromatic scale appear in each hand.

The return of the A section was discussed in the previous chapter, along with the thematic link between *Preludes I* and *II*. With its complex structure, chromatic harmony, and virtuosic figuration, this *Prelude* provides an impressive introduction to the set.

#### Prelude XII in G# minor

Like *Prelude I*, *Prelude XII* has a clear-cut structure. Though Kapustin generally favors balanced phrases, few of the *Preludes* are as regular as this one. This *Prelude* is also one of the few instances in which Kapustin uses exact repeats. The following table outlines the form.

<b>Section</b>	<b>Measures</b>	<b>Description</b>
A Theme I	1 – 8 (8 bars)	G# minor, straight-eighths, funky jazz-rock style
A Theme II	9 – 24 (16 bars)	Same style. When Theme II first appears, it makes the first 8 bars seem like an introduction as it is more melodic
A Theme I	25 – 32 (8 bars)	Exact repeat of Theme I. Only the transition to Theme II is different, the last measure.
A Theme II	33 – 48 (16 bars)	The melody and some of the right hand scoring are the same. Unlike before, the left hand plays mostly steady eighth notes.

B	49 – 64 (16 bars)	Change of key, no reference to A section themes, Garner-style steady left hand chords in swing rhythm.
A Theme II	65 – 80 (16 bars)	The first 8 bars are scored like the first appearance, the second 8 like the second
A Theme I	80 – 88 (8 bars)	Exact repeat of measures 1-8
Coda	88– 96 (8 bars)	Syncopated coda created from Theme I

Table 9.2, *Prelude XII* form

**Allegretto** (♩ = 108 - 112)

Theme I, Intro

4

8

Theme II

Example 9.9, *Prelude XII*, A section



As outlined in the table above, the whole *Prelude* unfolds in balanced phrases of eight and sixteen measures. Theme I is more rhythmic than melodic, like a riff, and contrasts nicely with the melodic aspect of Theme II (ex. 9.8). It also contrasts harmonically, as Theme I is static, centering around the tonic while Theme II moves away from the tonic and returns. Though the Theme II melody and harmony are somewhat chromatic, they are firmly rooted in the tonic of G# minor.

Example 9.10, *Prelude XII*, B section

A B<sup>b</sup>M<sup>7</sup> chord in measures 47 and 48 provides a transition to the B section. The left-hand part features Garner-style repeated chords while the right hand consists of mostly single note figuration with plenty of triplets. There is also an obvious shift from straight-eighths to swing rhythm. Unlike the A section, it is harmonically unstable in the way that a development section of a sonata would be. The section ends with a chromatic descent in the left-hand part from G<sup>b</sup> down to B<sup>b</sup>. Kapustin returns to B<sup>b</sup> and E<sup>b</sup> in the

penultimate measure of the B section, with the E<sup>b</sup> functioning as an enharmonic dominant to the tonic of G<sup>#</sup> minor. The last chord of the section is a typical jazz chord voicing for an A7 chord or its tritone substitution, E<sup>b</sup>7 (or enharmonically D<sup>#</sup>7): D<sup>#</sup> - G - C<sup>#</sup> - F<sup>#</sup>, creating a dominant sharp-ninth chord. The last notes in both hands are D<sup>#</sup>s.

For the closing A section, Kapustin avoids an exact repetition by starting with Theme II and making slight changes in scoring. Despite these slight changes, this *Prelude* has far more repetition than is the norm for Kapustin. As in many other *Preludes*, Kapustin constructs a clever, syncopated ending from Theme I.

#### Prelude XV in D<sup>b</sup> major

Though the formal structure is quite different, there is one aspect of *Prelude XV* that is similar to *Prelude I*: the B section features a constant chromatic walking bass line with a seemingly vague harmonic progression. However, the A sections are completely different.

Example 9.11, *Prelude XV*, A section

While the A section of *Prelude I* offered a kaleidoscopic mix of thematic material, *Prelude XV* has just one theme. It is in a syncopated straight-eighths style with a modern jazz sound due to the many sharp-ninth and quartal chords. The syncopation and straight-eighths rhythm give it a funky, modern feel.

Two of Kapustin's key stylistic traits are in evidence: a simple, diatonic melody and a balanced phrase structure. The first four bars state this diatonic melody while a two-bar extension offers a chromatic commentary, moving from  $D^b$  to  $E$  sus. The result is a six-bar phrase that Kapustin retains throughout the piece. The following six-bar phrase returns to the  $D^b$  tonic chord but the melody is altered in the first two measures while the next four bars contain a chromatic circle of fifths progression instead of the  $E$  sus flourish. The progression is  $G^b$  sus –  $C^bM^7$  –  $E$  sus –  $AM^7$  –  $Dm^{13}$ . In place of the  $E$  sus run from the previous phrase, Kapustin uses white-key glissandi up and down the

keyboard. The resulting twelve-measure phrase is then repeated with variations in scoring, as is typical for Kapustin.

The image shows a musical score for the B section of 'Prelude XV' by Alexander Kapustin. It consists of two systems of music. The first system begins at measure 26 and the second system begins at measure 30. The music is written for piano and features a constant left-hand chromatic walking bass. The right-hand part is characterized by complex rhythmic patterns, including triplets, chromatic lines, and pentatonic scale fragments. The key signature is three flats (B-flat major/C minor).

Example 9.12, *Prelude XV*, B section

The B section is similar to the B section of *Prelude I* not only technically but stylistically as well. Both have a constant left-hand chromatic walking bass, with mostly single note right-hand figuration full of triplets, chromatic, blues, and pentatonic scale fragments, and hints at quartal harmony. One interesting aspect of the piece comes into focus only upon close examination of the B section, which is constructed from three 12-bar phrases for a total of 36 bars. Upon first hearing (or even *many* hearings), this section is so chromatic that it sounds random, even atonal. On repeated listening, it becomes apparent that the 12 bar structure Kapustin maintains throughout is a type of transformed 12-bar blues.

The important structural elements of a twelve-bar blues are: the use of dominant seventh chords even on the tonic, a move away from the tonic in bar 5, a return to the tonic in bar 7, and some type of cadence to end the form and prepare for the return of the tonic when the form repeats. Though it does not use a standard blues progression (or even a common extended progression) it becomes clear that the E sus in measure 5 is a substitute for the IV chord and the circle-of-fifths progression that ends on a Dm<sup>13</sup> is a substitute for the turn-around that usually ends the form. Not only is this structure maintained in the A section, but upon close examination it is apparent that all three of the B section choruses have the same structure. Each begins on D<sup>b7</sup>, moves to E sus in bar 5, back to D<sup>b7</sup> in bar 7, and concludes with some type of D minor or Dsus harmony.

Though this 12-bar pattern and relationship to the blues becomes apparent on close inspection, the overriding ABA format of the piece justifies inclusion in this chapter on ternary forms.

Prelude XVI in B<sup>b</sup> minor

**Andantino** (♩ = 132)

Repeat of A

New motive

The image shows a musical score for the first part of 'Prelude XVI in B minor'. It consists of two systems of music. The first system starts at measure 8 and is labeled 'Repeat of A'. It features a treble staff with a melodic line containing triplets and a bass staff with a supporting line. The second system starts at measure 12 and is labeled 'New motive'. It shows a continuation of the piece with a new melodic motif in the treble staff and a more complex harmonic accompaniment in the bass staff, including various intervals and chords.

Example 9.13, *Prelude XVI*, repeat of A section with new motive

There are many places in the *Preludes* where Kapustin indicates *swinging*, but this is the only *Prelude* that has this marking at the very beginning. It is another example of a piece with a balanced structure and a middle section that is more harmonically unstable yet still based on material from the main motives. The theme is an 8-bar phrase that ends on the dominant. It starts over again in measure 9, but after three bars there is a sudden shift in harmony and a new motive appears, though it is clearly based on the initial motive.

Theme I in A minor

Theme II in B-flat

Example 9.14, *Prelude XVI*, transition to B section

In measure 15, the key signature changes to no sharps and flats and the opening motive is transposed to A minor (ex. 9.13). Another abrupt shift back to B $\flat$  major occurs in measure 21 and the motive from measure 12 appears. After 4 bars, there is another abrupt shift to G major and the motive is stated again. After a brief transition with a *rit.*, the A section material returns. The whole 8-measure A section repeats, though with some changes in figuration and scoring as is usual for Kapustin. A brief coda is constructed from the main motive. The way the themes are transposed and adapted is similar to the Liszt example from Chapter 6. The form is outlined in the table below.

Section	Measures	Description
A	1-8 8 bars	Theme I
A'	9-16 8 bars	Modulates from B <sup>b</sup> minor to A minor. New motive in bar 12 will return in B section
A'	17-20 4 bars	Main motive in A minor
B	21-29 9 bars	Motive from bar 12 becomes Theme II in B <sup>b</sup> major, then G major, then returns to tonic
A	30-37 8 bars	Return of A Theme
Coda	38-43 6 bars	First two bars of main motive, then concluding material

Table 9.3, *Prelude XVI* form

Prelude XXII in G minor

*Prelude XXII* is one of only two *Preludes* that are linked to their predecessors.

*Prelude XXI* ends with a motive that was not stated earlier in the piece. This rubato repeated note motive speeds up, then winds down with a *molto ritardando*. It then slides down a half step and begins *attaca* in *Prelude XXII*.



22 (8) ritard.

25 accel..

26 molto rit. perdendosi attacca

Example 9.15, *Prelude XXI* transition to *Prelude XXII*

XXII

Animato ( $\text{♩} = 120$ )

Example 9.16, *Prelude XXII*, beginning

Like other *Preludes*, this one has a monothematic A section with a balanced structure and a complex B section in mostly two-part counterpoint. The result is that the form of the A section resembles *Prelude XV*, and the form of the B section shares some similarities with *Prelude I*.

*Prelude XXII* in G minor is a toccata with a straight-eighths, modal jazz style. There is just one theme in the A section and its repeated Ds and syncopated left hand account for the toccata feel. Though the piece begins on iv (C minor), the first phrase feels like it is in G minor despite the fact that there is no overt V-i cadence. Instead, there are many chords voiced in fourths and chromatic alterations in place of the dominant. The second phrase (bars 5-8), modulates to the relative major (B<sup>b</sup>), with a clearer V-I cadence. The phrase structure is regular, in four-bar sections that include antecedent and consequent melodic ideas. The opening motive repeats again in bar 9 and follows the same pattern, though the scoring is not exactly the same.

Example 9.17, *Prelude XXII*, beginning of the B section

While form and harmony in the A section are clear, neither is clear in the B section. Formally, one of the most interesting things about this *Prelude* is the way Kapustin weaves the opening motive, but none of the theme of the A section, into the B section, giving the piece the type of developmental structure typically found in a sonata-allegro movement. The first sixteen measures of the B section bear no relationship to the A section, except that the toccata element is manifest in figuration split between the hands. The only other connection is that this section continues the constant eighth note motion.

The image shows two systems of musical notation for a piano piece. The first system, starting at measure 29, consists of a treble and bass staff. The treble staff has a melody with trills and slurs, and the bass staff has a supporting line with fingerings 1, 2, 5, 1, 2, 1. The second system, starting at measure 32, also has two staves. The treble staff continues the melody with trills and slurs, and the bass staff has a supporting line with fingerings 5, 1, 2, 3, 3, 2, 1, 3, 3, 3, 1. The second system includes the dynamic marking 'p poco a poco cresc.'

Example 9.18, *Prelude XXII*, A motive first appears in B section

Suddenly in measure 30, the main motive appears and is developed over the next ten measures. While the harmony is nothing like the A section and the theme itself does not appear, the repeated-note motive is clearly present. This section ends with an authentic V-i cadence in measures 40-41. It is hard to tell where phrases begin and end in this part of the B section, as this cadence is elided and, as often happens, Kapustin uses quartal chords to make a transition.

The image shows two systems of musical notation for a piano piece. The first system, labeled '76', spans measures 76 to 79. The second system, labeled '80', spans measures 80 to 83. The music is written for piano in B-flat major and 3/4 time. It features a retransition from B-flat major to A major with an A motive. The score includes fingering numbers (1-5) and dynamic markings like 'p'.

Example 9.19, *Prelude XXII*, retransition from B to A with A motive

The chromatic two-part counterpoint resumes in measure 45 and lasts until measure 77, which begins a section that can be described as a retransition to the A section (ex. 9.18). Unlike the previous development of the motive, this one is less chromatic and seems structural as it moves back and forth between dominant and tonic. Stylistically, it has a boogie-woogie feel to it and the combination of an interesting treatment of the motive with a dominant pedal leads to a powerful restatement of the A section in measure 89.

The image shows a musical score for the final cadence of Prelude XXII. It consists of two systems of music. The first system, starting at measure 104, features a circled section in the right hand containing notes and dynamics markings 'sub.', 'f', and 'p'. The second system, starting at measure 107, features a circled section in the left hand and a 'pp' marking in the right hand.

Example 9.20, *Prelude XXII*, final cadence

The final A section follows the same format as its predecessor, with the right-hand part raised an octave and some altered scoring in the left hand for the first eight-bar phrase. The second phrase is an exact repetition of the first phrase of the piece, but finally Kapustin treats us to a cadence, a very jazzy cadence: an  $E^b7$  chord with a  $\#9$  and  $\#11$  (a tritone substitution chord for V of V) is followed by a  $D^7$  alt chord ( $D-A^b-F\#-C-F\sharp-B^b$ ). The ending, on a  $Gm^7$  chord, avoids the raised 7<sup>th</sup> and reinforces the modal inflection of the piece.

#### Prelude XXIV in D minor

If *Prelude I* got the set off to an auspicious beginning, *Prelude XXIV* provides a long, complex, and virtuosic conclusion. The developmental middle section freely uses a

pentatonic main motive and also makes references to material from two other *Preludes*, though there is no formal reprise that attempts to tie the pieces together. The middle section is structured in a sort of arch form with the climax in the center, outlined in the table below.

<b>Section</b>	<b>Measures</b>	<b>Description</b>
A	1-32	Two themes alternate, firmly in tonic
B1	33-65	New motive in lower register with figuration above and below
Transition	66-70	
B2	71-103	Combines two themes from A section with material from <i>Prelude I</i> , crossed-hands quartal section like <i>Prelude VII</i> . The climax seems to come around bar 100
B1	104-127	Figuration and melodic content like B1
A'	128-155	A material returns with scoring changes

Table 9.4, *Prelude XXIV* form

4 **Presto** ( $\text{♩} = 138-144$ ) Pentatonic run ascending

7 Funky melody

11 Pentatonic run descending

Example 9.21, *Prelude XXIV*, opening pentatonic figure, bars 4-14



56

59

62

tenuto

rit.

Example 9.22, *Prelude XXIV*, B section three-hands technique

The first section seamlessly combines two motives: a pentatonic run in the tonic and a funky melody that briefly leaves and returns to the tonic. The pentatonic run appears both ascending and descending and the melody from measures 8-12 reappears in the right hand in the bass, crossed-hands like the swing variation of *Prelude VII* (ex. 11.3). This crossed-hands idea plays a large role in the developmental middle section,

which has long stretches of tenor melody surrounded on both sides by arpeggiated figuration that spans several octaves, like the Liszt-Thalberg “three-hands” techniques.<sup>31</sup>

70

Pentatonic run, tonic and transposed

74

cresc.

Motive from Prelude I

77

*f*

80

Example 9.23, *Prelude XXIV*, bars 70-82, motive from *Prelude I*

<sup>31</sup> Harold C. Schonberg, *The Great Pianists from Mozart to the Present*. (New York: Simon and Schuster, 1987), 183-190.

The climax of the piece comes in the middle section, bars 71-103, where the pentatonic run, crossed-hands funky melody, and intervallic material from *Prelude I* all come together (ex. 9.22). First the pentatonic idea is developed, both ascending and descending; then figuration from *Prelude I* reappears. This motive uses minor seconds and perfect fourths, similar to the figuration from measure 60 of *Prelude I* where the intervallic content is stated in mirror image (see ex. 9.23 below).



Example 9.24, *Prelude I*, mirror image run

The funky crossed-hands melody returns after this, then another section with the same minor second and perfect fourth intervallic structure reaches a climax with the figure in both hands (see ex. 9.24 below).

Example 9.25, *Prelude XXIV*, climax

The three-hands aspect of the B1 section is not reprised in the B2 section, though the melodic content of B1 does reappear. As usual, when the A material returns, it is varied with changes in scoring. The pentatonic run is finally stated in contrary motion to bring the set to a rousing conclusion. This contrary-motion treatment of the theme recalls the mirror image run just before the return of Theme I in *Prelude I* (ex. 9.23)

## CHAPTER 10: RONDO FORMS

Because of its interesting fusion of style and form, I devoted a separate chapter to *Prelude II*, which is in rondo form. This chapter will discuss the three other *Preludes* in rondo form. Two have stylistic links through the Garner-style left-hand accompaniments used in the B sections of both pieces.

## Prelude X in C# minor

There are several *Preludes* that have a jazz-rock feel, but this one is particularly funky—in spots it even seems to have Gospel influences. One can almost imagine the three female backup-singers belting out harmony. This *Prelude* is complex and also quite virtuosic. It is only 43 bars long, but since it is mostly in 3-2, each bar is a bit longer than usual and the score spans 5 pages.

Though the form is complex, it is still basically an ABABA form with Coda. The A sections feature three funky motives that are developed and combined in complex ways. With its quartal harmony and complex rhythm, the B sections seem more like modern jazz. The overall form could be described in this manner:

Section	A	B	A'	B'	A''	Coda
Bars	16	6	3	6	8	3

The detailed formal layout is outlined in the table below.

<b>Section</b>	<b>Measures</b>	<b>Description</b>
A, Theme I	1 – 4 (4 bars)	C# Dorian, syncopated but straight-eighths
A, Theme II	5 – 6 ( 2 bars)	Seems to center on B. The backup singers enter here.
A, Theme III	7 – 10 (4 bars)	Bent-notes are at the heart of the musical figuration. Time signature changes to 4-4.
A, Theme I	11 – 14 (4 bars)	Same as first Theme I but in RH octaves. Ending is different.
A, Theme II	15 – 16 (2 bars)	Very chromatic. The Theme is transposed and developed.
Transition	17 – 18 (2 bars )	The figuration from measure 17 comes from Prelude I, bars 65 to the end.
B	19 – 22 (4 bars)	Quartal harmony, changing meter and harmony
A, Theme III	23 – 25 (3 bars)	Theme III transposed
Transition	26 – 27 (2 bars)	Similar to the previous transition, changes key again
B	28 – 31 (4 bars)	Starts the same as the previous B section but a half-step higher. Develops differently with a climactic two-handed descending run in octaves.
Transition	32 – 33 (2 bars)	Similar to previous ones, but more fragmented. Pause with <i>rit.</i>
A, Theme I	35 – 38 (4 bars)	Another varied statement of Theme I. Interesting scoring differences.
A, Theme II	39 – 40 (2 bars)	More rhythmically complex than previous iterations as it does not switch to 4/4
Coda, Theme I	41 – 43 (3 bars)	Repeated Theme I, brilliant ending.

Table 10.1, *Prelude X* form

Allegro ( $\text{♩} = 132$ )

*mf*

Example 10.1, *Prelude X*, Theme I

Similar to other themes in *The Preludes*, Theme I is a short, simple melodic figure that is repeated four times, each time in the same key but with changes in scoring to make it unique. This theme has two important characteristics: the chromatic left-hand figure and an overall Dorian flavor (ex. 10.1).

Example 10.2, *Prelude X*, Theme II

Theme II (Example 10.2) has a distinct Gospel flavor and confirms the Dorian sense of Theme I since it is in the key of B.<sup>32</sup> Kapustin makes this theme funkier by using F $\natural$  instead of F $\sharp$ —the blue fifth. The left hand figuration is similar to that of Theme I.

Example 10.3, *Prelude X*, Theme III

Theme III uses the blue third and fifth together with double notes to create a funky bent-note feel. Of the three, it is also the most wide-ranging harmonically, moving freely by step and by fifth.

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<sup>32</sup> The Dorian mode is built on the second scale degree. C $\sharp$  is the second scale degree in the key of B.



The image displays two systems of musical notation for a piano piece. The first system, labeled '15', consists of a treble clef staff and a bass clef staff. The treble staff begins with a complex chord structure, including a trill and a grace note, followed by a series of eighth and sixteenth notes. The bass staff provides a rhythmic accompaniment with eighth and sixteenth notes. The second system, labeled '16', continues the piece with similar notation, showing a change in the treble staff's melodic line and the bass staff's accompaniment. Both systems include detailed fingerings and articulation marks.

Example 10.4, *Prelude X*, Theme II developed, bars 15-16

Themes II and III undergo development, with changes of key and scoring, though each appearance is an obvious recurrence of the same material. Later, Theme III is not so much developed as simply transposed to several different keys.

The image shows two systems of musical notation for piano. The first system, starting at measure 23, consists of two staves. The right hand has a complex melodic line with many sixteenth and thirty-second notes, including slurs and accents. The left hand has a more rhythmic accompaniment with eighth and sixteenth notes. The second system, starting at measure 25, continues this style with similar rhythmic complexity and fingerings. The key signature is three sharps (F#, C#, G#) and the time signature is common time (C).

Example 10.5, *Prelude X*, Theme III transposed

This transposition of Theme III is similar to the treatment of Theme D in the Beethoven Sonata analyzed in Chapter 6, ex. 6.12. In measure 25 above, Kapustin modifies the theme at the end to provide a transition to the next section.

The image shows a single system of musical notation for piano, starting at measure 17. It is written in bass clef with a key signature of three sharps (F#, C#, G#) and a common time signature (C). The music features a complex rhythmic pattern with many sixteenth and thirty-second notes, including slurs and accents. The right hand has a more melodic line, while the left hand has a more rhythmic accompaniment.

Example 10.6, *Prelude X*, transition to first B section, bars 17-18

The transitional measures change to common time and recall the two-handed figuration from *Prelude I*. Quartal chords in measure 17 prepare for the B section (ex. 10.6).

The musical score consists of three systems of two staves each. The first system (bars 19-20) is in 3/4 time, marked *sub. p*. The second system (bars 20-21) is in 4/4 time, marked *cresc.*. The third system (bar 22) is in common time (C), marked *f*. The notation includes various fingerings, slurs, and dynamic markings.

Example 10.7, *Prelude X*, first B section, bars 19-22

If the A section material sounds like jazz-rock, the B section material is more like modern jazz. In addition to the quartal harmony, changing meter lends instability. The brief B section ends with a  $B^b$  blues scale in octaves between the hands, in the style of Oscar Peterson.

The image displays three systems of musical notation for a piano piece. Each system consists of a grand staff with a treble and bass clef. The key signature is G major (one sharp).  
 - System 1 (bars 38-39): The music is characterized by dense, beamed eighth and sixteenth notes. There are numerous slurs and accents. Fingering numbers (1-5) are indicated throughout. A dynamic marking of *f* (forte) appears at the start of bar 39.  
 - System 2 (bar 39): This system continues the intricate rhythmic texture. The *f* dynamic is maintained.  
 - System 3 (bar 40): This system begins with a tempo change to *poco più mosso* and a *cresc.* (crescendo) marking. The notation becomes more rhythmic and driving, with some notes marked with 'x' to indicate specific articulation. The piece concludes with a climactic finish.

Example 10.8, *Prelude X*, Theme II final occurrence, bars 38-40

The final occurrence of Theme II, beginning with the pickup to bar 39 and through bar 40, does not really fit metrically with the time signature—this time it does not change meter to 4-4. The rhythm of this section is analyzed in Chapter 14, ex. 14.23. The last three bars also use a shortened, concentrated version of Theme I for a climactic finish.

Prelude XIX in E<sup>b</sup> major

There have already been many examples where Kapustin notates swing rhythm with dotted-eighth and sixteenth notes; here it is mostly eighth note triplets that create an unmistakable swing feel. This *Prelude* also has a clear ABABA form with a balanced phrase structure. The following table outlines the form.

Section	Measures	Description
A	1 – 8 (16 bars)	E <sup>b</sup> theme in triplets, swing feel. Theme is repeated and rescored with changes in harmony
B	17 – 24 (8 bars)	Swing rhythm remains, but now with Garner-style LH chords and single-note RH improvised line
A	25 – 30 (6 bars)	This recurrence mixes scoring from the two previous statements
B	31 – 38 (8 bars)	Stylistically the same as the first B but with different harmony and no repeating motives
A	39 – 40 (2 bars)	Only the first two measures of the theme are stated
Coda	43 – 48 (8 bars)	A circle-of-fifths figure leads to tonic and an ending based on the opening theme

Table 10.2, *Prelude XIX* form

The A section has one theme that is developed over eight measures and repeated with slight changes in scoring in the other A sections. This theme is one of the few places where Kapustin uses a I-vi-ii-V progression, in measures 5 to 8, but it is so skillfully done that it would be easy to overlook.

Example 10.9, *Prelude XIX*, A section theme

Kapustin uses some standard passing chords like the  $D^b7$  in measure 5, along with voicings rich in altered upper structures. He also changes the qualities of the vi and ii chords to dominant, which turns them into secondary dominants. Finally, he uses a standard turn-around device by substituting III for I in bar 7.

After the A section with its two-fisted mid-range chords, the B section presents an obvious stylistic change. It also effectively captures all of the elements of Garner's style:

left hand repeated chords alternating with 10ths and octaves alternating with sixteenth-note runs in the right hand.

Beginning of B section

The musical score consists of three systems of piano music. The first system (measures 15-18) shows the beginning of the B section. The right hand features intricate sixteenth-note runs with frequent triplets, while the left hand plays a steady pattern of repeated chords and octaves. The second system (measures 17-18) continues this texture with more complex chordal structures and melodic lines. The third system (measures 19-22) concludes the first B section with further development of the rhythmic and harmonic motifs. The key signature has two flats, and the time signature is 3/4.

Example 10.10, *Prelude XIX*, first B section

As in other *Preludes*, there is no theme in the B sections, just a unified style. They could easily be labeled as separate sections, B and C, though I have labeled both B sections because of their similar style, harmony, and figuration. The harmony is different in the two B sections, though both use mostly ii-V progressions combined with stepwise motion as Kapustin often does to create a sense of movement while avoiding standard progressions. It also renders the B sections more developmental since they do not rest in a

single key area, thereby providing further contrast with the A sections. In both cases,  $F^7$  and  $B^b7$  (or its tritone substitution) lead back to tonic for the return of the A section.

Example 10.11, *Prelude XIX*, coda

The coda begins with a diminished sequence that ascends in minor thirds from  $D^b7$  to  $E^7$  to  $G^7$ , all with  $\#9$  chords (bar 41 in ex. 10.11). This is followed by a turn-around in measure 43. The last few bars reinforce the tonic with a motive from the first measure, this time in minor but accompanied with  $E^b7$   $\#9$  chords to create a blues-tinged finish.



Prelude XXIII in F major

*Prelude XXIII* in F presents another example of Kapustin's clear and balanced forms. His use of standard jazz harmony along with swing rhythm throughout make this *Prelude* more unified than some others in the set. The result is a piece that sounds like a notated jazz piece. As in many of the *Preludes*, there are recurring themes in the A sections along with more improvisational contrasting sections. The harmony is clear throughout and uses standard substitution chords and passing chords to create an authentic jazz style. The following table outlines the form.

Section	Measures	Description
A	1 – 16 (16 bars)	Swing motive, two eight-bar phrases, uses standard turn-around alteration: $\flat$ III- $\flat$ VI- $\flat$ II, ending on $\flat$ II, a dominant substitution
B	17 – 24 (8 bars)	Switches to a 4-beat feel with Garner-style steady quarter note chords in LH
A'	25 – 36 (12 bars)	A section material returns with 4 bar transitional dominant pedal
C	37 – 60 (24 bars)	Three 8 bar phrases, figuration similar to B section with harmonic and thematic changes in each phrase. The final phrase uses part of the melody from B section
A'	61 – 74 (14 bars)	The first 4 bars of the theme are repeated, then variations in harmony and scoring create a short coda

Table 10.3, *Prelude XXIII* form

The image shows a musical score for a piano piece. It consists of three systems of music. The first system is labeled 'A' and begins with a dynamic marking of *mf*. The second system starts at measure 4. The third system is labeled 'A'' and starts at measure 8. The score includes various musical notations such as slurs, ties, and fingering numbers (1-5).

Example 10.12, *Prelude XXIII*, A section theme

Though it is notated in common time, the tempo indication uses the half note and the A section feels like two-beat swing. There is only one theme, and it is restated in the second phrase. The first phrase ends on the  $\flat$ II, a dominant substitution, and the second phrase ends on the tonic with a colorful  $FM^7 \#11$  chord.

15

Beginning of B section

18

21

Example 10.13, *Prelude XXIII*, B section

The B section is another example of Garner-style left-hand repeated chords. The rhythm switches to a four-beat feel and the harmony uses standard devices though it is more unstable than in the A section. In the span of eight measures, Kapustin alludes to key areas  $D^b$ , A, C, and  $G^b$  and they all use ii-V progressions with alterations and passing chords to move smoothly from one key area to the next. Both the A and B sections use common harmonic devices. In measure 20 of the example above Kapustin uses the standard progression I-ii- $b$ iii-iii in the key of A major (ex. 10.13).

Each recurrence of the A theme is scored differently, and in measure 25 it begins an octave higher and develops with changes in harmony, ending in a four-bar transitional dominant pedal.

The chords in the right hand in 53-54 bars can be played so:  
 Аккорды в правой руке в 53-54 тактах могут быть сыграны так:

52

55

57

sub.p

f

But then:  
Или так:

Example 10.14, *Prelude XXIII*, C section

The C section is the longest in the piece and maintains stylistic elements of the B section, including left hand repeated chords throughout. There are no references to the A theme and the B theme appears only at the end of the section. There are three 8-bar phrases and each phrase uses different harmony and thematic material. The first two sound improvisational with right-hand monophonic figuration. The last phrase uses the

harmonic progression of the B section, though scoring and thematic material are different for the first four measures. In the last four measures, the melody of the final four bars of the B section returns with different scoring. Because of this, it would not be incorrect to classify the form as A-B-A'-C-B'-A instead, making it a less clearly defined rondo.

## CHAPTER 11: SONG FORMS

Two of the four *Preludes* under discussion here could be categorized differently because aspects of their forms would merit discussion in other chapters. The thing that ties them together is their use of a repeated harmonic progression, similar to a popular song form. Though there are sections of some other *Preludes* that use a repeated progression, that feature is the most salient element of the four under discussion here. Given that almost all jazz pieces use this method of organization, it is telling that only four out of the twenty-four *Preludes* can be classified in this manner and only two of them follow an unvaried harmonic progression for the entire form. If nothing else, this testifies to Kapustin's admission that he is not interested in jazz form. Still, he does sometimes use these techniques and uses them well.

## Prelude VII in A major

This Prelude could be said to be in AA'A''BA' form (a high-level ABA). While it does have ternary elements, the repeated harmonic progression is so clear that it is easily the most salient feature. Because the progression is just eight measures long and each iteration uses the same chord voicings, it also has elements of theme and variation. Though the B section uses unrelated harmony and musical material, the rest of the form is similar to a performance by a jazz musician with improvised variations over a repeated harmonic progression. Because it so resembles the song form, I will refer to the iterations through the form as choruses. This *Prelude* seems for the most part to have a straight-

eighths, jazz-rock feel, and the A sections are full of sus, slash, and quartal chords, all over a tonic pedal.<sup>33</sup>

Moderato (♩ = 120)

*p*

4

8

Example 11.1, *Prelude VII*, Introductory chorus

The repeated progression at the heart of this *Prelude* uses quartal chords and chromatic alterations, avoiding a standard ii-V-I pattern. Instead, the progression has a strong Phrygian flavor with B<sup>b</sup> and E<sup>b</sup> chords over a tonic A pedal, yet it avoids resolution until the cadence at the end of the eight bar phrase. In the first eight

<sup>33</sup> A slash chord is a chord symbol with a slash like D/C or B<sup>b</sup>min7/E<sup>b</sup>. Sometimes they are used to indicate a chord inversion or a chord over an unrelated note; other times they are used as an alternate way to notate sus chords.

introductory bars, a slow-moving but distinctive melody is created by the top voice of these chords. Kapustin weakens the first two cadences by adding offbeat syncopations in the left hand, including a final  $G^{\sharp}$ , which forces continuation.

8 Beginning of second chorus, RH melody

The musical score consists of three systems of piano notation. The first system (measures 8-11) shows the beginning of the second chorus. The right hand (RH) melody starts with a quarter note G4, followed by a quarter note A4, a quarter note B4, and a quarter note C5. The left hand (LH) accompaniment features a static pedal point on G3. The second system (measures 12-15) continues the melody and accompaniment. The third system (measures 16-17) shows the final two measures of the excerpt.

Example 11.2, *Prelude VII*, Second chorus, melody in RH

After the introduction, Kapustin moves the accompaniment to the left hand and adds a funky melody in the right hand. The overall effect is like a jazz-rock anthem over a static pedal point at a moderate tempo.



Beginning of third chorus

The musical score is presented in three systems. The first system (measures 16-19) features a right-hand melodic line with triplets and a left-hand bass line with quarter notes. The second system (measures 20-23) shows the right hand playing a bass line with quarter notes and the left hand playing a melodic line with triplets. The third system (measures 24-25) features a right-hand melodic line with triplets and a left-hand bass line with quarter notes. The tempo is marked "swinging".

Example 11.3, *Prelude VII*, third chorus, crossed-hands bass solo

In the next chorus, Kapustin changes everything except the underlying chord progression, which is repeated with the exact same voicings as the two previous variations. There is an abrupt change to swing rhythm, made explicit by Kapustin's indication "swinging," a directive that appears in several places throughout *The Preludes*. Here the left hand plays repeated quarter-note chords while the right hand crosses over to the bass register, creating a swinging bass solo. The chords are exactly the same until the last two measures, which prepare for the contrasting B section.

Beginning of B section

24 *mf*

27

B<sup>b</sup>7    DM<sup>6</sup>/A    F<sup>7</sup>    AM<sup>6</sup>/E    E<sup>b</sup>M<sup>7</sup>    F<sup>7</sup>    B<sup>b</sup>m<sup>7</sup>    E<sup>7</sup>

30

Am<sup>7</sup>    D<sup>7</sup>    iii    biii    ii    V

Example 11.4, *Prelude VII*, B section

The A sections are rather static harmonically because of the tonic pedal point, so in contrast, Kapustin creates a B section that is highly chromatic and moves rapidly using third relations and step-wise motion (ex. 11.4). Though the beginning of this section is in D<sup>b</sup>, the tonality is immediately undermined by chromatic chords over the D<sup>b</sup> pedal: first a C major chord, then a D<sup>b</sup> sus chord. Using inversions and chromatic voice leading, the progression moves from B<sup>b</sup><sup>+</sup> to DM<sup>6</sup>, then F<sup>+</sup> to AM<sup>6</sup>, then moving a tritone away to E<sup>b</sup>M<sup>7</sup>, ending on an F<sup>7</sup>. In the transition back to the A section, Kapustin uses a standard

Bebop harmonic device: a chromatic ii-V progression,  $B^{\flat}m^7 - E^{\flat 7}$ , then  $Am^7 - D^7$ . The section closes with another standard device: III,  $^{\flat}III$ , ii, V to cadence in A major (this is a I-vi-ii-V substitution).

The final statement of the A section is a repetition of the melody from the second chorus (bars 9-26), this time scored an octave higher and with flowing arpeggiated accompaniment in the left hand, which changes its character. A brief coda hints again at modal inflection, with the  $AM^9$  chord shifting to a  $G^7\#11$  (the  $C^{\#}$  from the A chord remains). The *Prelude* ends firmly in A major, voiced with a  $\#11$ . This *Prelude* shows again how Kapustin uses structural repetition combined with variation techniques to create a short, well-integrated and effective piece.

#### Prelude XI in B major

This *Prelude* is a twelve-bar blues with two choruses—the only standard blues form in the whole set. Kapustin creates an effective blues by scoring in 12-8, creating a natural triplet-based subdivision of 4-4. The rhythmic complexity of the figuration creates an effective and authentic rhythmic drive that pushes the piece forward.

Though it follows the basic harmonic outline of a twelve-bar blues, Kapustin uses many tritone substitutions that create added color and tension. The underlying mood of this piece is achieved through almost constant  $\#9$  chords, which include both the major and minor thirds. Every instance of a I or IV chord includes both thirds, which lends unity to the harmony, and also provides the dissonant bite of this spicy chord. Melodic

figuration also includes plenty of minor thirds as well as ample slides and bent notes to achieve a bluesy feel.

Andante (♩. = 60)

(m.s.)  
mp

3 5

3 5

3 5

3 4 5

5

3 4

3-5

3

3

3 5

Example 11.5, *Prelude XI*, bars 1-4

The first chorus has just one motive, with figuration limited to the lower end of the keyboard. One of the salient features of the piece is the way that Kapustin captures the rhythmic freedom of a blues performance.

Ossia:

(m.d.) (m.s.)

20 *pp* *molto cresc.*

21 *ff*

Example 11.6, *Prelude XI*, climax in second chorus

The second chorus is more varied, spanning a broad range, and featuring dramatic sweeps up and down the keyboard along with sudden changes in dynamics. The rhythmic complexity and extended range of the second chorus provides a wonderful climax.

The authenticity of Kapustin's blues is not achieved by using clichés but rather is a result of sophisticated styling effectively scored for piano. For example, the progression at the very end is a standard device, but Kapustin's orchestral scoring is unique. The progression descends chromatically as outlined below. The first figure shows the basic progression; the second shows Kapustin's scoring.



Example 11.7, *Prelude XI*, final cadence basic progression

Example 11.8, *Prelude XI*, final cadence progression as scored

### Prelude XIII in G<sup>b</sup> major

*Prelude XIII* seems to be a tribute to Paul Desmond's *Take Five*, made popular by the Dave Brubeck Quartet. Though it is in a related key (G<sup>b</sup> instead of E<sup>b</sup> minor) and in the same meter (5-8), this *Prelude* is much more complex than *Take Five*, though it does

use the 32-bar song form. It also is one of the *Preludes* that follows a clear harmonic progression using ii-V movement to navigate smoothly through many suggested key areas. In fact, two of the main reasons for its appeal are Kapustin's effective use of ii-V progressions, and his ear for beautiful chord voicings that realize these standard progressions. It is also one of only two *Preludes* that uses a repeated harmonic progression from start to finish. Formal layout is outlined in the table below.

<b>Section</b>	<b>Measures</b>	<b>Description</b>
Intro	1 – 4 (4 bars)	Sets up a rhythmic subdivision of 123-12 used for the whole piece
A	5 – 12 (8 bars)	Flowing melody set over rhythmic accompaniment. Moves away from G <sup>b</sup> beginning in bar 6 arriving briefly in B <sup>b</sup> in bar 12.
A'	13 – 20 (8 bars)	Motive I is restated though with variations. There is a cadence in C in bars 18-20.
B	21 – 28 (8 bars)	Though there are no sharps or flats, this section revolves around A major, turning to A minor in bar 27. An abrupt change to the dominant in bar 28 sets up a return to G <sup>b</sup>
A'	29 – 37 (9 bars)	Again rescored, with the melody an octave higher and lush chords as accompaniment
Tag / Interlude	38 – 40 (4 bars)	Similar to Introduction; would be a tag ending in song form

Table 11.1, *Prelude XIII* form

The form is clearly an example of AABA song form with an introduction and a tag ending. As usual for the form, the B section (Bridge) modulates to a different key. Two things, however, are unusual for the form: the B section modulates to the distant key of A major (after a cadence in C major notated without sharps or flats), and the final A section has 9 measures instead of 8.

After the complete statement of the form, Kapustin creates free figuration over the harmonic pattern in much the same way that a jazz musician would improvise on a popular song form, with a performance consisting of a head and improvised chorus.<sup>34</sup> Examples 11.9 and 11.10 show the head structure of the melody in comparison with the improvised chorus.

13 **Allegretto** (♩ = 160)

16

19

Example 11.9, *Prelude XIII*, “head” section, second A, bars 13-18

<sup>34</sup> In jazz, the “head” is the written melody of a song played at the beginning at end of the performance of a piece with improvised choruses in the middle.



47

Beginning of A' improv section

50

52

Example 11.10, *Prelude XIII*, “improv” section, same part of the form

This “improvised” section is full of cleverly constructed chromatic and quartal runs that bear no relation to the original melody. The melody from the B section makes a brief appearance in measures 57 to 60, but the free figuration resumes in bar 61 and continues until the form has been completed in bar 64. The final statement of the A section begins in bar 65 and, as is typical for Kapustin, he varies the scoring. A clever ascent in fourths leads to the tonic and an ending on a piquant dominant  $G^{\flat}\#9$  chord.

Prelude XVII in A<sup>b</sup> major

Of all the *Preludes*, this one best captures the high-octane swing of Oscar Peterson. With its bluesy, syncopated feel, it provides a further example of Kapustin's use of standard harmonic devices and swing rhythm scored with dotted-eighth and sixteenth figuration. Though the form is a standard AABA with variations of each recurrence of A section material, I have placed it in this chapter because of the strong, repeated harmonic progression in each A section.<sup>35</sup>

Section	Measures	Description
A	1 – 16 (16 bars)	Two 8 bar phrases
A'	17 – 32 (16 bars)	Varied A motive. Transition has 16 <sup>th</sup> note runs shared between the hands
B	33 – 48 (16 bars)	In two sections: a stride-like motive in bars 33 – 40, more varied figuration, including one Garner-like bar (46) and one of Kapustin's "swinging" notations in bar 47.
A''	49 – 68 (20 bars)	Varied repeat of A

Table 11.2, *Prelude XVII* form

The A section consists of two eight-bar phrases, the first ending on the dominant and the second on the tonic. Much of the bluesy feel comes from Kapustin's use of dominant harmony—most chords other than the tonic are dominant chords moving according to the rules of functional harmony. For example, the progression in bars 9-15 is: A<sup>b</sup> – A<sup>b7</sup> – D<sup>b7</sup> – (tritone substitution) G<sup>7</sup> – C<sup>7</sup> – F<sup>7</sup> – B<sup>b7</sup> – E<sup>b7</sup>. This progression is

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<sup>35</sup> Please note that measure numbers in the score for this *Prelude* are incorrect, since it counts the sixteenth note pickup as measure 1.

made even more effective by Kapustin's chord voicings, which have an authentic jazz feel.

**Allegretto** ( $\text{♩} = 100$ )

The image shows a musical score for a piece titled 'Allegretto' with a tempo marking of quarter note = 100. The score is written for piano and consists of three systems of music, each with a treble and bass staff. The key signature has three flats. The first system (bars 8-10) features a complex rhythmic pattern in the right hand with many slurs and fingerings, and a bass line with a sixteenth-note run. The second system (bars 11-13) continues the rhythmic complexity with triplets and slurs. The third system (bars 14-16) concludes the passage with similar rhythmic patterns and chord voicings.

Example 11.11, *Prelude XVII*, bars 8-16

Though the rhythm alternates between dotted-eighths with sixteenths and eighth-note triplets, in performance swing rhythm is used in both instances resulting in a constant swing-eighths feel. Kapustin notates triplets when there are three notes in the beat subdivision rather than two; otherwise, he uses dotted-eighth and sixteenth notes. A two-measure phrase consisting of a sixteenth note run divided between the hands creates a transition to the B section (see measure 33 in ex. 11.12 below).

Example 11.12, *Prelude XVII*, B section

As is common in other *Preludes*, Kapustin creates contrast within the B section in several ways: by switching keys, changing the figuration, changing register, and by avoiding a unifying motive. The B section consists of two 8-bar phrases with no repeating motives or references to the theme from the A section. Though there is no change in key signature, the first phrase is firmly rooted in C major. The second one begins in A minor but is more unstable, modulating back to A $\flat$  for the return of the A section. It also stays in the middle register and avoids the big right-hand chords that make

the A section so boisterous. The dotted-eighth and sixteenth note pattern so prevalent in the A section is missing here, replaced by steady triplets. This along with a change in dynamics creates contrast. Despite these changes, it is stylistically consistent with the A section because both use swing rhythm.

The final A section is exactly the same structurally as the first A, though as usual, Kapustin varies the scoring and makes minor changes in figuration. In the brief coda, an ascending crossed-hands figure with bent notes creates an effective ending.

## CHAPTER 12: MONOTHEMATIC FORMS

Though some of the *Preludes* discussed as ternary, rondo, or song forms have only one theme in the A section and no obvious new theme in a contrasting section, their succeeding sections differ through stylistic changes in rhythm, texture, or harmony. The *Preludes* under discussion in this chapter are fundamentally different in that these pieces do not have contrasting sections and instead are structured around one theme or motive similar to the way that most of the Chopin and Scriabin Op. 11 *Preludes* are constructed. It is telling that almost half of the Kapustin *Preludes* fall into this category, and possibly another indication of the influence of those other sets of preludes. It is also interesting to note that all of the ballad-type *Preludes* fall into this category.

## Five Ballads

The energetic rhythms and unabashed virtuosity of the up-tempo pieces are so dazzling that it is easy to overlook the beauty of the quieter, slower-paced preludes.

These five pieces, nevertheless, manifest lyrical melodies, atmospheric harmonies, and inventive textures that are evocative and often eloquent. Perhaps the most impressive thing about this group of pieces is the way that Kapustin manages to capture the free rhythmic expression of a jazz ballad. At the same time, there is something about that rhythmic freedom that seems perhaps indebted to Haydn, and the relaxed unfolding of these *Preludes* have similar qualities to the slow movements of many Haydn sonatas. Five of the monothematic forms are ballads and all of them have the same basic form—a



form that is very similar to the Scriabin *Prelude* Op. 11 No. 2 analyzed in Chapter 6.

Since they are similar in tempo and structure, they are grouped them into one category for discussion.

The image displays a musical score for a piano piece, identified as Example 12.1, *Prelude III*, showing the A section and the first few bars of the A' section. The score is written in treble and bass clefs, with a key signature of one sharp (F#) and a common time signature (C). The A section begins at measure 1, marked with a circled 'A' and a piano (*p*) dynamic. It features a series of chords and melodic lines, including a triplet of eighth notes in the right hand. The A' section begins at measure 5, marked with a circled 'A'' and a mezzo-forte (*m.f.*) dynamic. It includes a section marked '(m.s.)' and a section marked '8va' (octave). The score includes various musical notations such as slurs, accents, and fingering numbers (1-5). The piece concludes at measure 11.

Example 12.1, *Prelude III*, A section and first few bars of A'

*Prelude III* in G is short, just 23 bars, and divided into two parts of 8 and 15 bars. Its main motive is just two measures long and Kapustin spins out this melody over the course of the first phrase, starting over again in bar 9 with the same two-bar melody (ex. 12.1). This type of structure is similar to the E minor *Prelude* of Chopin, an AA' form. The second phrase is almost twice as long as the first and consequently its harmonic movement is more complex, moving far away from the tonic. In both phrases, Kapustin avoids standard harmonic movement though there are obvious cadences in both sections. The first section ends on the dominant in preparation for the reprise of the opening material in the next section. The ending of the second section has cadential material with an insistent repetition of the opening motive but lacks a dominant chord. Instead Kapustin uses an  $A^{\flat}M^6$  chord, adding to the modal character of the piece. Both sections start in G minor rather than G major, and the modal ambiguity is mirrored in the fact that most of the harmonic movement is in the flat rather than the sharp direction of the circle of fifths. Quartal chord voicings and chromatic inner voices add depth to the texture.

*Prelude V* in D has many similarities to *Prelude III* and is only 18 measures long. It is even more harmonically ambiguous, with the melody starting on an  $F^{\sharp}$  and the cadences alternating between D minor and D major. The first chords are completely out of the key area, starting on  $E^{\flat}M^7$  and  $A^{\flat}M^7$ . The harmonic progression is a typical blend of circle-of-fifths and step-wise motion, hinting at but never really substantiating distant modulations.



The image shows a musical score for a piano prelude. It is written in treble and bass clefs, 3/4 time, with a key signature of one sharp (F#). The score is divided into three systems. The first system is labeled 'Theme I' and begins with a piano (*p*) dynamic. It features a triplet of eighth notes in the right hand. The second system continues the theme with more triplet markings. The third system is labeled 'Theme II' and begins with a measure rest. It also features a triplet of eighth notes. The piece concludes with an ending motive.

Example 12.2, *Prelude V*, A section

This *Prelude* is also in AA' format, but in this case there are two recurring motives: one at the beginning of the phrase and one at the cadence. I still consider it to be monothematic since there are no contrasting sections and the whole phrase comprises one theme. The motive at the beginning is repeated three times, so it could be argued that the form is actually AA'A". However, the second occurrence is over different harmony and does not develop in the same way so it seems to be more of an extension of the first phrase. It lasts only four measures, at which point the melody returns again over the same accompaniment as the beginning. The *Prelude* concludes with the ending motive

alternating between major and minor and ending, appropriately, on a D<sup>7</sup> with both #9 and #11. The two outer A sections have an irregular length of 7 measures each.

The image shows the beginning of Chopin's Prelude IX, Op. 10, No. 9. It is in E major, 3/4 time, and marked 'Lento' with a tempo of quarter note = 60. The score is written for piano and includes a right-hand melody and a left-hand accompaniment. The melody is highly chromatic and features many ornaments and slurs. The left hand provides a steady accompaniment with some chromatic movement. The piece starts with an ornamental C major 7th chord. The score includes fingering numbers (1-5) and articulation marks like accents and slurs. An 'Ossia' section is also indicated.

Example 12.3, *Prelude IX*, beginning

*Prelude IX* in E major has some similarities with the two previous ballads, but is longer, more complex, and more ornate. The form is a simple AA', with two sections balanced in length. Of the three ballads discussed so far, it also has the most expressive melody, which is accompanied with one or more chromatic inner voices that create a full texture. This Prelude also begins far from the tonic of E major and alludes to close and distant keys as it develops. Beginning on an ornamented C major 7<sup>th</sup> chord, the first cadence in measure four is in the tonic. It then moves to the closely related keys of C# minor and G# minor, where the melody is transposed in measure 9. Kapustin returns to C in measure 12, using it as a dominant to the even more distant key of F major and an

altered statement of the melody, not unlike the Liszt example in Chapter 6. An abrupt ii-V progression in C leads back to the opening material.

Example 12.4, *Prelude IX*, A' section

The A' reprises the basic melody and harmony, but it is transformed with radical changes in scoring, and takes a different course from the fifth measure on. The second A is a highly ornamented version of the first, with sweeping chromatic runs and the melody scored in octaves in the upper register, not unlike a Romantic concerto.

**Lento a piacere**

The image shows a musical score for a piano piece. The title is "Lento a piacere". The score is in C minor, 3/4 time, and marked "p". It consists of two systems of piano music. The first system shows the beginning of the piece with a chromatic melody in the right hand and a chromatic accompaniment in the left hand. The second system continues the piece with more complex chromatic patterns and fingerings.

Example 12.5, *Prelude XX*, A section

The final two ballads, *Preludes XX* and *XXI*, are the only two consecutive slow movements. *Prelude XX* in C minor is also an AA' form and is perhaps the most harmonically ambiguous of any of the ballad *Preludes*. The others were all in major keys and Kapustin used considerable modal mixture, at least in the ones in G and D. Here Kapustin takes advantage of the minor key to create not only chromatic harmony, but a chromatic melody as well. This is unusual since most of Kapustin's themes and motives are short, simple, and diatonic. This melody takes full advantage of the lowered and raised seventh to create a haunting melody (ex. 12.5 above). As is typical, there is also a chromatic accompanimental inner voice.

Example 12.6, *Prelude XX*, A' section

The harmonic movement of *Prelude XX* remains true to Kapustin's overall method. It is a combination of close and distant movement, first hinting at  $E^b$ , though the mode is ambiguous. From  $E^b$  it slides down to D minor, then to  $C^\sharp$  minor, which functions as a ii chord in the key of B (ex. 12.6). In measure 5 there is a ii-V progression in B, then a ii half-diminished to V and a cadence in B major in bar 7. From here, Kapustin uses circle of fifths movement to return to  $E^b$ , then to the tonic by way of another sidestep down from  $E^b$  to D minor, to a  $D^b7$  chord, a tritone substitution for the dominant. The end of the phrase also features changing meters. A simple count of measures reveals a 10-measure phrase.

Example 12.7, *Prelude XX*, ending

The A' section begins again with the same two-measure phrase as the initial A section, with changes in scoring beginning in measure 13. From measure 16 onward, it charts a different direction and the last several bars feature expansive rolled chords and a diminished ascending run. Though the final cadence is a clear V-i resolution, it is as chromatic as the rest of the piece. The final C minor chord contains the following scale degrees: 1 – 3 – 5 – 7 – 9 – 11 – 13 in a unique scoring (ex. 12.7).

Finally, *Prelude XXI* in B<sup>b</sup> is a true prelude in that it prepares for the following *Prelude*, and is the second of two instances where successive *Preludes* are linked by a motive. This motive does not appear until measure 21 and the rest of the *Prelude* is built around the motive that forms the basis of *Prelude XXII*. Interestingly enough, the one chord that comprises this whole section of 7 measures is D<sup>b</sup>sus, a chord totally unrelated to the B<sup>b</sup> tonic of this *Prelude* or the G minor tonic of the next. This whole section appears to be transitional, meant solely for the purpose of preparing for the next *Prelude*, and as such, *Prelude XXI* functionally ends when this section begins. Technically

speaking, it would be an AA'A''B format but I have included it in this section because the B material is merely transitional.

As we've come to expect, the harmonic progression is adventurous, moving over the course of 8 measures from B<sup>b</sup> major to B major. The harmonic progression is unconventional but clear and it is repeated in the A' section with an ornamented version of the melody in the upper register. The progression starts over again in measure 17, though in place of the melody, the right hand has a descending scalar run. The progression continues for four bars, at which point the abrupt switch to the transitional material begins.

The remainder of the *Preludes* under discussion in this chapter are up-tempo pieces that tend to be developmental with an exploration of a single motive or theme similar to the Beethoven sonata examined in Chapter 6.

#### Prelude IV in E minor

*Prelude IV* in E minor is stylistically integrated and grows naturally from the motives stated in the first two measures. Since there is so little exact repetition, structure is created from two big dominant-tonic cadences that divide the piece. These cadences are followed by a repeated motive in tonic that seems like an arrival point—it is also used to end the piece.

1 First statement

9 Second statement

25 Third statement

28

31

The image displays five systems of musical notation for a piano piece. Each system consists of a treble and bass clef staff. The first system (measures 1-8) is labeled 'First statement' and begins with a piano (*p*) dynamic. It contains two circled motifs in the treble clef. The second system (measures 9-18) is labeled 'Second statement' and also begins with a piano (*p*) dynamic, containing two circled motifs. The third system (measures 25-30) is labeled 'Third statement' and features a forte (*f*) dynamic in the first measure and a mezzo-forte (*mf*) dynamic in the second measure, with one circled motif. The fourth system (measures 28-30) contains two circled motifs. The fifth system (measures 31-33) contains three circled motifs. The score includes various musical notations such as notes, rests, and fingerings.

Example 12.8, *Prelude IV*, statements of the main motive



This *Prelude* is another example of swing rhythm notated with dotted eighth and sixteenth notes. Garner-esque repeated chords begin the piece but only last for the first 8 measures. As seen in other *Preludes*, this one has one theme comprised of two motives. These motives, stated in the first two bars, drive the development of the piece. The first motive is melodic and receives the same kind of treatment as the melody from the Liszt *Valse* analyzed in chapter 6. This motive is transposed in measures 10, 12, and 26, and in an altered form in 28, 30, 31, 32, and 33 (ex. 12.8). This cluster of references to the motive coincides with the climax of the piece and the second big cadence.

The second motive from measure 2 is rhythmic—syncopated accents from the bass end of the keyboard that could easily be attributed to Garner as much as the repeated left-hand chords. This motive never repeats exactly though it is manifest later in the piece as syncopated accents and anticipations.

The image displays three systems of musical notation for a piano piece, specifically focusing on the first cadence and tonic vamp. The notation is written for the right and left hands on a grand staff. The key signature is one sharp (F#), and the time signature is 3/4. The first system, starting at measure 16, features a right-hand melody with trills and triplets, and a left-hand accompaniment with triplets and a dynamic marking of *f*. The second system, starting at measure 19, shows the right hand with complex triplet patterns and the left hand with a *mf* dynamic. The third system, starting at measure 22, continues the right-hand melody with trills and triplets, and the left hand with a *mf* dynamic. The piece concludes with a tonic vamp in the final measure.

Example 12.9, *Prelude IV*, first cadence and tonic vamp

The image shows a musical score for a piano piece, specifically the second cadence of Prelude IV. The score is written for two staves (treble and bass clef) and is in G major. The first system (measures 34-36) shows a complex melodic line in the right hand with many accidentals and a bass line with chords and moving lines. The second system (measures 37-39) continues the melodic and harmonic development, featuring prominent triplet figures and intricate fingering. Dynamics like *f* and *mf* are indicated throughout.

Example 12.10, *Prelude IV*, second cadence

After each cadence, a vamp figure prolongs tonic for four measures (bars 20-23 in ex. 12.9 and 36-39 in ex. 12.10). This section stands out not just for its cleverness and distinction but also because it is the only place in the piece that reinforces tonic harmony. In the absence of exact repetition, the cadences create the structure of the piece. Each of the two cadences is followed by tonic prolongation in measures 20-23 and measure 36 to the end (see above). Though the form is not clear-cut, it is basically AA' plus coda.

## Prelude VI in B minor

The first section of the Prelude VI in B minor, measures 1 through 13. The score is written for piano in B minor (two sharps) and 3/4 time. It begins with a mezzo-forte (*mf*) dynamic. The right hand features a complex texture of chords and moving lines, with fingering numbers 4, 5, and 5 indicated. The left hand plays a steady eighth-note accompaniment. The section concludes with a fermata over a chord in the right hand.

Example 12.11, *Prelude VI*, first section

The second section of the Prelude VI in B minor, measures 14 through 21. This section is marked with a first ending bracket labeled 'A2' at the end. The right hand contains intricate chordal patterns and melodic fragments, with fingering numbers 5, 4, 3, 5, 3, 5, 4, 2, 3, 2, 3, and 5. The left hand continues with a rhythmic accompaniment, including some triplet figures. The section ends with a final chord in the right hand.

Example 12.12, *Prelude VI*, Second section

*Prelude VI* in B minor is longer and more complex than the *Preludes* discussed so far in this chapter. Overall there are six sections—the first four are each 16 measures, the

fifth is 18 measures, and the final one is just 9 measures. The first two repetitions stay close to the thematic material laid out in the first section though they develop differently, in the manner of the Scriabin *Prelude* discussed in Chapter 6. The middle two sections are very developmental, exchanging the straight-eighths rock rhythm for more swing-based walking bass and stride. The musical material is all related to the motive stated at the beginning of the piece and, similar to other *Preludes*, the main theme is a simple diatonic melody, though highly syncopated.

The image shows a musical score for the third section of Scriabin's *Prelude VI*. It is written for piano in B minor, 3/4 time. The score is divided into two systems. The first system begins at measure 31 and ends at measure 33. The second system begins at measure 34 and ends at measure 37. The music features a walking bass line in the left hand and a melodic line in the right hand. The key signature has two flats (B minor). The score includes fingering numbers (1-5), dynamic markings (p, cresc., portando), and articulation marks (accents, slurs). The first system ends with a fermata over a chord marked 'A3'. The second system ends with a fermata over a chord marked '4'.

Example 12.13, *Prelude VI*, third section

After the first two iterations of the theme, the third section also begins in B minor with a tonic pedal. Along with the repeated harmonic progression, the motivic idea of the two-note grouping maintains the connection with the thematic material of the first four

bars. Starting in the measure five of the third section, Kapustin moves away from the initial motive.

48 A4

portando

51

portando

Example 12.14, *Prelude VI*, fourth section

64 A5

portando

67

portando

Example 12.15, *Prelude VI*, fifth section

As has been noted in other *Preludes*, the middle sections become more chromatic and the right-hand part switches from chords to homophonic horn-like lines creating highly chromatic two-part counterpoint. The left-hand part changes into a walking bass, though there are a few sections of stride-like alteration of chords and bass notes.

The second A section starts the same as the previous one but develops differently after the first four measures of tonic pedal. Sections 3 and 4 follow the overall harmonic structure of 1 and 2, creating a structure within a structure. Though the harmony is somewhat ambiguous and open to interpretation, the following table shows the basic harmonic structure of the sections.

Bar	1	2	3	4	5	6	7	8	9	10	11	12	13	14	15	16
1 <sup>st</sup>	Bm	Bm	Bm	Bm	C <sup>#</sup>	F <sup>#m</sup>	B <sup>7</sup>	Em	C	GM	Am	D7	G	E <sup>7</sup>	A <sup>7</sup>	F <sup>#7</sup>
2 <sup>nd</sup>	Bm	Bm	Bm	Bm	E	A	F <sup>7</sup>	B <sup>b7</sup>	AM7	B <sup>b7</sup>	E <sup>b</sup>	F7	B <sup>b7</sup>	G <sup>7</sup>	C <sup>7</sup> / A <sup>7</sup>	F <sup>#7</sup>
3 <sup>rd</sup>	Bm	Bm	Bm	Bm	C <sup>#</sup>	F <sup>#</sup>	C	Dm	C	G <sup>7</sup>	Am	D7	G <sup>7</sup>	E <sup>7</sup>	A <sup>7</sup>	F <sup>#7</sup>
4 <sup>th</sup>	Bm	Bm	Bm	Bm	B <sup>b7</sup>	Am	D <sup>7</sup>	B <sup>b7</sup>	AM <sup>7</sup>	B <sup>b7</sup>	E <sup>b</sup>	F <sup>7</sup>	B <sup>b7</sup>	G <sup>7</sup>	A <sup>7</sup>	F <sup>#7</sup>

Figure 12.1, harmonic progression in *Prelude VI*

The final A section starts like a continuation of the previous one but the melody begins to emerge within the first few bars, although there are scoring differences from the initial version. After a two-bar dominant pedal, the opening material returns for a brief coda that concludes in a flurry of octaves.

Prelude VIII in F# minor

*Prelude VIII* in F# minor is another example of Kapustin's straight-eighths rock style, with a developmental middle section that is based on the opening theme. That theme as stated in the first 4 measures is simple and diatonic like most of Kapustin's themes (ex. 12.16 below). This antecedent is followed by a four-bar consequent that is very chromatic, and Kapustin uses this contrasting element in the developmental middle section, often reversing the order and thereby disguising the relationship to the theme. Also, quartal chords in the antecedent give way to chords with chromatic upper structures creating further contrast.

The musical score for the beginning of *Prelude VIII* in F# minor is presented in two systems. The first system (measures 1-4) begins with a forte (*f*) dynamic and features a simple, diatonic theme in the right hand, while the left hand plays quartal chords. The second system (measures 5-8) continues the theme with a mezzo-forte (*mf*) dynamic, showing a more chromatic and developmental middle section. The score includes detailed fingering and articulation instructions.

Example 12.16, *Prelude VIII*, beginning

The next eight-measure phrase mirrors the first, with a variant in the consequent: the harmony and rhythm are basically the same but the melody is different. This variant creates a 16-measure section that is repeated immediately with very few changes in



scoring. Though there is a V-i cadence in measures 8-9, there is a stronger cadence in 15-16 since the V chord lasts the whole measure instead of only two beats in the first cadence.

Motive developed

Example 12.17, *Prelude VIII*, antecedent motive developed

The last two measures of the second A section are different from the previous sections and prepare for the developmental middle section by ending on an  $A^b7$  chord, V of V (enharmonically modified from  $C^\sharp$  to  $D^b$ ). The third section contrasts with previous ones because it begins on the dominant and introduces harmonically unstable developmental material, similar to the development section of a sonata-allegro movement (ex. 12.17). Here Kapustin immediately reverses the order of the four-bar units. Beginning in measure 33, the section lasts 20 measures that break down neatly into four-bar phrases built on antecedent and consequent in reverse order: C – A – C – A – C. This

development reaches its peak in measures 45-48 where the motive is repeated in several key areas as in the Beethoven Theme D example from Chapter 6. The last consequent is really just a transition to return to the opening material in the home key of F# minor. The relationship to the consequent measures is not as clear as the antecedent ones, which clearly use the motive with chromatic alterations and rhythmic displacements. The first reference to the antecedent theme lasts only two measures, while the second lasts for four (ex. 12.18).

Motive developed

45

48

Return of opening theme

51

Example 12.18, *Prelude VIII*, development of antecedent motive (bars 37-38 and 45-48)

The final A section begins an octave higher, but is otherwise an exact repetition of the first 8 measures. The second 8 measures have some scoring differences and follow the pattern of the section before the middle development, also ending on the same chord spelled this time as a  $G^{\sharp 7}$ , since it is not preparing a modulation to the enharmonically modified  $D^b$  dominant.

There have been previous examples of Kapustin's use of developmental techniques in *Preludes* with different formal designs. This one is a good example of a monothematic *Prelude* with a developmental middle section.

Prelude XIV in  $E^b$  minor

The image shows a musical score for Prelude XIV in E-flat minor. The score is written for piano and consists of two staves. The upper staff is in the treble clef and the lower staff is in the bass clef. The key signature has three flats (B-flat, E-flat, A-flat). The time signature is 4/4. The score begins with a measure marked with a '5' above it. The upper staff features a melodic line with two instances of a circled motive: an ascending major second (G4 to A4) followed by a dotted quarter note (B4) and an eighth note (C5). The lower staff features a rhythmic accompaniment of eighth notes. The circled motives are repeated in the second 8-measure section of the piece.

Example 12.19, *Prelude XIV*, major second motive

Though Kapustin's musical language is highly chromatic, most of the *Preludes* have simple melodic themes to draw the listener in and give the piece a solid foundation. *Prelude XIV* in  $E^b$  minor does not have a memorable melody, but it is structured around a simple motive of an ascending major second that is repeated and developed with highly

chromatic figuration. As has been seen in other *Preludes*, this motive first appears over a tonic pedal, and is the only part of the piece that reinforces the tonic.

Example 12.20, *Prelude XIV*, main motive developed in middle section

Though the middle section is much different, with movement away from tonic and no discernible harmonic progression or key center, the major second motive returns, though it changes to minor seconds in the last measure (ex. 12.20).

Example 12.21, *Prelude XIV*, minor third motive in first section

A subsequent motive of a minor third in the A section becomes more prevalent in the middle section (ex 12.22).

The image displays two systems of musical notation for a piano piece. The first system, starting at measure 18, shows a treble and bass clef staff. A specific melodic phrase in the treble clef is circled in black, consisting of a descending sequence of notes: G4, F#4, E4, D4, C4. This phrase is repeated and varied throughout the first system. The second system, starting at measure 20, continues the piece with similar chromaticism and phrasing. The key signature has one sharp (F#), and the time signature is 3/4.

Example 12.22, *Prelude XIV*, falling minor third motive in first section

The heightened chromaticism makes for a dramatic, unstable piece. In addition to the chromaticism, the unbalanced phrase structure also creates tension since most sections are 11 measures in length. The table below outlines the form.

Section	Measures	Description
Intro	1-3 3 bars	Chromatic but in the tonic
A	4-11 8 bars	Chromatically altered progression in E@ minor
A	12-17 6 bars	A is repeated with scoring differences. Ends abruptly with key change to no sharps or flats
A'	18-28 11 bars	Moves freely, does not seem bound by a particular key. Uses two motives from A
A	29-39 11 bars	A material repeats with scoring changes. Dominant-tonic cadence in b. 35-36 is followed by reference to middle section and final cadence.

Table 12.1, Prelude XIV form

The image displays three musical excerpts from Chopin's Preludes, labeled Prelude I, Prelude X, and Prelude XIV. Each excerpt consists of piano and bass staves. Motives are highlighted with black boxes:

- Prelude I (measures 64-74):** A four-measure motive in the right hand, starting with a quarter note G4, followed by eighth notes A4, B4, and C5, and ending with a quarter note D5. The bass line provides harmonic support.
- Prelude X (measures 17-27):** A four-measure motive in the left hand, starting with a quarter note B2, followed by eighth notes A2, G2, and F2, and ending with a quarter note E2. The right hand has a more active melodic line.
- Prelude XIV (measures 29-39):** A four-measure motive in the left hand, starting with a quarter note B2, followed by eighth notes A2, G2, and F2, and ending with a quarter note E2. The right hand features a melodic line with slurs and accents.

Example 12.23, comparison of motives from *Preludes I, X, and XIV*

Perhaps it is coincidental, but the figuration of the introductory section of this *Prelude* is similar to the ending of *Prelude I* and the middle section of *Prelude X* (ex. 12.23). Though it is not by any means an exact repetition or even a purposeful motivic reference, the similarity remains.

#### Prelude XVIII in F minor

*Prelude XVIII* in F minor is only the second *Prelude* that uses a DS repeat sign.<sup>36</sup>

Like the other *Preludes* discussed in this chapter, this one has a harmonically stable opening, a developmental middle section that is based on the opening motive, and a repetition of the opening material to end the piece. The form is outlined in the table below.

Section	Measures	Description
A	1-16 16 bars	Opening material firmly in F minor
A'	17-34 18 bars	Varied repetition of A section material with right hand an octave higher, and with sixteenth-note accompanimental voice added
A''	35-48 14 bars	Motive developed, changes of key, rit. to D.S. repeat
A	1-14 14 bars	Repetition of opening material
Coda	50-59 10 bars	A motive from the end of the A phrase is used to construct an ending

Table 12.2, *Prelude XVIII* Form

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<sup>36</sup> Also note that it is also the second *Prelude* with incorrect measure numbering.

## CHAPTER 13: STANDARD JAZZ TECHNIQUES IN THE PRELUDES

Previous chapters have examined the sources of jazz and classical elements in Kapustin's style as well as the classical elements of form in *The Preludes*. This chapter and the one to follow will complete the process by examining specific jazz stylistic techniques that appear throughout *The Preludes* and contribute to the idiomatic jazz aspects of Kapustin's style.

### Jazz harmonic progressions

Harmonic structure in *The Preludes* ranges from basic diatonic progressions to very chromatic writing that cannot be analyzed by standard harmonic analysis. In addition to the formal aspects analyzed in preceding chapters, one of the things that sets Kapustin's music apart and makes it sound "like jazz but not like jazz" is his use of modulation. While all of the *Preludes* are in clearly defined keys, the ways that Kapustin substantiates and deviates from the key center is usually more like classical music than like jazz. The *Preludes* that have the most jazz characteristics tend to revolve around a key center with diatonic progressions and closely related modulations, especially the ones analyzed in chapter 12 on song forms. The ones that are more like modern classical music move far from the tonal center or sometimes cannot be analyzed by harmonic progression.

This tension between these two methods of organization is always present in Kapustin's music. Though classical music is a much bigger influence in terms of



structural design, his mastery of idiomatic jazz progressions is one of the salient characteristics of his music. One of the most straightforward examples is the A section of *Prelude XVII*, which uses dominant harmony with root movement mostly by fifth.

**Allegretto** (♩ = 100)

Example 13.1, *Prelude XVII*, bars 8-13

This *Prelude* uses a circle-of-fifths progression similar to the one in Charlie Parker's *Confirmation* (ex. 4.1). Beginning on tonic, it follows the following pattern: A<sup>b</sup>–A<sup>b</sup>7 – D<sup>b</sup>7 – (tritone substitution) G<sup>7</sup> – C<sup>7</sup> – F<sup>7</sup> – B<sup>b</sup>7 – E<sup>b</sup>7.

Since the ii-V progression is the building block of diatonic harmony, it would be impossible to cite all of the examples of its use in *The Preludes*, though one example of its application will be illuminating.

13

16

19

Chords:  $G^bM7$ ,  $C^7$ ,  $G^bM7$ ,  $C^7$ ,  $F7^{13}$  ( $b^{13}$ ),  $B^bM9$ ,  $F^b7^{13}$ ,  $G^bM7$ ,  $E^b7^{13}$ ,  $B^{bb}7^{13}$ ,  $A^b7^{13}$ ,  $F7/A$ ,  $B^bm9$ ,  $E^bsus$ ,  $A^bM13$ ,  $D^bM9$ ,  $Dm11$ ,  $G7^{b9/5}$ ,  $CM13$ ,  $C$

Example 13.2, *Prelude XIII*, bars 13-20

Kapustin often uses ii-V progressions in combination with root movement by step to achieve modulations. In *Prelude XIII*, harmonic movement alternates between circle-of-fifths and stepwise motion, creating a progression that allows both close and distant

modulation—in this case moving over the course of eight measures from  $G^b$  to  $C$ .<sup>37</sup> The stepwise motion can assist in distant modulation, as in bar 10 where the move up from  $D^b9$  to  $Dm^{11}$  creates a ii-V progression in  $C$ . This type of sidestep device is very common in Bebop harmony.



Example 13.3, *Prelude XXIII*, chromatic ii-V progression

Another similar Bebop harmonic device is the chromatic ii-V progression, where a ii-V a half step above or below the key center is inserted for color. The example above shows this progression in action in *Prelude XXIII*. There are only a few instances of its use; the following table lists *Preludes* that use chromatic ii-V progressions.

Prelude	Bars	Comment
<i>Prelude VII</i>	29-30	$B^b m7 - E^b m7, Am7 - D7$
<i>Prelude XVII</i>	47-48	$Bm7 - E7, B^b m7 - E^b 7$
<i>Prelude XXIII</i>	23-24	$A^b m7 - D^b 7, Gm7 - C7$
<i>Prelude XVII</i>	46-48	$Bm7 - E7, B^b m7 - E^b 7$

Table 13.1, Chromatic ii-V progressions

<sup>37</sup> Please note that the low A in measure 19 is a misprint as confirmed by Mr. Kapustin's recording. It should be a C.

The image shows a musical score for a piano piece, specifically a turnaround sequence from bars 14-16 of *Prelude XVII*. The score is written for piano and consists of two staves: a treble clef staff for the right hand and a bass clef staff for the left hand. The key signature has two flats. The right hand features a complex melodic line with many accidentals and slurs. The left hand provides a harmonic accompaniment with chords and some melodic fragments. Below the bass staff, the harmonic progression is labeled with Roman numerals: V, iii, VI (V/ii), II (V/V), and V. The final measure shows a chromatic descent from V to iii using diminished chords.

Example 13.4, *Prelude XVII*, bars 14-16, turnaround

Since most standard jazz is full of turnarounds, it is revealing that there are only a handful of places in *The Preludes* where Kapustin uses this device. Turnarounds are static, and can be viewed as a means of tonic prolongation. In *Prelude II*, each B section consists of a turn-around in F repeated twice with all dominant seventh chords (ex. 8.8). *Prelude XVII* uses turnarounds at cadences, often substituting iii for I and substituting vi and ii for dominant seventh chords. The example above is from the end of the first section of *Prelude XVII* where the cadence uses a turnaround with dominant chords. It also moves down chromatically from V to iii using diminished chords in the final measure.

Though Kapustin's harmony is strongly tonal with ample evidence of dominant-tonic cadences, he rarely uses a static I-vi-ii-V-I progression. This alone could account for the observations of many who have commented on Kapustin's modern sound. A complete list of turnarounds follows.

<b>Prelude</b>	<b>Bars</b>	<b>Comment</b>
<i>Prelude II</i>	17-23, 53-59	B sections, dominant chords
<i>Prelude XI</i>	7-12, 20-22	Many passing chords used, but there are still turnarounds at the end of each chorus
<i>Prelude XIII</i>	55-56	Turnaround in C: the I chord is in 6-4 position
<i>Prelude XVII</i>	14-17	iii-VI-II-V-I
	37-39	Key of C: III-VI-II-V-I, the III is an E7 chord
	63-66	Final cadence is a turnaround in tonic
<i>Prelude XIX</i>	7-9	III-VI-II-V-I
	41-44	III-VI-II-V-I twice with #9 chords

Table 13.2, Turnarounds in *The Preludes*

Two other types of tonic prolongation involve passing chords from I to iii, or iii to I. Kapustin uses this progression starting on I in only two places outlined in the table below.

<b>Prelude</b>	<b>Bars</b>	<b>Comment</b>
<i>Prelude XVII</i>	27, 35-36	
<i>Prelude XXIII</i>	20, 39	Instead of $\#ii^{\circ 7}$ , it uses parallel minor chords on ii, $\#ii$ , and iii

Table 13.3, I-iii progressions

A similar progression in the opposite direction starts on iii and can be used two different ways: one is just a mirror image of the progression above; the second just inserts a passing  $\#ii^{\circ 7}$  to ii, usually continuing to V in a cadence. In the descending direction, the  $\#ii^{\circ 7}$  chord can be a  $\flat III$ , and its quality can be diminished or dominant. The chromatic descending bass line is the common denominator. Examples of this progression are listed in the table below. The ending of *Prelude V* will be discussed at the end of this section.

Prelude	Bars	Comment
<i>Prelude V</i>	17	iii-#ii <sup>o7</sup> -II (V/V)-Vsus-IIM7-i-I
<i>Prelude VII</i>	31-33	
<i>Prelude XVII</i>	35	Incomplete
<i>Prelude XXIII</i>	5, 65	Incomplete, just down to ii

Table 13.4, iii-ii progressions

Example 13.5, *Prelude IX*, main theme with  $i^{o7}$  to I progression

Another common tonic prolongation uses a  $i^{o7}$  chord resolving to I. There are several places where Kapustin uses this progression; it is an important aspect of the main theme of *Prelude IX* (ex. 13.5). It is also used in the *Preludes* listed in Table 13.5.

Prelude	Bars	Comment
<i>Prelude VII</i>	25	
<i>Prelude IX</i>	1, 3, 17, 19	First chord of the theme
<i>Prelude XVIII</i>	9	

Table 13.5,  $i^{o7}$  to I progressions

The image shows a musical score for Example 13.6, *Prelude XVII*, A section. It consists of three systems of music, each with a treble and bass clef staff. The key signature has two flats (B-flat major), and the time signature is 3/4. The score includes various musical notations such as notes, rests, and ornaments. The bass line is annotated with chord symbols: I, I7, IV7, V/V, I6/4, V/ii, and V/V. The treble clef part includes fingering numbers (1-5) and dynamic markings like 'mf'. The I6/4 chord is specifically highlighted in the bass line of the second system.

Example 13.6, *Prelude XVII*, A section uses blues-based I<sup>6</sup>/<sub>4</sub> progression

Kapustin bases *Prelude XVII* on the blues-based progression that uses a I<sup>6</sup>/<sub>4</sub> chord, though the scoring and figuration obscure the progression somewhat. In this case, the progression is followed by a turnaround. *Prelude XIX* uses the progression without a turnaround to end the A section, in measures 15-16.

Tritone substitutions are one of the mostly commonly used substitution chords and Kapustin makes ample use of them. The following table shows examples of tritone



substitutions, though there are probably even more than are listed in this table lurking in *The Preludes*.

Prelude	Bars	Comment
<i>Prelude V</i>	5, 17	At cadences
<i>Prelude VI</i>	46	E7 to B <sup>b</sup> 7
<i>Prelude XI</i>	All over	Every G7-F <sup>#</sup> 7: the G7 substitutes for D <sup>b</sup> 7, every F7-E7: the F7 substitutes for a B7
<i>Prelude XIII</i>	7, 11, 1, 15, 16, 22, 23, 30...	It is part of the song form so recurs regularly
<i>Prelude XVII</i>	10, 23, 34, 38, 41, 61, 65	It is part of the song form so recurs regularly
<i>Prelude XVIII</i>	51	E <sup>b</sup> 7 instead of A <sup>b</sup> 7
<i>Prelude XIX</i>	5, 13, 28, 31	D <sup>b</sup> 7 instead of G7
<i>Prelude XX</i>	10	Cadence at the end of A section
<i>Prelude XXIII</i>	19	B <sup>b</sup> 7 (spelled with a G <sup>#</sup> , like an augmented 6 <sup>th</sup> chord)

Table 13.6, Tritone substitutions

The image shows two systems of musical notation for piano. The first system, starting at bar 36, features a treble staff with a melodic line and a bass staff with chords. Roman numerals 'iii', 'V/ii', and 'ii' are positioned below the bass staff. The second system, starting at bar 38, continues the piece with similar notation, including a dynamic marking 'f' and Roman numerals 'flat-II' and 'I' below the bass staff.

Example 13.7, *Prelude XIX*, transition to A, <sup>b</sup>IIM<sup>7</sup> cadence



Another common dominant substitution often used as an ending can be analyzed as an example of planing. A major 7<sup>th</sup> chord a half step above the tonic is substituted for a dominant chord, for example, a D<sup>b</sup>M<sup>7</sup> chord resolving on a CM<sup>7</sup>. In *Prelude XIX*, the transition back to the A section uses a standard turnaround that ends on a <sup>b</sup>IIM<sup>7</sup> chord—in this case, an F<sup>b</sup>M<sup>7</sup> to E<sup>b</sup>M<sup>7</sup>. There are several other places in *The Preludes* where this type of cadence is used; they are outlined in the table below.

<b>Prelude</b>	<b>Bars</b>	<b>Comment</b>
<i>Prelude III</i>	20-22	Ending
<i>Prelude V</i>	17	Ending
<i>Prelude XI</i>	12, 22-23	CM <sup>7</sup> to BM <sup>7</sup>
<i>Prelude XIX</i>	38	Cadence before the final A
<i>Prelude XXIII</i>	7-8, 14-16	

Table 13.7, <sup>b</sup>II-I Cadences

Finally, there is also a common cadential pattern that starts on the flatted-fifth after a dominant chord and moves chromatically down to the tonic. Kapustin uses this progression in the ending of *Prelude IX*.

Though none of these devices appears constantly in *The Preludes*, the presence of so many of these common idiomatic techniques testifies to Kapustin's understanding and mastery of standard jazz harmonic practice. Though these elements have been isolated in order to discuss them clearly, their true effect is only felt when they are used effectively in combination.

16

blue 3rd

21

#11

I7 IV7

17

#11 13 blue 3rd blue 3rd

3 5 5 3 5 4 5 4 3 5 3

2 1 1-1 1 5 3

pp #11 blue 7th

iii7 flat-III7 II - V/V Vsus flat-II I7

tritone substitution

8<sup>va</sup> 8<sup>vb</sup>

Example 13.8, *Prelude V*, final cadence

In the final cadence of *Prelude V*, several elements of jazz harmony come together to create an effective ending. In bar 16, a plagal cadence uses both  $I^7$  and  $IV^7$  chords, creating an alteration of the major and minor third in the key of D major (the D major has  $F^\sharp$  as the 3<sup>rd</sup>, and the  $G^7$  has  $F^\flat$  as the 7<sup>th</sup>). There are also a couple of examples of #11<sup>th</sup> chords as well, noted in the ex. 13.8.

In measure 17, the bass line moves down from the mediant, a standard technique. The second chord, an  $F^7$ , is a tritone substitution for  $B^7$ , V of ii. The melody here also includes two common upper extensions: the B is a #11<sup>th</sup> and the D is a 13<sup>th</sup>. Next, the ii chord is modified from minor to dominant 7<sup>th</sup>, the fifth is raised to create an augmented chord, and  $a^b9^{\text{th}}$  is added. These two added notes are important: the F and C naturals are blue notes on the 3<sup>rd</sup> and 7<sup>th</sup> degrees in the key. Instead of a complete dominant chord,

Kapustin uses an A sus, suspending resolution. He also adds a  $\flat$ IIM7 (E $\flat$ M7) between the A sus and the tonic resolution.

The final measure resolves to tonic but Kapustin mixes the major and minor thirds, uses a tonic chord with a dominant seventh instead of major seventh, and voices it with a  $\sharp$ 11<sup>th</sup>, creating a chord that includes the blue 3<sup>rd</sup> and 7<sup>th</sup>. This brief example demonstrates Kapustin's mastery of standard jazz harmonic practice and helps explain the rich texture and sophisticated jazz styling throughout *The Preludes*.

### Chord Voicings

One of the ways that Kapustin demonstrates his assimilation of jazz language is through an astute use of jazz chord voicings. Open to any page of the score in *The Preludes* and it will be easy to spot added-note chords with rich and interesting voicings. The above examples from *Prelude V* (ex. 13.8), *XIII* (ex. 14.2), and *XVII* (ex. 13.6) illustrate how effectively Kapustin scores accompaniments for melodies. In these examples there are many 9<sup>th</sup>, 11<sup>th</sup>, and 13<sup>th</sup> chords, along with chromatic alterations to create augmented,  $\flat$ 9<sup>th</sup>, and  $\sharp$ 11<sup>th</sup> chords. The chord voicings are also sophisticated, spread between the two hands, and hardly ever voiced in simple stacked thirds.

13 **Allegretto** (♩ = 160)

16

19

Example 13.9, *Prelude XIII*, first A section

Another important factor here is the use of smooth voice leading in the way these chords follow from one to the next—one of the markers of sophisticated jazz harmony. Playing slowly through *Prelude XIII* (Example 13.9), one becomes aware of how carefully Kapustin selects the accompanimental voices to avoid doublings and create a full texture. For example, in the second measure, the right hand plays the 7<sup>th</sup> of the G<sup>b</sup> chord while the left hand plays the 5<sup>th</sup>. When the 5<sup>th</sup> is in the melody, the 7<sup>th</sup> moves to the left hand. It is also possible to trace voices that have very little movement throughout the section. For example, an alto voice centering around middle C moves back and forth in

the range of B<sup>b</sup> to D<sup>b</sup>, in each chord serving a different function. There are also unexpected parallel chords as in measure 16 where E<sup>b</sup>7 moves to A<sup>7</sup> (a tritone substitution) to A<sup>b</sup>7, creating a snaking melodic line and a bit of planing. Carefully placed harmonic voices also accompany the melody and add texture. For example in measure 17, when the melody moves from A<sup>b</sup> to B<sup>b</sup>, a tenor voice moves in the opposite direction, F to F<sup>b</sup>. In the next measure, the B<sup>n</sup> to C in the melody is accompanied by the root and 5<sup>th</sup> in the left hand, followed by G, the major 7<sup>th</sup>, creating a move from A<sup>b</sup> minor to A<sup>b</sup> major. Finally, there is only one chord in this section scored in stacked thirds, the Dmin<sup>7</sup> chord in measure 18.

This is just one example of Kapustin's skill at voicing chords in a sophisticated and idiomatic way, using elements of smooth and careful voice leading to create a full, resonant texture. The same skill is evident on every page of the score.

### Boogie-woogie

Example 13.10, *Prelude II*, Theme III, last version boogie influence

There are several brief boogie-woogie references scattered throughout *The Preludes*. In *Prelude II*, the final statement of Theme III is in a boogie style similar to the

one in Waller's *Between the Devil and the Deep Blue Sea* arrangement (ex. 4.13). The same left-hand figure is obvious though it lasts for only 3 measures, modulating from  $G^7$  to  $C^7$  as a transition to the B section, which is in the key of F. Both the boogie figure and the right-hand double-notes discussed below create a bluesier feel for this second B section.

*Prelude XVII* briefly uses the type of tremolo octaves found in *Alligator Crawl* (ex. 4.14). Most of the boogie-oriented sections are isolated and are over almost before one realizes they are happening.

The image shows a musical score for Example 13.11, *Prelude XXII*, in retransition. The score is presented in two systems, measures 76-80. The first system (measures 76-79) begins with a piano (*p*) dynamic. The right hand features a boogie figure with repeated notes and slurs, while the left hand plays a bass line with fingerings (1, 2, 3, 4, 5) and slurs. The second system (measures 80-83) continues the boogie figure in the right hand and the bass line in the left hand, with various fingerings and slurs. The score includes a variety of musical notations such as slurs, fingerings, and articulation marks.

Example 13.11, *Prelude XXII*, boogie in retransition

Boogie-woogie is both blues-based and toccata-like, with its repeated notes and insistent rhythms. Because of this, much of the B section of *Prelude XXII* seems boogie influenced even though the exact boogie figures are missing. In the retransition section

Kapustin uses the repeated-note opening motive along with the chordal boogie figure from Example 4.5 in Chapter 4 to return to the final A section. The repeated notes and double notes in the right hand along with the use of blues scale and circle-of-fifths motion add to the blues-oriented, boogie feel of this section. A complete list of boogie style in *The Preludes* follows.

Prelude	Bars	Comment
<i>Prelude II</i>	49-51	Basie boogie
<i>Prelude VI</i>	11, 43, 73, 75	Tremolo octaves
<i>Prelude XVII</i>	25-26, 58	Tremolo octaves
<i>Prelude XIX</i>	15	Tremolo octaves
<i>Prelude XXII</i>	77-84	Boogie chords

Table 13.8, Boogie-woogie examples

### Stride

The musical score for Example 13.12, *Prelude XXI*, is in 3/4 time and features a boogie-woogie style. The right hand has a repeated-note opening motive with triplets and double notes. The left hand has a steady bass line with chords. The piece is marked 'mf'.

Example 13.12, *Prelude XXI*, stride

There are several *Preludes* that use stride, though the only extended example is in *Prelude XXI*, which uses a moderate tempo stride throughout (ex. 13.12). Similar to the boogie examples, the stride examples are usually over before you know it, and *Prelude XXI* is the only *Prelude* that uses stride in its thematic material.

The image shows a musical score for Example 13.13, *Prelude XIII*, specifically an improvisation section. The score is presented in three systems, corresponding to measures 52, 53, and 54. The right-hand part (treble clef) is highly virtuosic, featuring rapid sixteenth-note runs with intricate fingerings (e.g., 4 2 1 2 5, 2 3 1 3, 2 3 5, 1 3, 2 1 2, 5 5 3 4) and a 'trill' marking in measure 54. The left-hand part (bass clef) provides a steady accompaniment with chords and single notes, including a dynamic marking of *f* (forte) in measure 54. The key signature has three flats, and the time signature is 5/8.

Example 13.13, *Prelude XIII*, stride in improvisation section

In *Prelude XIII*, the stride accompaniment in the improvisation section supports a virtuosic right-hand while maintaining the steady 5-8 tempo. It also carries the burden of



supplying the entire harmonic support, which was shared by both hands during the earlier statement of the melody.

Stride with 10ths, bars 36-37

swinging

Stride with chromatic ii-V progressions

Example 13.14, *Prelude XVII*, B section, stride

Tenths are often a part of stride accompaniment and the B section of *Prelude XVII* effectively uses tenths, sometimes walking tenths, to add resonance (as in the first measure of Example 13.14). A complete list of stride examples follows.

Prelude	Bars	Comment
<i>Prelude II</i>	17-18,	
<i>Prelude XIII</i>	51-55, 61-63	8
<i>Prelude XVII</i>	20-24, 36-38, 47-48, 53-54	8
<i>Prelude XIX</i>	17-18, 34-37	
<i>Prelude XXI</i>	1-17	Almost the whole <i>Prelude</i>

Table 13.9, Stride examples

### Swing Eighths

As previously discussed, swing rhythm is triplet-based, though it is often not notated in triplets. Most of the *Preludes* that use swing rhythm are notated with dotted-eighth and sixteenth notes. Of the twenty-four *Preludes*, only seven are completely in swing rhythm style while another three use swing rhythm in sections. Given the unmistakable jazz influences in *The Preludes*, it is revealing that not even half explicitly use swing rhythm. The table below outlines instances of swing rhythm in *The Preludes*.

<b>Prelude</b>	<b>Bars</b>	<b>Comment</b>
<i>Prelude II</i>	7-24, 53-60	B sections, mostly eighth notes
<i>Prelude IV</i>		Whole piece, dotted-eighth & sixteenth
<i>Prelude VII</i>	17-24	Third A section, left-hand bass solo, mostly dotted-eighth & sixteenth
<i>Prelude XI</i>		Written in 12/8, the triplet division is written into the piece
<i>Prelude XII</i>	49-64	B section, mostly eighth notes
<i>Prelude XV</i>		Whole piece, mostly eighth notes
<i>Prelude XVI</i>		Whole piece, mixed eighth notes, dotted-eighth & sixteenth
<i>Prelude XVII</i>		Whole piece, dotted-eighth & sixteenth
<i>Prelude XVIII</i>		Whole piece, mostly dotted-eighth & sixteenth
<i>Prelude XIX</i>		Whole piece

Table 13.10, Swing rhythm in *The Preludes*

### Bent-note and Double-note Techniques

Bent-note and double-note techniques are often but not exclusively swing-based since many rock styles use bent notes and double notes. It is therefore not surprising that only about half of the *Preludes* that use these techniques also use swing rhythm.

Example 13.15, *Prelude II*, B section, bent and double notes, LH walking bass

The first B section of *Prelude II* is a good example of swing-based bent and double notes. The sudden appearance of these techniques is one of many ways that Kapustin signals a change from the more classical style of the A section to the jazz elements of the B section. (The right-hand parts circled are bent and double notes; the left-hand parts circled are examples of walking bass lines discussed below.)

Example 13.16, *Prelude X*, bent and double notes in Theme III

In *Prelude X*, Kapustin constructs Theme III from bent and double notes. Though this *Prelude* is in a straight-eighths funk style, the theme is another example of how Kapustin takes common elements and turns them into something new and different. Though the right-hand part uses typical bent notes using the blue third, the addition of bent notes in the left hand creates a different effect. The constant harmonic motion is also in conflict with the usual repetition of the style. The following table lists *Preludes* that use bent note and double note techniques.

Prelude	Bars	Comment
<i>Prelude I</i>	8-9, 13, 18, 20, 25, 58	In bars 8-9 and 58, bent notes are part of the theme and notated as grace notes. The others are double notes
<i>Prelude II</i>	18-23, 49-51, 58-59	Double notes are one of the features that distinguish the B section

<i>Prelude X</i>	7-9, 23-25	Theme III is created from the combination of bent notes and double notes
<i>Prelude XI</i>	1-7, 9, 11, 16-18, 22	Bent notes and double notes help create the proper sound for this 12-bar blues
<i>Prelude XIV</i>	1, 3-4, 12, 20, 23, 36-37, 39	Double notes used in opening theme and its recurrences
<i>Prelude XV</i>	30, 35, 42-44	As in <i>Prelude II</i> , double notes change the character of the B section
<i>Prelude XVII</i>	1-4, 8-15, 18-20, 23-25, 35-37, 41-47...	Double notes help invoke Oscar Peterson's style
<i>Prelude XVIII</i>	16, 18	Isolated double notes
<i>Prelude XIX</i>	2-3, 6, 9-10, 14-15, 30	Double notes in A section theme
<i>Prelude XXII</i>	3, 5, 7, 11-13, 15, 17-18, 24, 27-28, 76-79	Double notes used in both A and B sections
<i>Prelude XXIII</i>	30-38, 41-42, 45, 49-51	Swing-oriented middle section
<i>Prelude XXIV</i>	19-24, 34, 38	Isolated usage

Table 13.11, Bent notes and double notes

### Walking Bass Lines

Unlike the other jazz techniques under discussion, most of the examples of walking bass lines in *The Preludes* happen during an extended section of a *Prelude*. Most of the elements noted in Chapter 4 can be seen in these examples, including approach notes, roots on downbeats, and occasional triplets and arpeggiation. *Preludes II, XVI, and XVII* have walking bass mixed with other accompaniment styles like stride.

In the B-section of *Prelude II*, Kapustin switches from a stride-like left hand accompaniment to walking bass (See ex. 13.15 above). In measure 19, the bass skips between the two Cs (chord roots) and ends with an approach note, G<sup>b</sup>. Measures 10 and 11 jump down to the third of the chord, and then walk back up chromatically, creating

approach notes. Measure 22 uses a triplet with approach notes of C# and F#. Also notice the use of double notes in the right-hand part.

The image displays two systems of musical notation for a piano piece. The first system, starting at measure 26, features a bass line in the left hand and a right hand with triplets and double notes. The second system, starting at measure 30, continues the bass line and right hand with more complex rhythmic patterns and triplets.

Example 13.17, *Prelude XV*, B section, walking bass

The most extended examples of walking bass lines are in Preludes *I*, *XV*, and *XVI*, all of which have B sections in chromatic two-part counterpoint with walking bass lines throughout. Even though these three *Preludes* are much more chromatic, it is still possible to discern harmonic progressions by examining how Kapustin chooses notes on downbeats and how approach notes are used to organize harmony.

Prelude	Bars	Comment
<i>Prelude I</i>	20-51	B section
<i>Prelude II</i>	19-24, 53-60	Both B sections
<i>Prelude XV</i>	25-60	B section
<i>Prelude XVI</i>	1-6, 9-12, 30-35, 39-41	First few bars of A section and repeats
<i>Prelude XVII</i>	1-12	A section, intermittently mixed with stride

Table 13.12 Walking bass examples

## Rhythmic and Harmonic Anticipation

The image displays a musical score for Example 13.18, *Prelude IV*, focusing on anticipations. The score is written in treble and bass clefs. It consists of three systems of music, starting at bar 9, bar 13, and bar 16 respectively. The bass line features several anticipatory figures, which are circled in the original image. These figures occur in bars 10, 14, and 17. The first system (bars 9-12) shows a bass line with a circled anticipatory figure in bar 10. The second system (bars 13-15) shows a circled anticipatory figure in bar 14. The third system (bars 16-18) shows a circled anticipatory figure in bar 17. The score includes various musical notations such as notes, rests, and fingerings.

Example 13.18, *Prelude IV*, anticipations

Since there are many places where an isolated chord is anticipated, this section will highlight only *Preludes* where anticipation is prevalent. The offbeat accents in the second measure of *Prelude IV* later become anticipations where the last sixteenth note of a bar anticipates the harmony of the subsequent bar.

The image shows a musical score for an *Allegretto* in G major, 3/4 time, with a tempo of 112 beats per minute. The score is divided into two systems. The first system contains measures 1 through 4, and the second system contains measures 5 through 8. The music features a complex rhythmic pattern with many sixteenth notes. In measure 2, the last sixteenth note is circled, indicating an anticipation of the harmony in measure 3. Similarly, in the second system, the last sixteenth notes of measures 6 and 7 are circled, indicating anticipations of the harmonies in measures 7 and 8, respectively. The score includes various fingerings (e.g., 2 3 5 4 3 2, 3 2 1, 3 2 1, 3 2 1, 3 2 1) and dynamics such as *f*, *mf*, *m.s.*, and *m.d.*.

Example 13.19, *Prelude VIII* anticipations

In *Prelude VIII*, the anticipation in measure 2 returns in measures 6 and 7, with  $A^{\flat 7}$  and  $G^7$  chords. Each time this material repeats, the anticipations do also.



Beginning

mf

Bars 10-11

Detailed description: The image shows two excerpts of a piano score. The top excerpt, labeled 'Beginning', shows the first few bars of a piece in 3/4 time with a key signature of two flats. The right hand starts with a sixteenth-note pickup chord (C major with an added 6th) before the first downbeat. The left hand plays a steady bass line. The bottom excerpt, labeled 'Bars 10-11', shows a similar pattern where the right hand plays a C7 chord a sixteenth note before the downbeat of the first measure of the excerpt. Both anticipations are circled in black.

Example 13.20, *Prelude XVII* anticipations

The very first chord in *Prelude XVII*, a sixteenth-note pickup, is an anticipation and similar anticipations are scattered throughout the piece. In the opening pickup, the right hand plays a tonic chord with an added 6<sup>th</sup> a sixteenth beat before the downbeat. In measures 10-11, the right hand plays a C<sup>7</sup> chord just ahead of the low C on the downbeat. This, along with the swing rhythm notated throughout with dotted-eighths and sixteenths, fuels a hard-swinging piece.

Prelude	Bars	Comment
<i>Prelude IV</i>	9, 12, 15, 16	Anticipations create rhythmic drive
<i>Prelude VII</i>	2, 4, 6	Anticipations in jazz-rock style
<i>Prelude VIII</i>	2, 6, 7, 10, 18, 20, 22, 26, 35, 41, 54, 58, 59	The main theme features anticipations

<i>Prelude XVII</i>	Pickup, 10, 14, 16, 22, 24, 30, 48, 54, 56, 58, 62	The opening figure is an anticipation and each recurrence is the same. There are also anticipations at some cadences
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Table 13.13, Anticipation examples

## Garner-style Chords

Garner's unmistakable strumming left-hand chords have been explored in chapters 4 and 8. Four of *The Preludes* have sections that use this style of accompaniment, with the most extended example in *Prelude XXIII*. In some places, the chords have a narrow range and are closely spaced, like in *Preludes IV* and *XII*. In *Preludes XIX* and *XXIII*, the chords are more widely spaced with many tenths interspersed. There are also a few instances where Kapustin uses the shuffle-like tied bass notes as in the *Paris Bounce* example in Chapter 4 (ex. 4.22).

**Allegretto** (♩ = 132)

Эти аккорды могут играть арpeggiando

Example 13.21, *Prelude IV*, closely-spaced Garner-style chords

In *Prelude IV*, Kapustin intensifies the Garner strumming effect by instructing that the chords can be arpeggiated, simulating jazz guitar. Another aspect of Garner's style, the offbeat "kicks" from the bass end of the keyboard, are also captured in bars 2 and 4 of ex. 13.21.

The chords in the right hand in 53-54 bars can be played so:  
Аккорды в правой руке в 53-54 тактах могут быть сыграны так:

52

55

57

But then: Или так:

sub.p

f

Example 13.22, *Prelude XXIII*, C section, widely-spaced Garner chords

Erroll Garner also usually alternates between single-note horn lines and octave-filled chords in the right hand. Kapustin captures both, with ex. 13.21 showing the former and ex. 13.22 showing the latter. Also note the full chords and alternation of chords and

tenths in the left-hand part, creating a full, resonant sound. Table 13.14 outlines use of Garner-style accompaniments in *The Preludes*.

<b>Prelude</b>	<b>Bars</b>	<b>Comment</b>
<i>Prelude IV</i>	1-8	Garner chords in the opening section
<i>Prelude XII</i>	49-57	Most of the B section
<i>Prelude XIX</i>	19-24	Provides contrast in the B section
<i>Prelude XXIII</i>	18-26, 37-60	Most of the B sections
<i>Prelude XVII</i>	46-47	Brief transitional section

Table 13.14, Garner-style chords

### Summary

This exploration of standard jazz techniques in *The Preludes* reveals that Kapustin possess a solid understanding of idiomatic harmonic, rhythmic, and stylistic elements of jazz language. At the same time, he has taken these elements and crafted his own unique approach to jazz style.

## CHAPTER 14: MODERN JAZZ TECHNIQUES IN THE PRELUDES

Though Kapustin was born in 1937 and has lived his entire life in Russia, his music bears the unmistakable influence of contemporary American jazz and rock. Chapter 5 explored many of the styles and techniques that became part of jazz language in the 1960s and 1970s and this chapter will explore and identify those influences in *The Preludes*.

### Quartal Harmony and sus Chords

Quartal chords can have a variety of uses. Sometimes they imply quartal harmony and other times they are merely used to create interesting voicings of tertian chords; both are staples of modern jazz keyboard harmony. There are many *Preludes* with isolated chords voiced in fourths or with a right-hand figuration using fourths, and even these quick references, along with Kapustin's other devices, create a modern jazz context for his musical ideas. Most of the examples discussed below feature more extensive use of quartal techniques, and most use tertian harmony with quartal chord voicings.

The image shows two systems of musical notation for Example 14.1, *Prelude III*. The first system consists of a treble and bass staff. The treble staff begins with a piano (*p*) dynamic marking. The music features a melody with triplets and intervals of a fourth, and a bass line with chords and intervals of a fourth. The second system continues the piece, with the treble staff starting at measure 5. It includes a melodic line with triplets and intervals of a fourth, and a bass line with chords and intervals of a fourth. A marking "(m.s.)" is present in the bass staff of the second system, with a dashed line pointing to a specific chord voicing.

Example 14.1, *Prelude III*, quartal voicings

In *Prelude III*, Kapustin uses many quartal voicings in a tertian context: the left hand has voicings in fourths but the third of the chord is also present, either in the chord voicing or in the melody.

The image shows a musical score for Example 14.2, *Prelude VIII*. It consists of a treble and bass staff. The treble staff features a melody of eighth notes, while the bass staff features a series of chords, each consisting of three notes stacked in thirds. The key signature is two sharps (F# and C#), and the time signature is common time (C).

Example 14.2, *Prelude VIII* main motive scored in simple stacked thirds

Example 14.3, *Prelude VIII*, Kapustin's quartal scoring

In *Prelude VIII*, quartal chords are used in the main thematic material and in every recurrence. There is nothing unusual about the progression and the chords are unambiguous. Yet the way that they are voiced, along with the chromatic bass voice, create a sophisticated modern jazz sound. The examples above compare the way Kapustin wrote it with a basic scoring using simple stacked thirds (ex. 14.2). The quartal voicings create a completely different sound, both fresh and modern.

Example 14.4, *Prelude II* transition to B section

Sometimes Kapustin uses quartal material in transition sections to signal a change or to create variety or instability in a piece with static harmony. In *Prelude II*, the transition to the B section has quartal figures in the right-hand part that occur just in this transition section (ex 8.7). They are gone as quickly as they appear.

The image displays two excerpts from the musical score for *Prelude I*. The top excerpt, labeled "Prelude I, bars 30-31", shows the right-hand part with several quartal chords highlighted by black boxes. The music is marked with a forte *f* dynamic and a *cresc.* (crescendo) instruction. The bottom excerpt, labeled "Prelude I, bars 44-45", shows a similar quartal chord structure in the right hand, also highlighted with a black box. The score includes fingerings and articulation marks for both hands.

Example 14.5, *Prelude I*, B section quartal chords in bars 30-31 and 44-45

In *Prelude I*, quartal chords in the right hand create color and variety in the B section, which is otherwise in chromatic two-part counterpoint. The two examples above are from the first and second B sections.

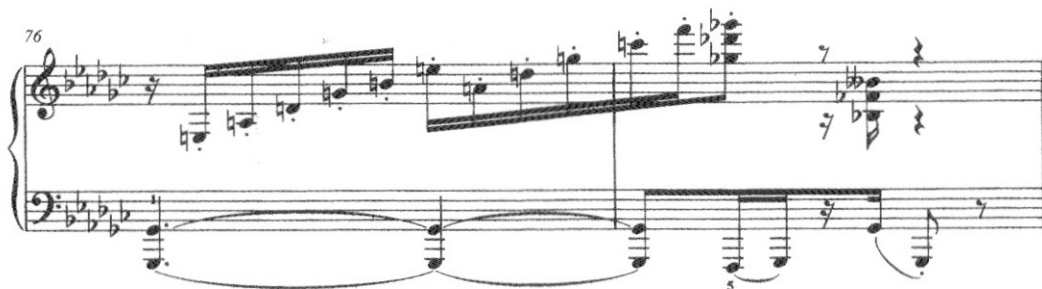




Example 14.6, *Prelude XIII*, beginning



Example 14.7, *Prelude XIII*, bar 54, improvisation section



Example 14.8, *Prelude XIII*, ending

*Prelude XIII* has quartal chords in the introduction (ex. 14.6) and scattered throughout the piece. Quartal figures in the right-hand part are also prominent in the middle improvisation section (ex. 14.7) and Kapustin closes the piece with a quartal

ascending run (ex. 14.8). Again, all of these elements combine to create a sophisticated, modern jazz sound.

All of the examples in the table below contribute to the contemporary jazz styling of *The Preludes* and testify to the influence of these techniques on Kapustin's approach to composition. The fact that the list is so long also illustrates their importance in defining his style.

<b>Prelude</b>	<b>Bars</b>	<b>Comment</b>
<i>Prelude I</i>	16-18, 39	LH broken chords
	30-32, 36-37, 44-45, 50-51	RH chords & broken chords
<i>Prelude II</i>	15-17, 60-61	Transitional material
<i>Prelude III</i>	2-4, 10-12, 20, 22-23	LH chords
	1, 12, 14, 19-21	RH quartal elements in the melody
<i>Prelude IV</i>	20-23, 40-46	Closing section material has quartal quality
	26, 28	A few quartal chord voicings
<i>Prelude V</i>	5	2 handed run
	9-10	LH chords and chords split between hands
<i>Prelude VII</i>	1-2, 9-10, 17-18, 35-37	LH chords in first 2 bars of form, each recurrence
<i>Prelude VIII</i>	1-4, 9-11, 17-19, 25-27, 53-55, 62-64	First 3 bars of form, each recurrence
<i>Prelude X</i>	1-4, 41	RH melody voiced in 4ths
	17-21	Bar 17 RH, then chords in LH
<i>Prelude XI</i>	Pickup	Melody in 4ths
	1-3, 11,	Many quartal chords treated as upper neighbor suspensions
<i>Prelude XIII</i>	1-4, 38-39	Intro chords
	16	RH chords
	41-42, 52, 54, 63	RH melody beginning of improv section. The idea returns
	76-77	Ending: RH ascending run in 4ths
<i>Prelude XV</i>	1-6, 13-15, 61- 63, 65-66	LH mostly quartal chords in theme

<i>Prelude XXII</i>	3-4, 43-44 59-60, 67-68	Quartal chords, RH in 59-60 and 67-68
	88	Transitional chords
<i>Prelude XXIV</i>	79-93	Same quartal chord as <i>Prelude X</i> , B section

Table 14.1, Quartal chords in *The Preludes*

Example 14.9, *Prelude II*, Theme III G sus

Sus chords are often but not always quartal and may resolve or not. Since the classification of chords as quartal or sus chords is not clear-cut, I've made the distinction that sus chords usually function harmonically in a tertian context while quartal chords are harmonically quartal. For example, Theme III in *Prelude II* uses Gsus in the key of C that alternates between a Gsus and G7 (ex. 4.9). It is not voiced in fourths.

Example 14.10, *Prelude X*, B section

The B section of *Prelude X* also uses a repeated G sus chord with a quartal voicing and quartal/pentatonic figuration in the right hand. Since it does not resolve it could be classified as quartal, though it is static and built on a repeated chord.

The image shows a musical score for the B section of *Prelude X*, spanning measures 22 to 26. The score is written for piano in a key with two flats (B-flat major or D minor) and a 7/8 time signature. It consists of three systems of two staves each (treble and bass clef).

- Measure 22:** Starts with a circled '8' above the staff. The right hand features a quartal/pentatonic figuration over a static G sus chord. The left hand plays a bass line with fingerings 1, 3, 2, 1, 3, 2, 1. A *ritard.* marking is present.
- Measure 25:** The right hand continues with a similar figuration, marked *accel.* The left hand has fingerings 3, 2, 1, 4, 4.
- Measure 26:** The right hand has a *molto rit.* marking. The left hand has a *perdendosi* marking. The section ends with an *attaca* marking.

Example 14.11, *Prelude XXI* ending on D<sup>b</sup> sus

The image shows the beginning of *Prelude XXII*. It is written for piano in a key with two flats (B-flat major or D minor) and a 7/8 time signature. The score consists of two staves (treble and bass clef).

- The right hand begins with a quartal/pentatonic figuration over a static C sus chord, marked *f*.
- The left hand plays a bass line with fingerings 1, 3, 2, 1, 3, 2, 1.

Example 14.12, *Prelude XXII* beginning on C sus

In the transition from *Prelude XXI* to *XXII*, the D<sup>b</sup>sus that ends *XXI* slides down to a C sus, then resolves to a C7 in the first measure. (ex. 14.11 and 14.12)

Example 14.13, *Prelude XII*, beginning, sus chords noted

The right-hand part of the beginning motive in *Prelude XII* resolves around a G<sup>#</sup> sus chord and its resolution to tonic. This chord could also be identified as a “slash chord,” F<sup>#</sup>/G<sup>#</sup>. The table below shows sus chords in *The Preludes*.

Prelude	Bars	Comment
<i>Prelude I</i>	19, 51	Two cadences have Gsus harmony
<i>Prelude II</i>	13, 29, 35, 49	Theme III and recurrences
<i>Prelude IV</i>	1-3, 9	The opening section has Esus chords
<i>Prelude V</i>	4	Bsus
<i>Prelude VI</i>	4, 20, 84	Prominent Bsus chord in theme
<i>Prelude X</i>	19-20, 28-29	Same transitional material, Gsus, then G <sup>#</sup> sus
<i>Prelude XXI</i>	1, 3, 21-27	LH chords in opening, entire ending is D <sup>b</sup> sus
<i>Prelude XXII</i>	1, 9, 89, 9, 101	The D <sup>b</sup> sus slides down to Csus, resolves to C7

Table 14.2, Sus chords in *The Preludes*

## Pentatonics

As discussed in Chapter 5, pentatonic figures used in a modern context are usually short, harmonically ambiguous, and shift chromatically above or below a chord or tonal center. They appear extensively in a handful of *Preludes*.

Bar 26

The image shows a single bar of music (Bar 26) from a piano prelude. It consists of two staves: a treble clef staff (right hand) and a bass clef staff (left hand). The right hand part features a pentatonic scale-like figure with fingerings 4, 3, 1, 2, 3, 1, 3, 2. The left hand part has a bass line with fingerings 1, 3, 3.

Bars 38-39

The image shows two bars of music (Bars 38-39) from a piano prelude. It consists of two staves: a treble clef staff (right hand) and a bass clef staff (left hand). The right hand part features a pentatonic scale-like figure with fingerings 2, 4, 5, 3, 4, 5, 4, 3, 1, 2, 2, 1, 2, 3. The left hand part has a bass line with fingerings 5, 1, 3, 1, 1, 5, 3, 1, 2, 3, 3, 2, 1, 2.

Example 14.14, *Prelude I*, B section, bars 26, 38-39

In the B section of *Prelude I*, pentatonics combine with other elements to create a highly chromatic two-part counterpoint. In measure 26 there are brief pentatonic passages that return again in bars 37-40, where the pentatonic figures shift chromatically to create a colorful but ambiguous tonality. This is very similar to the pentatonic shifts in Chick Corea's *Matrix* (ex. 5.1) and Herbie Hancock's *There Is No Greater Love* (ex. 5.7 and 5.8).



The image displays three systems of musical notation for Example 14.15, *Prelude XXIV*. The first system, starting at measure 4, is labeled "Pentatonic run ascending" and shows a sequence of notes in both hands with fingerings 3, 2, 3, 2, 1, 2, 3, 4, 2, 1. The second system, starting at measure 7, is labeled "Funky melody" and features a more complex melodic line in the right hand with various ornaments and fingerings (3, 5, 2, 5, 3, 3, 5, 5, 2, 5, 3) and a rhythmic accompaniment in the left hand with fingerings 5, 4, 5, 1, 2, 3, 2, 5, 3, 2, 3. The third system, starting at measure 11, is labeled "Pentatonic run descending" and shows a descending sequence of notes with fingerings 5, 3, 2, 5, 2, 1, 2, 3, 4, 2, 5, 3, 2, 5, 4, 1, 3, 2, 3, 2, 1, 3, 2.

Example 14.15, *Prelude XXIV*, pentatonic theme ascending and descending

In *Prelude XXIV*, Kapustin creates the main theme from an ascending D minor pentatonic pattern. The section ends with the same pattern descending. Kapustin does not change harmonic context here—it is completely in D minor. It is later transposed to C minor with B $\flat$  and G in the bass, making it functionally a B $\flat$  sus pentatonic pattern.

70

Pentatonic run, tonic and transposed

74

cresc.

Motive from Prelude I

77

f

Motive from Prelude I

80

8va

Motive from Prelude I

Example 14.16, *Prelude XXIV*, shifting pentatonics in middle section

In the developmental middle section, the pentatonic patterns shift, though not as quickly as they do in *Prelude I*. The patterns appear in both hands, beginning in D minor then shifting up to E<sup>b</sup> minor, then continuing to A minor, G, and finally again in E<sup>b</sup> minor in the left hand.



<b>Prelude</b>	<b>Bars</b>	<b>Comment</b>
<i>Prelude I</i>	16-17, 26, 34, 37-40	RH, many pentatonic figures, quickly changing harmony
<i>Prelude VIII</i>	2-4, 9-11, 17-19, 25-27, 54-56	Melody in all bars, accompaniment in bars 3-4. Recurrences sometimes have chromatic accompaniment
<i>Prelude XXIV</i>	1-2, 5-6, 13-14, 21-22, 27-28, 73-79, 128-129, 132-133, 140- 141, 148-149, 152-153	The main theme in D minor appears ascending and descending. Later transposed to several key areas

Table 14.3, Pentatonic patterns in *The Prelude*

### Diminished Scales and Patterns

Diminished harmony is often used in a somewhat similar manner as pentatonics. Instead of a static or specific diminished scale, diminished patterns create a chromatic and unstable harmonic structure.

In *Prelude I*, diminished patterns reappear with enough similarity to appear related even though there is no exact repetition. In the A section, measures 12-15 hint at what will come later in the B section. In measure 15, minor thirds and minor seconds are the primary intervals (ex. 14.7).

The image displays three excerpts of a piano score for Example 14.17, *Prelude I*. Each excerpt consists of two staves (treble and bass clef) and includes a highlighted figure in a black box.

- Bars 11-12:** The highlighted figure is in the treble clef, showing a sequence of notes with fingerings 4, 3, 5, 3, 5. The dynamic marking is *mf*.
- Bars 34-35:** The highlighted figure is in the treble clef, showing a sequence of notes with fingerings 5, 1, 3, 5, 1. A circled '8' is visible above the first measure.
- Bars 52-53:** The highlighted figure is in the treble clef, showing a sequence of notes with fingerings 5, 4, 3, 2, 1, 3, 2, 2, 5, 3, 1, 2, 5.

Example 14.17, *Prelude I*, similar figures in bars 11-12, 34-35, 52-53

Comparing measures 11-12, 34-35, and 52-53, it is easy to see there is a relationship but difficult to discern the exact pattern. However, the diminished flavor is obvious.

The image displays three systems of musical notation for Example 14.18, *Prelude I*. Each system consists of a grand staff with a treble and bass clef. The first system, starting at bar 21, shows a diminished pattern in the treble clef highlighted with a black box. The second system, starting at bar 46, shows a similar diminished pattern in the treble clef, also highlighted with a black box, and includes the instruction "cresc." below it. The third system, starting at bar 54, shows a diminished pattern in the treble clef highlighted with a black box. The notation includes various musical symbols such as notes, rests, and fingerings.

Example 14.18, *Prelude I*, similar diminished patterns, bars 22, 47, 54

Another ascending pattern appears in bars 22, 47, and 54. The second and third repetitions start exactly the same way, then the patterns diverge.



Example 14.19, *Prelude I*, bars 56-57, diminished pattern transposed

A further transformation occurs in measures 56-57, where the pattern is transposed. Also, the left-hand figure is the same as in measures 12 and 14, transposed from E to B $\flat$ .

<b>Prelude</b>	<b>Bars</b>	<b>Comment</b>
<i>Prelude I</i>	9-12, 14-15, 22, 27, 35, 41-43, 47, 52-57, 60, 65-67	Many varied, shifting patterns
<i>Prelude II</i>	41-43	The most chromatic section of this <i>Prelude</i>
<i>Prelude VI</i>	37-64?	Extended section of chromatic figuration in the right hand
<i>Prelude VIII</i>	33-36, 41-44	Transitional sections, tonal with clear harmonic outline, but chromaticism inflected w/ diminished scales
<i>Prelude X</i>	17-18	Minor third motion in addition to chromatic RH, patterns, quartal chords
<i>Prelude XIII</i>	41-64	Middle improv section full of diminished figures
<i>Prelude XIV</i>		Find good examples
<i>Prelude XX</i>	1 & 11, 17	Opening melody, run in measure 17
<i>Prelude XXIV</i>	71-72, 78-84, 93-104	Uses the same type of diminished-type organization as <i>Prelude I</i>

Table 14.4, Diminished patters in *The Preludes*

### Jazz-rock Straight-eighths

We tend to think of jazz rhythm as swing rhythm and this was historically true until the 1960s when straight-eighths rock rhythms became an essential element in jazz style. Kapustin has obviously absorbed this influence since half of *The Preludes* have straight-eighths rather than swing rhythm. Though this group of *Preludes* has a great deal of variety, it is interesting that half of them are in cut time at similar tempos. Stylistically, they range from a jazz waltz to modern rock and funk styles, and a tribute to *Take Five*.

Three of these *Preludes* seem to have a rhythmic model that is perhaps more classically oriented. The typical syncopations of jazz-rock and funk are absent in the main theme of *Prelude I*, the A section of *Prelude II*, and all of *Prelude XIV*, making them seem more classically oriented.



Example 14.20, *Prelude XIV*, introduction

Despite the fact that the rhythmic aspect is more subtle in *Prelude XIV* and could easily be interpreted as more classically-oriented, the two-handed pattern that serves as a repeated introduction still bears some relationship to Mark Harrison's funk styles from Chapter 5 (ex. 5.4 and 5.5).

With its obvious reference to *Take Five*, *Prelude XIII* has an unmistakable jazz feel, though it is not based on swing rhythm (though *Take Five* certainly is). Instead, the 3-2 subdivision creates a steady rhythmic pattern that continues through the whole piece. The motive uses syncopated accents to create an odd-metered dance, a sort of off-kilter waltz.

The image shows a musical score for a piano piece. It is titled "Allegro (♩ = 132)" and marked "mf". The score is in 3/2 time and consists of three systems of music. Each system has a treble staff and a bass staff. The music features a steady 3-2 subdivision and syncopated accents. The first system starts with a treble staff containing a series of chords and a bass staff with a rhythmic pattern. The second system continues this pattern with more complex chordal structures. The third system concludes the piece with a final cadence. The score includes various musical notations such as slurs, accents, and fingering numbers (1-5).

Example 14.21, *Prelude X*, Theme I and II

The two *Preludes* that seem to have the most funk influences are *Prelude X* and *XII*. Both have syncopated rhythmic counterpoint between the hands in the same manner as Mark Harrison's funk styles. They also have chromatic "kicks" in the left-hand parts

that play against the right hand to create a propulsive groove. *Prelude X* is interesting because Kapustin creates this funky effect using a meter that is *not* 4-4. Instead, this *Prelude* is mostly in 3-2 and changes to 4-4 only in Theme III and in the more jazz-oriented B sections. The sixteenth-note syncopations seem particularly important in defining the style and these elements are present especially in Themes I and II. *Prelude X* is also mostly static harmonically, using C# Dorian for Theme I and B minor for Theme II. Only Theme III and the B sections move away from a static tonal center.



Example 14.22, *Prelude X*, Theme I “normalized” to 4-4

On closer examination, this *Prelude* is another example of how Kapustin takes the stylistic elements of jazz and rock and molds them into a musical statement of great complexity. The meter of Themes I and II is 3-2 but it is difficult, even confusing to count it in 3. Kapustin’s tempo marking is quarter note = 132, an extraordinarily fast tempo for the piece, and the quarter note pulse is the key to its rhythmic construction. Each measure can be subdivided into two groups of 4 and 2 beats: 1 2 3 4 - 1 2 (Theme II has the same rhythmic subdivision). A typical funk-oriented rhythmic motive would be 2 measures long. Instead, Kapustin eliminates two beats and fits it all into one bar, giving

the motive a complexity and rhythmic ambiguity it wouldn't have in 4-4. Example 14.22 above simplifies Theme I as it might be stated in 4-4 versus the way Kapustin composed it (ex. 14.21).

1 + 2 + 3 + 4 + 1 + 2

+ 1 + 2 + 3 + 4 +

Example 14.23, *Prelude X*, final Theme II rhythmic displacement

In the last section of the piece, Kapustin reprises Theme II but in an even more rhythmically complex way: the motive is displaced by a half-beat. Compare ex. 14.23 with measures 3-4 of ex. 14.21. The theme is basically the same with the usual changes of scoring but the rhythmic displacement adds an element of surprise to the final appearance of Theme II.



Example 14.24, *Prelude XII*, beginning

*Prelude XII* is more straightforward, with a left-hand bass line that keeps the rhythm moving. It begins statically in G# minor, while the second phrase continues the rhythm of the bass line but moves with harmonic freedom before ending on a half-cadence. The sus chords add to the funk feel while the harmonic movement of the second phrase counteracts the typical static funk style.

Moderato (♩ = 120)

The musical score consists of three systems. The first system (measures 1-3) shows a piano accompaniment in the bass clef and a melody in the treble clef. The second system (measures 4-7) continues the piece with more complex harmonic textures. The third system (measures 8-9) shows the final few notes of the introduction.

Example 14.25, *Prelude VII*, introduction

*Prelude VII* has many rock characteristics: a medium tempo, a syncopated bass part, a simple but syncopated melody, and static harmony. The Phrygian sound of the B $\flat$  and E $\flat$  chords over an A pedal create a more sophisticated harmonic palette while the bass part's syncopations, like the previous examples, give it a rock-oriented feel with syncopated “kicks.” This is especially clear in the introductory eight bars in the example above.

*Preludes VI* and *VIII* use straight-eighths rhythm with a modern jazz feel and have several similarities: they are both in minor keys and in cut time with the same tempo

indication. There are also differences: *Prelude VI* has a rhythmic bass line like many of the other *Preludes* discussed in this chapter, while *Prelude VIII* does not have the type of rhythmic counterpoint noted in other *Preludes*. Both are highly syncopated with a two-beat groove.

Example 14.26, *Prelude XXII*, B section, two-handed funk

Finally, *Preludes XXII* and *XXIV* are also both up-tempo pieces in cut time with a modern jazz feel. The A section of *Prelude XXII* is a jazz toccata with syncopated left-hand accents. The first B section, from measure 17-32, is constructed completely from

the two-handed style of rhythmic funk, though again, the static nature of funk style is absent (ex. 14.26).

### Modal Jazz

As discussed in Chapter 5, some elements of modal jazz are not part of Kapustin's approach. Since the slow-moving harmonic rhythm of some modal jazz is intended to aid the improviser, making it easier to "stretch out" and construct patterns without worrying about chord changes, it makes sense that Kapustin would not be influenced by this approach. In contrast, his music is carefully constructed and full of complex harmonic devices.

Despite this fact, there are several *Preludes* with modal themes as well as *Preludes* that use pedal points during the main statement of the theme. Since the themes have been discussed elsewhere, the following table will show modal influences in *The Preludes*.

<b>Prelude</b>	<b>Bars</b>	<b>Comment</b>
<i>Prelude I</i>	1-3, 61-63	Theme I somewhat Lydian
<i>Prelude II</i>	1-4, 9-12	Aeolian or natural minor—no raised 7 <sup>th</sup>
<i>Prelude VI</i>	1-4, 17-20	Dorian
<i>Prelude VII</i>	A sections	Hints at Phrygian. Also does not use a raised 7 <sup>th</sup> in cadences
<i>Prelude VIII</i>	1-4, 9-12, 16-19, 53-56	Dorian
<i>Prelude X</i>	1-4, 11-14, 41-42	Theme I, Dorian
<i>Prelude XXII</i>		Theme has Dorian flavor, avoids strong cadences. Final bars use lowered 7 <sup>th</sup> .

Table 14.5, Modal influences

### Playing “outside of the changes”

Several *Preludes* have middle sections that do not seem to follow a discernible harmonic pattern or progression. All of them have several things in common, including a thin texture of two-part counterpoint along with a broad array of modern techniques, including quartal harmony, pentatonics, and diminished patterns. The combination of these elements creates an “outside of the changes” type of chromaticism seen in the Herbie Hancock example from Chapter 5.

19 Beginning of first B section

*fp*  
*portando*

21

23

Example 14.27, *Prelude I*, B section

In the B section of *Prelude I*, chromatic patterns in the right hand along with walking-bass counterpoint create a jazz context that is supported by syncopated accents. Structurally, there is a similarity to Hancock's solo discussed in chapter 5 in that, despite the quickly changing and far-reaching harmonic exploration, the large-scale structure is reinforced by dominant-tonic cadences that reinforce the balanced 16-bar phrases. This is similar to jazz improvisation in that, however far a player may stray from the harmonic structure, the relationship to the form of the tune is never lost.

The formal analysis of *Prelude VI* in Chapter 12 revealed that successive iterations through the form followed alternating harmonic patterns (see ex. 12.1). There are several ways that this is similar to jazz improvisation in general and "outside" playing in particular. Despite the chromatic details of the figuration, there is a strong underlying structure that is always present. Though there are recognizable harmonic changes, Kapustin uses so many upper structures and chromatic alterations that it takes repeated hearings before the variation structure comes into focus.

Example 14.28, *Prelude XIV*, bars 7-12

*Prelude XIV* was previously described as classically oriented, and this is true from a rhythmic standpoint. Harmonically, the beginning and ending are firmly in E $\flat$  minor and follow a fairly standard progression, though this is obscured by Kapustin's chromatic note choices in the right-hand part (ex. 14.28). Though based on the same thematic material, the middle section is even more chromatic and does not seem to be in a discernible key or follow any recognizable chord progression.

Example 14.29, *Prelude XV*, beginning of B section

The B sections of Preludes *XV* and *XXII* are two more examples with characteristics of “outside” playing. Both start firmly in the tonic with a strong  $I^7$  harmony as in a blues, then take off from there. As discussed in chapter 10, the B section of *Prelude XV* is a very free-form 12-bar blues, so the structure repeats for each iteration of the form. The highly chromatic two-part counterpoint is very similar to the music of many experimental jazz figures, like Ornette Coleman, Miles Davis & Herbie Hancock, and Gerry Mulligan.



Example 14.30, *Prelude XXII*, second B section

The B section of *Prelude XXII* is similar to the B section of *Prelude I*, though the structure is less regular. Whereas the B section of *Prelude I* only has references to A section material in the retransition section, *Prelude XXII* uses A section material in the middle of the B section as well as in the retransition. The first part of the B section continues the toccata figuration, though here it is more like the rhythmic counterpoint of the funk styling discussed earlier (ex. 14.30). After this, the musical material is scored in the same sort of two-part chromatic counterpoint though without the walking bass

patterns in the left hand. The overall effect is very similar and easily classified as another example of “outside” playing.

### Summary

It is obvious that Kapustin has absorbed most of the innovations in jazz in the late 20<sup>th</sup> century and that these techniques have helped shape his compositional style. Though this does not “explain” his music, it does help to account for the modern jazz effect that so many critics have alluded to. The result is music with a rich blend of influences that is both unique and stimulating.

## CHAPTER 15: FUSION, CROSSOVER, AND CATEGORIZATION

Since Kapustin's music is such an interesting blend of classical and jazz influences, deciding how to categorize it can be illuminating rather than limiting. This chapter will examine three possible categories: classical with jazz influences, jazz with classical influences, and a middle ground—crossover. Brief comparisons with the music of other composers will also help to describe Kapustin's approach and to substantiate its uniqueness.

### Classical with Jazz influences

There is a long history of classical composers producing works that are influenced by jazz, beginning early in the twentieth century with Milhaud, Hindemith, Gershwin, and Copland, and continuing to the present day with jazz-inspired pieces by Ligeti, Schuller, William Bolcom, Morton Gould, and Henry Martin, among many others. Kapustin's grasp of a broad array of jazz styles and his skill at integrating them into a structured composition are fundamentally different from the approaches of those who preceded him. A few brief comparisons with short pieces for solo piano by some of these composers will substantiate how Kapustin's music is similar, yet different. The focus of this comparison will be each composer's integration of jazz styles into their compositions.

It is important to remember that some of the most well-known jazz-inspired pieces in classical literature date from the 1920s, the beginning of the jazz era and a time

when “jazz” was both new and somewhat loosely organized around nascent popular and dance-hall entertainments.<sup>38</sup> It was not until the late 1920s and early 1930s that jazz had solidified into a style that would be recognizable today as jazz; therefore, many of these pieces by Hindemith, Milhaud, Gershwin, and Copland feature a limited stylistic frame of reference.

One interesting example that pre-dates the jazz era is Ravel’s *Valses Noble et Sentimentale* from 1911. In this piece, the rhythms are more “music hall” than jazz. The interesting thing about Ravel’s harmonic language in general, and this piece in particular, is that it seems to predate contemporary harmonic practice by about 50 years. Ravel’s harmony is basically diatonic, but all of the chords feature upper structures of 9<sup>th</sup>, 11<sup>th</sup>, and 13<sup>th</sup>, and chromatic alterations of chords. The result sounds very much like jazz harmony, including some interesting uses of diminished chords. It was not really until Bill Evans came on the scene in the late 1950s that this influence became completely absorbed into jazz keyboard style, and this was due to Evans’s familiarity with Ravel’s music and his ability to apply it to his own approach to jazz piano.

Hindemith’s *Suite 1922* Op. 26 is a collection of pieces that explore early twentieth-century dances in much the same way that Bach’s *French Suites* and *English Suites* explored dances of the early eighteenth century. Aside from *Nachtstuck*, the rest are dances: *Marsch*, *Shimmy*, *Boston*, and *Ragtime*. Despite the fact that there are propulsive rhythms drawn from popular dances, there is very little resemblance between

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<sup>38</sup> Stanley V. Kleppinger, “On the Influence of Jazz Rhythm in the Music of Aaron Copland,” *American Music* Vol 21, no. 1 (Spring 2003): 75.

these pieces and typical jazz-era music for dancing. They are highly chromatic, even dissonant, and both harmonically and structurally bear no relation to jazz. As a young man, Hindemith played popular music in restaurants and hotel lobbies, so he knew the style and structure of this music from experience. It is therefore obvious that Hindemith did not intend this music for popular consumption, but rather as “art” music inspired by popular culture, just like Bach’s.

There is some evidence that Gershwin had intended to write a set of Preludes, though only three were published in his lifetime and another four after his death.<sup>39</sup> Even more than Hindemith, Gershwin’s experience as a musician was from the popular side of the musical fence. He spent most of his short life aspiring to enter the ranks of “serious” composers while continuing to produce Broadway and Hollywood musicals. Gershwin’s style is an interesting combination of jazz, Tin Pan Alley, and classical influences. The *Three Preludes*, were composed in 1925-26 and though they are clearly inspired by the syncopated rhythms, added-note chords, and blue notes of jazz, they could not be mistaken for the jazz of the mid to late 1920s. In comparison with recordings and published scores of jazz pianists of the period like Jelly Roll Morton, James. P. Johnson, or Earl Hines, it is apparent that Gershwin was familiar with this music though this influence is more clearly seen in his clever song arrangements. Of all the composers discussed in this section, it is perhaps Gershwin who most closely resembles Kapustin in terms of his ability to create a unique synthesis of jazz style and classical form.

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<sup>39</sup> Beuerman, 64-65.

Copland's *Four Piano Blues* were written between 1926 and 1948 and published in 1948. Much has been written about Copland's interest in jazz and these pieces show the most overt jazz influence in any of his music for solo piano. While jazz-influenced rhythms, harmonies, and chord voicings are evident, there is nothing in their structure that resembles jazz and, perhaps even more importantly, the steady pulse of jazz is entirely absent. These short pieces are full of changing meter and odd time signatures and develop haltingly with repeated overlapping motives and hints at polytonality.

Jumping to the present, Ligeti's post-modern *Études pour piano, Première livre* exhibit broad influences, self-described as ranging from Conlon Noncarrow to African music to Cézanne and mathematics. There are also jazz influences, as noted by Ligeti, "Jazz pianism also played a big role for me, above all the poetry of Thelonious Monk and Bill Evans. The *Étude Arc-en-ciel* is almost a jazz piece."<sup>40</sup> This particular etude sounds like an introspective tribute to Bill Evans. Elsewhere in the *Études*, Ligeti seems to be drawing on the rhythmic vitality of jazz without borrowing directly from any one source. Through their juxtaposition of interlocking rhythmic motives, these pieces achieve a "swing" that is not unlike modern jazz.

As a composer-pianist and theorist specializing in jazz, Henry Martin's stylistic influences are very much in line with Kapustin's. Martin begins his *Preludes & Fugues Part 2* with "A Slow Drag," a combined prelude and fugue in one piece, in the form of a rag. The liner notes of Martin's recording mention "a chordal vocabulary that evokes

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<sup>40</sup> Gyorgy Ligeti, notes to *Gyorgy Ligeti Edition 3: Works for Piano*, Sony Classical, SK 62308, 1996.

Evans, Jarrett, and company” in reference to *Praeludium and Fuga XVII*.<sup>41</sup> The claim that the fugue in this piece sounds like McCoy Tyner is a little difficult to discern. Though the subject has a strongly quartal character, the overall style recalls Hindemith much more than Tyner. Unlike Kapustin’s *Preludes* or his *Preludes and Fugues*, Martin’s set does not contain overt references to a broad array of jazz styles and, consequently, does not give the impression of overtly blending jazz influences with classical form.

This brief tour of classical works influenced by jazz reveals that, though the results are somewhat different than Kapustin’s, there is a striking similarity in the approach of most of these composers: they take the raw materials of jazz and use them to create a fresh approach to classical composition. Though Kapustin is able to capture more of the jazz language in his pieces, his approach is fundamentally the same.

#### Jazz with classical influences

The one important element of jazz that is missing in Kapustin’s work is improvisation. Kapustin has stated that he is a composer, not an improviser, and his compositions corroborate the claim. “...I’m not interested in improvisation—and what is a jazz musician without improvisation? But I’m not interested, because it’s not perfect.”<sup>42</sup> While the compositional impulse may not be substantially different from improvisation, the ways that composers work out ideas in written composition is quite different than what would usually happen in improvisation. In this regard, Kapustin’s music clearly

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<sup>41</sup> Robert Wason, notes to *Henry Martin: Preludes & Fugues, Part Two*, Bridge 9140, 2004.

<sup>42</sup> Martin Anderson, "Nikolai Kapustin, Russian Composer of Classical Jazz," *Fanfare* Sep-Oct 2000: 96.

follows the thoughtfully organized approach that is an inherent part of the classical tradition. Though there are certainly parts of the *Preludes* that sound improvisational, most of the musical language, through its formal design as well as its range of stylistic influences, is dense and tightly constructed in a way that most improvised music rarely is. Even in harmonically progressive modern jazz, a composition is usually nothing more than a musical motive and an interesting harmonic progression comprising only a handful of measures. This is because these compositions are meant as vehicles for improvisation—a well-prepared appetizer, but not the main course. It has been said that though the unstructured techniques of aleatoric music are the exact opposite of tightly controlled serial music, the aural result is often strikingly similar.<sup>43</sup> In the same manner, Kapustin's tightly structured music can often sound improvisational due to his mastery of jazz techniques.

The fact that Kapustin's music is completely notated and uses a broad array of jazz styles places it in a unique category from the start. Other than music for large ensembles (like a big band), jazz composers rarely compose and notate an entire composition. Even in the case of big-band pieces, much thought goes into composing and arranging ensemble material, but there are usually solo sections written into the structure of the piece to highlight the improvisational skills of band members. There are now a growing number of jazz musicians with broad experience in both jazz and classical idioms, and there may well be composer-performers who have written completely notated

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<sup>43</sup> Leonard B. Meyer, *Music, The Arts, and Ideas: Patterns and Predictions in Twentieth Century Culture* (Chicago: The University of Chicago Press, 1967) 283-284.



pieces in a jazz style intended for concert presentation. However, to date, none of them have become championed by well-known classical performers and none have become part of the classical repertoire. Unlike these composers, Kapustin has never really considered himself to be a jazz musician or composer. Though there are now a number of CDs available featuring Kapustin as performer in his own work, it is unlikely that we will see a release of “Kapustin Plays Standards” or anything similar to the improvisational approach of contemporary jazz performers (though there is a recent composition *Paraphrase on Blue Bossa*, which is a standard jazz tune).

It is also interesting to note that jazz composers from the beginning have had interests in “serious” composition. In the early days, jazz musicians like James P. Johnson and Duke Ellington produced composed pieces that did not overtly use jazz style. Similarly, when a contemporary jazz musician like Chick Corea creates a fully composed classically-oriented piece, it likely will sound more like the classical music that has influenced him rather than a jazz-classical fusion.

Just as contemporary classical performers are including jazz transcription pieces in their recitals, some jazz performers are playing and making recordings of classical music. Chick Corea has dabbled in this area, producing recordings of Mozart concertos with improvised cadenzas. Keith Jarrett has developed an extensive discography of recordings from Bach and Handel to the twentieth century—perhaps his most acclaimed classical recording is the Shostakovich *Preludes & Fugues*. The boundaries are blurring from all sides.

### Crossover composers

A final category to consider is that of “crossover” composers. These musicians do not fit neatly into one category or the other because of their stylistic and formal approaches. An early example of this would be the “novelty piano” genre as exemplified by Zez Confrey. Confrey’s well-known *Kitten on the Keys* combines elements of stride piano with clever syncopated patterns. Several of the *Preludes* have endings that are very reminiscent of Confrey’s style and there are a few examples of whole pieces that sound like “Confrey on speed,” particularly the last movement of the *Sonata No. 2*.

Claude Bolling is a good example of a contemporary crossover composer, since his popular chamber suites mixing classical and jazz influences have become part of the standard repertoire in recent years, especially the suites for flute and piano. Even a casual comparison of Bolling’s work with Kapustin’s will demonstrate how much more sophisticated Kapustin’s is. While Bolling’s approach is based on standard harmonic progressions, simple chord voicings, and patchwork construction of motives, Kapustin integrates jazz devices with developmental classical compositional techniques combined with an advanced harmonic palette.

Bolling’s suite *Jazz à la française* illuminates the differences of approach between Bolling and Kapustin. This seven-movement suite for jazz trio was published in 1984 and consists of notated parts for piano, bass, and drums—clearly a typical jazz piano trio functioning within the confines of a fully notated score. Though almost all of the score is notated, there are a few sections with “improv choruses” in the piano part. References to Baroque music are apparent in many places, especially in *Bach to Swing*.

Influences from Bolling's France as well as South America come to the fore in *À la Française* and *Blue Kiss from Brazil*. There is also a tribute to Erroll Garner in *Garnerama*. This invocation of Garner's style is a good point of comparison since there are also examples of Garner's style in the Kapustin's *Preludes*.

Bolling devotes a whole piece as a tribute to Garner and does a good job of recalling the trademarks of Garner's style. Though some of Kapustin's *Preludes* use song form, none of them spell out chord changes as Bolling does here. The piece is constructed around nine iterations of an eight measure phrase (the final variation is just seven measures long), each time varying the musical content while keeping the harmony constant, as one would expect in a song form. Bolling also makes these phrases clear by placing score markings at the beginning of each section, with letter markers from A to I. Bolling creates harmonic variety by inserting a variation of the progression in sections C and G. This would seem at first to be asymmetrical, but actually it places the variations in equal proportion to the whole:

A	B	C	D	E	F	G	H	I
1	2	3	4	5	4	3	2	1

The sections that use different harmony are third from the beginning and third from the end, creating an arch form. The E section in the middle is distinguished by right-hand arpeggiation in 32<sup>nd</sup> notes throughout—the fastest note values in the piece and most homogeneous rhythm of any section.

Despite the interesting use of a standard form and effective realization of Garner's style, this piece lacks sophistication in its overall musical language. Though there is a

great deal of rhythmic variety, it is all straightforward and unimaginative. Though the harmonic progression is interesting and avoids I-vi-ii-V-I, there is little variety in scoring and most of the left-hand chord voicings are the same from one variation to the next. And then there are the chord voicings themselves, which consist of simple stacked thirds—something Kapustin almost never does. The right-hand figuration also rarely includes anything other than chord tones and simple passing tones, so a distinctive melody or melodic ornamentation never emerges.

In contrast, Kapustin generally only includes brief references to Garner's style in the *Preludes*, and this is typical of Kapustin's approach—it is densely constructed with quick changes of style contained within a single piece. The most extended allusion to Garner is in *Prelude No. 4* in E minor and here we see another difference of approach. Instead of trying to recreate Garner's style as a whole, Kapustin takes aspects of it and uses them to create something new. The two things that come immediately to mind when thinking of Garner's style are strumming left-hand chords and syncopated accents from the bass end of the keyboard. Kapustin takes these two elements and adds other jazz techniques like chords voiced in fourths and harmonic anticipation, and the result reminds us of Garner without Kapustin doing a "Garner imitation," which is what the Bolling piece is like. Though Bolling's tribute to Garner captures his style and is enjoyable, it is not an artistic accomplishment in the same way that Kapustin's is.

## Summary

Though the divisions between serious and popular music, and between classical and jazz, are growing smaller, there are often fundamental differences in method that still render them separate genres. These differences can illuminate the backgrounds and technical approaches as much as describe the musical outcomes without implying value judgments. It is apparent that, in the cultural climate of the early twenty-first century, the distinctions between “serious” and “popular” music have begun to erode and the contributions of Kapustin are contributing to this trend in important and interesting ways.

## CHAPTER 16: SUMMARY AND CONCLUSION

Even the most casual listener can detect that the music of Nikolai Kapustin is a blend of classical elements of form and jazz elements of rhythm and harmony. The articles about Kapustin that have appeared in Western music magazines over the last several years have all commented on this blend of influences, as well as his mastery of jazz style and idiomatic writing for piano. This analysis has presented detailed information on the formal elements that Kapustin inherits from classical music, including the myriad ways that he develops thematic material to create complex forms. Kapustin's musical language includes stylistic elements of jazz from every era. The analysis of many of the stylistic techniques of great jazz artists in Chapters 4 and 5 were directly compared with examples from *The Preludes* in Chapters 13 and 14, identifying the sources of jazz elements within the context of *The Preludes*.

Though he has lived his whole life in Russia, Kapustin fell in love with American jazz while in his teens and began combining elements of jazz style with classical form from his earliest days as a composer. His large output for the piano betrays the influences of the major classical composers for the instrument, and the forms that he chooses—sonatas, preludes, etudes, etc.—clearly show the influence of composers from Bach to Rachmaninov. The *Twenty-Four Preludes*, Op. 53, are clearly influenced by Chopin and Scriabin in their organization around the circle of fifths, as well as their brevity and idiomatic writing for the piano.

By examining ways that Beethoven, Liszt, Scriabin, and Rachmaninov develop thematic material, it is clear that Kapustin's manner of developing themes in a composition relies heavily on the same techniques. Though *The Preludes* is a collection of short forms, there is a great deal of variety in the ways that Kapustin structures these pieces, with examples of ternary, rondo, song, and monothematic forms.

Kapustin's use of jazz style is influenced by artists ranging from Thomas "Fats" Waller to Chick Corea. Specific harmonic techniques like substitution chords and sophisticated added-note chord voicings partially account for the jazz styling in *The Preludes*. Kapustin's approach is more often than not based on modern jazz practices like quartal voicings. Though there are older stylistic elements like stride, boogie-woogie, and allusions to Zez Confrey, Fats Waller, and Erroll Garner, more than half of the *Preludes* use straight-eighths rock style rhythm instead of swing-based rhythm. When Kapustin does use swing rhythm, it is more often than not notated with dotted-eighths and sixteenths.

Elements of jazz style are apparent in the work of many composers and Kapustin's compositions clearly belong in this category of classical composition influenced by jazz. Despite this classification, Kapustin alone has taken the language of jazz, complete with its idiomatic approach to rhythm and harmony as well as the stylistic markers of its important artists, and crafted a body of work that is unique in the ways that these two influences are integrated. The formal aspects of organization, including thematic development and form, are modeled after classical composition while the source of thematic content relies on jazz styles. It is unlike jazz in that it is completely composed

and notated without improvisation, and it contains little of the repetition of form and harmony found in most jazz.

In order to substantiate Kapustin's use of specific techniques, most of this analysis isolated their use as discrete elements. While this seemed necessary for clarity, the strength of Kapustin's work lies not in the ways that individual elements can be traced throughout the work, but by the integration of all of these elements into a unified whole. The best way to experience this integration is by listening. It is the author's hope that this study will help performers and informed listeners reach a deeper appreciation for Kapustin's accomplishment.



## APPENDIX: PERMISSIONS

I would like to acknowledge kind permission to use extensive examples from Kapustin's *Twenty-Four Preludes*, Op. 53 granted by Tim Gill at Music Trading Co. Ltd. Also, permission for examples 5.1, 5.7, and 5.8, the Chick Corea and Herbie Hancock transcriptions, provided by Advance Music.

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New Grove Online at <<http://www.oxfordmusiconline.com>>.

Youtube listings for Kapustin at  
<[http://www.youtube.com/results?search\\_type=&search\\_query=kapustin&aq=f](http://www.youtube.com/results?search_type=&search_query=kapustin&aq=f)>.