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PRINCIPLES OF TONAL AND DRAMATIC ORGANIZATION
IN VERDI'S FALSTAFF.

City University of New York, Ph.D., 1976
Music

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PRINCIPLES OF TONAL AND DRAMATIC
ORGANIZATION IN VERDI'S
FALSTAFF

by
DANIEL SABBETH

A dissertation submitted to the Graduate
Faculty in Music in partial fulfillment of the
requirements for the degree of Doctor of
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1976

This manuscript has been read and accepted by the Graduate Faculty
in Music in satisfaction of the dissertation requirement for the
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my view of the libretto in its relationship to the tonal structure.

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While I am deeply indebted to all those mentioned for their help, I alone must claim total responsibility for any mistakes or misreadings which may remain in the text.

* * *

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¹Carlo Gatti, Verdi nelle immagini (Milan: Garzanti, 1941), p. 187.

I appreciate the kindness of the Carrara-Verdi family in allowing me to study the libretto draft at San Agata. Thanks are also due to the Biblioteca del Conservatorio "Giuseppe Verdi" in Milan for allowing me to study the page proofs of the first piano-vocal score.

I would like to thank Ms. Mary E. Ryan of W.W. Norton, Inc. for allowing me to reproduce William Weaver's excellent translations of Falstaff.¹ This accurate yet poetic work has been an enormous asset in a study which must attempt to convey to the English-speaking reader the full flavor and meaning of an Italian text.

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¹Giuseppe Verdi, Seven Verdi Librettos, trans. William Weaver (New York: W.W. Norton, 1975), pp. 528-629.

A NOTE ON THE TEXT

The use of a piano-vocal score in an analytic project requires justification.¹ In order to facilitate performance, the editor of such a score is likely to change octave registrations, and even omit notes which have important chordal functions. In the case of Falstaff, however, the analyst is fortunate. A set of page proofs for the first piano-vocal score was annotated and carefully corrected by the composer.² Many octave registrations were changed in order that the "lowest" bass retain its integrity throughout. Additionally, omitted chord members were inserted. Comparison of the page proofs with the autograph facsimile indicates that the piano-vocal score is entirely adequate for a study of tonal motion in Falstaff.³

¹Giuseppe Verdi, Falstaff, Commedia lirica in tre atti (Milan: G. Ricordi & Co., 1893). Piano-vocal score, plate No.96000.

²See Guglielmo Barblan, Un prezioso spartito del Falstaff (Milan: Edizioni della Scala, 1957). For a list of Verdi's revisions made after the premiere, and for further references, see: Martin Chusid, A Catalogue of Verdi's Operas (Hackensack, N.J.: Joseph Boonin, Inc., 1974), pp. 66-70.

³My own study of the page proofs (at the Biblioteca del Conservatorio "Giuseppe Verdi" in Milan) has convinced me that Verdi, in examining the proofs, insisted that the "lowest" bass be maintained, and that chords be complete. The autograph facsimile was issued by Ricordi (Milan [1951]) in a limited edition. For library locations of the facsimile, see: Chusid, Catalog, p. 68. I have confirmed the integrity of the libretto text by a study of Boito's autograph (located at San Agata) and an examination of early libretti (located in Parma at the Biblioteca del Conservatorio "Arrigo Boito"). One such libretto, containing the blind stamp "12/1895," contains the entire text as it is known today. From this we can conclude that all of Verdi's revisions were made before this date.

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TABLE OF ABBREVIATIONS

I. Characters

A	Alice	Fo	Ford
B	Bardolpho	M	Meg
C	Cajus	N	Nannetta
F	Falstaff	P	Pistola
Fe	Fenton	Q	Quickly

II. Portions of the opera

Act, part and tonal-dramatic unit

I, ii u6 for: Act I, part ii, unit 6.

Portions of tonal-dramatic units

Ext	Extension
Intro	Introduction
PrS	Principal Section

Reference to specific measure numbers

4/IV,2 for: Page 4, system 4, measure 2

Reference is normally made to the first complete measure of the segment under discussion. However, if more than 50% of a measure exists in a reference, this measure number may locate the beginning of an example.

III. Analytic Terminology¹

Em	Embellishing chord	1/2	motion by a semitone
M	Mode mixture	3d	motion by a third
n	neighbor chord	+	major mode
p	passing chord	-	minor mode
v. l.	voice-leading chord		

¹My symbols are adapted from: "A glossary of the Elements of Graphic Analysis," The Music Forum 1 (1967): 260-68. A comprehensive discussion of analytic concepts appears in: Felix Salzer, Structural Hearing 2 vols. (New York: Dover Publications, 1962), vol. 1.

CHAPTER I

INTRODUCTION

A. Introduction

Verdi's really "last work" is Falstaff, performed for the first time on February 9, 1893, the most astounding creation of old age that exists.¹

After explaining that the Quattro Pezzi Sacri² are really an epilogue, that the comic opera Un Giorno di Regno³, being "the work of a twenty-year old boy, does not count," and that the comic scenes in La Forza del Destino are not really funny, Alfred Einstein encapsulates one aspect of the importance of Verdi's Opus Ultimum:

In no other of Verdi's operas does one find even the slightest inclination towards humor. And now the old master writes a work that gives his whole past the lie, so to speak, an opera buffa raised to the nth power, the sublime example of its kind.⁴

Richard Strauss has called Falstaff "one of the greatest master works of all time."⁵ Certainly, one reason must lie in the "unity

¹ Alfred Einstein, "Opus Ultimum," in Essays on Music (New York: W.W. Norton, 1956), p. 86.

² These were completed in 1898.

³ First Performed September 5, 1840.

⁴ Einstein, Essays, p. 87.

⁵ Quoted in Ernest Krause, Richard Strauss: The Man and His Work, trans. ed. (Boston: Crescendo, 1969), p. 97.

between text and music. . . which has certainly never been surpassed in the annals of opera."¹

This "unity" is partially the result of Verdi's final elimination of the set number as a succession of musical events.² These "arias, cabalettas, duets and ensembles," according to Massimo Mila, had been "elaborate but static oases of lyric expansion." Eliminating these "oases," Verdi was able to choose more flexible text settings which would both avoid "pre-established schemes" and "model themselves obediently to the thrust of the dramatic growth."³

I believe that the secret of Verdi's "greatest and most paradoxical masterpiece"⁴ lies not only in its sublime qualities as an opera buffa, or in its close wedding of music to text; other operas have accomplished those feats. For me the greatness of Falstaff is in its supple imitation of the ebb and flow of human emotions:

The opera is neither a domestic comedy nor a dramatized fairy tale, but a mirror of the human universe with its interchangeable dreams and realities. In this sense Falstaff is Verdi's most realistic opera.⁵

¹Francis Toye, Giuseppe Verdi: His Life and Works (London: William Heinmann, 1931), p. 207. Donald J. Grout cites the "absolute oneness of text and music" as the key to Falstaff's splendor. See his A Short History of Opera, 2nd ed. 2 vols. (New York and London: Columbia University Press, 1965), 1:373.

²Gerald Abraham, A Hundred Years of Music, 3rd ed. (Chicago: Aldine, 1964), p. 186.

³Massimo Mila, Giuseppe Verdi (Bari: Editore Laterza, 1958), p. 271. Joseph Kerman notes, in Falstaff, a "dramatic sensitivity...more subtle than had existed before." See his Opera as Drama (New York: Vintage Books, 1956), p. 167.

⁴Kerman, Opera, p. 167.

⁵Frits Noske, "Ritual Scenes in Verdi's Operas," Music and Letters 54(1973): 439.

Two questions result from Falstaff's realism, precise word settings, and abandonment of the set number:

How do the text (libretto) and music depict the "human universe" of "interchangeable dreams and realities?"

What organizing principles does Verdi use to replace the former set numbers.

I propose to answer these by using two twentieth-century procedures: psychoanalytic interpretation, and tonal analytic techniques derived from the linear concepts of Schenker.¹ Both, and especially their interrelationships, are essential for a comprehensive understanding of the inner coherence of Falstaff.

Because the underlying dramatic order is based on inner events which Verdi and Boito sensed, psychoanalytic interpretation is useful: explaining the unconscious emotional forces that create drive and coherence in literature as well as in life, it helps us to understand the libretto as a "mirror of the human universe."

The underlying dramatic order of Falstaff is given organic meaning through the treatment of musical unities. These are based on a tonal plan. Linear analysis helps us hear the opera's large-scale motions between a series of inter-related tonal goals. The graphic technique of linear analysis enables us to represent the concept of musical motion and achieve a clarification of tonal unities. These can then be compared to the underlying dramatic order.

¹ The use of Schenkerian techniques is a partial one, specifically adapted for the purpose of relating tonality to drama. My use of the bass graph, rather than a complete voice-leading graph, will be explained later in this chapter.

In order to clarify the inner coherence of Falstaff, I will present separate discussions of the libretto (Chapter II) and the tonal organization (Chapters III and IV). Successive stages of tonal abstraction will be made. I will then discuss the relationship of tonality to drama that makes Falstaff Verdi's "most realistic opera" (Chapter V). But first let us examine my choice of analytic techniques.

B. Psychoanalysis and Literature

Joseph Kerman has given Boito great credit for "the unparalleled dramatic unity of Otello and Falstaff."¹ It has long been recognized that the text for Falstaff is not merely an adaptation of The Merry Wives of Windsor, which incorporates elements from Henry IV, parts I and II, and Henry V; rather, it is "to a certain extent. . . a new play,"² with many resemblances to The Tempest.³

Assuming a great work is unified, literary critics often direct themselves toward achieving a conscious understanding of the way in which themes relate logically to each another. Northrop Frye has stated: "The primary understanding of any work of literature has to be based on an assumption of its unity."⁴

A study of themes in Falstaff would reveal connections between Cajas's inability to get retribution, Falstaff's failure to obtain both

¹Kerman, Opera, p. 166.

²Edward T. Cone, "The Old Man's Toys: Verdi's Last Operas," Perspectives USA 6 (1954): 126.

³Ibid, p. 133.

⁴"Literary Criticism" in The Aims and Methods of Scholarship in Modern Languages and Literatures, Ed. James Thorpe (New York: Modern Language Association of America, 1963), p. -63.

Ford's wealth and Alice's love, and Ford's unfulfilled wish to have his daughter marry Cajus. This study might then show that Cajus, Ford, and Falstaff give up their inachievable desires.

The unifying theme might be stated as: "Moderate your desires. You'll get along with your companions if you give up what you can't have anyway." Temperance is rewarded and the greatest reward goes to those who are most accepting of each other, Nannetta and Fenton; they marry.

Along with the psychoanalytic literary critics, I believe that such a conscious meaning is valid only at one somewhat superficial level of analysis. Marie Bonaparte writes:

...though, on the surface, a literary work related a manifestly coherent story, intertwined with it and, simultaneously, another and secret story is being told which, in fact, is the basic theme. Though...the manifest tale obeys the rules of logic, this deeper current is subject to other laws.¹

In order to describe our emotional, gut, reactions to literature-- those which compel us to hold on to a novel into the late hours of the night--we must begin to speak in psychological terms. We read because we are "compelled," "gripped," "excited," "taken in," or "drawn."

"The greatest fiction," writes Simon O. Lesser, "occupies and rewards the entire psyche."² Psychoanalysis helps us understand these rewards, it:

...unlike other psychologies, but like Sophocles and Shakespeare, Tolstoy and Dostoyevsky, Melville and Hawthorne... has concerned itself with the surging non-rational forces

¹"Poe and the Function of Literature," in William Phillips ed., Art and Psychoanalysis (Cleveland: Meridian, 1963), p. 71.

²Fiction and the Unconscious (Boston: Beacon Press, 1957), p. 301.

which play so large a part in determining our destiny as well as the part of our being which tries, often in vain, to control and direct them. It offers us a systematic and well-validated body of knowledge about those forces.¹

The systematic explanation of unconscious thought processes provided by psychoanalytic theory is well suited to aid our understanding of the deepest ways in which we respond to literature.

Psychoanalysts believe that literature "expresses and disguises childhood fantasies."² These child-like thought processes are not all relinquished when we reach maturity. Some are retained, and, though buried deep within the unconscious, they motivate us throughout our lives.³ When we experience literature, we derive pleasure from its fantasy content as well as its plot. "Fantasy gives force to conscious meaning."⁴ The unconscious content of a literary work reminds us of similar unconscious wishes and drives of our own.⁵

Perhaps the most comprehensive study of the permeation of adult life by childhood fantasy is Freud's pioneering The Interpretation of Dreams (1900).⁶ In this work Freud has shown that in dreaming we

¹Ibid., p. 15.

²Norman N. Holland, The Dynamics of Literary Response (New York: Oxford University Press, 1968), p. 52.

³Lesser, Fiction and Unconscious, p. 23.

⁴Holland, Dynamics, p. 30.

⁵Ibid., p. 52.

⁶Reprinted in The Standard Edition of the Complete Works of Sigmund Freud (trans. by James Strachey, Anna Freud, Alix Strachey, and Alan Tyson), ed. James Strachey 24 vols. (London: Hogarth Press, 1957-), Vol. V.

relinquish our repressions and return to the fantasy-like thinking of a child. The reader's experience is similar, "In effect the literary work dreams a dream for us. It embodies and evokes in us a central fantasy."¹

Professor Holland points out that it is the transformation of primitive, unconscious wishes into the coherent structure of a literary work that brings pleasure to the reader. Because the sequence of events that depict a fantasy is controlled, the fantasy is made meaningful to our intellects. Therefore, we allow ourselves to become involved in the aesthetic experience.²

In Chapter II, I will explicate both Falstaff's central fantasy and the transformation of this fantasy into a symmetrical, logical shape.

C. Drama and Tonality: The use of linear analysis

While a psychoanalytic interpretation of Falstaff reveals a central fantasy content to which a reader may respond emotionally, comprehension of a musical drama cannot rely on the libretto alone:

In any opera, we may find that the musical and verbal messages seem to reinforce or to contradict each other, but whether the one or the other, we must always rely on the music as our guide toward an understanding of the composer's conception of the text.³

Schenkerian linear analysis helps us to hear the background tonal unities that create coherence in music. While the psychoanalytic

¹Holland, Dynamics, p. 75.

²Ibid., pp. 30, 114.

³Cone, "The Old Man's Toys," p. 130.

critic demonstrates that superficially unrelated plot events may represent similar emotional situations, the music analyst is able to show that different foregrounds can exist against similar backgrounds.

After the large-scale tonal coherence of Falstaff is demonstrated, isomorphic relationships between tonal areas and dramatic situations can be clarified. Frequently, we will see that individual keys acquire their own dramatic functions. However, because each tonal center functions within a linear context, the directed motion that creates these centers is also important in communicating the drama. There are even occasions in which tonal centers appear because of their linear context alone. Here, the clarification of tonal motion provided by linear analysis is especially valuable.

The Tonal-Dramatic Unit

Verdi's late style has been called "a fragmentary one," because of the elimination of the set number.¹ Yet this construction has not been abandoned in order to leave indeterminate shapes in its place. There remains a view of dramatically complete units unified by tonality.

The tonal-dramatic unit in Falstaff depicts a distinct dramatic event and contains a strong terminal cadence. Normally it contains one structural tonicization, a foreground-level event in the tonal plan of the opera.²

¹Abraham, A Hundred Years, p. 186.

²The concepts, "foreground," "middleground," and "background," are, of course, derived from Schenker's successive stages of abstraction of the essential voice-leading features of a tonal structure. As I do not deal with voice-leading, but only with broad tonal motion, these terms are not used in their original sense. Rather, they represent successive stages of abstraction of the broad path taken within the tonality. They do not have a voice-leading function. For an explanation of analytic terms and symbols, see: The Music Forum 1 (1967): 260-265.

Frequently these units are clarified by dramatic content and tonal structure alone. Thus, they may differ from the aria, normally unified by both tonality and thematic design.¹ Because Verdi frequently eliminates design as a unification device, we must look to his tonal divisions alone in order to understand his procedure for creating articulations in the drama. The tonal-dramatic unit, therefore, is a development within an operatic tradition that adheres to closed tonal boundaries for dramatic and musical coherence.

While dividing Verdi's earlier work into tonal-dramatic units would perhaps be interesting, such a division is essential only for Falstaff. Even in Otello (1883) there are still scena divisions. These are guides to musical and dramatic articulations. In Falstaff, the only division is that of the three acts, each of these comprising two parts. Without the tonal-dramatic unit, or a similar articulative device, the interior of each part is continuous. Significantly, Boito indicated scene in the libretto; Verdi omitted them in the score.²

Yet we know that Verdi did not intend for us to hear Falstaff as a continuous work. His concept of cadence is based on the frequent deliberate creation of clearly audible terminal points. These normally follow an extended tonicization which conforms to a dramatically coherent segment of the opera. Such terminal cadences, along with

¹For a division of Wagnerian opera into units based largely on dramatic content and thematic design, see: Alfred Lorenz, Das Geheimnis der Form bei Richard Wagner, 4 vols. (Berlin: Max Hesses Verlag, 1924-33).

²These scena divisions appear in the libretto draft at San Agata. They will be indicated and correlated with the presentation of tonal dramatic units (Chapter III).

Boito's scena divisions, have been valuable in pointing out the boundaries of individual units. Thus, the evidence for a division of the opera into tonal dramatic units of some sort exists--both in Boito's libretto, and in Verdi's procedure of musical articulation.

In Chapter III, I will sift the manifold tonicizations of Falstaff into the higher-level divisions of tonal-dramatic units. For each such unit, I will outline the plot content in order to show the unit's dramatic function. I also will provide a tonal sketch, so that the foreground level of tonal structure may be correlated with the plot-level development of the drama. This procedure will clarify the close relationship between dramatic and musical divisions.

The boundaries of many units are obvious; these units contain one significant dramatic activity, and are tonally closed. Other units, even though they too contain one significant dramatic event, are open. These may contain questions of ambiguity or arbitrariness in their spatial definitions. Here, determination of the boundaries is based on any one or more of three operative factors:

- 1) One of several tonal centers is established more strongly than the others. It may be either a stable point from which departure occurs or a point of arrival following directed motion from other centers.
- 2) The subordinate tonal centers have a clear transitional function; they normally represent areas of dramatic flux relative to their more stable surroundings.
- 3) Occasionally all tonal centers within the unit are of equal importance: they convey a series of intimately bound stages of a single dramatic activity.

While any division of the opera is subjective, the procedure outlined above is of great value in relating tonality to drama.

Large-Scale Organization of Tonal Motion

Verdi was able to give up the formal devices of the aria and number, and to group together more flexibly constructed units in their place, because he took advantage of the powerful binding force of large-scale tonal organization. If we consider the tonicizations of individual units to be foreground-level events, the linear motion that creates coherence within each of the opera's six parts may be considered the middleground.

The background tonal plan governs the inter-relationship of the six parts. It consists of the few large-scale motions that determine the placement of all tonicizations. After we have exposed the background plan (Chapter IV), we will compare the broad tonal gestures in Falstaff with the unravelling of its drama (Chapter V).

The Bass Graph

My approach is not purely Schenkerian, for I rely chiefly on the bass graph as an analytic device. In doing so, I follow David Lawton, who has brilliantly delineated tonal unification procedures in Verdi's early operas.¹

The progress of the bass, because of the unique function of the lowest voice, is in itself able to outline the direction of tonal motion. As the problem toward which I have directed myself is the large-scale tonal organization of Falstaff and its relation to the drama, the bass graph will offer valuable insights in terms of the path taken within the tonality.

¹See: "Tonality and Drama in Verdi's Early Operas" (Ph.D. dissertation, University of California at Berkeley, 1973), Chapters II and IV.

While a pure Schenkerian approach would deal with voice-leading features in great detail, I do not. Therefore I shall not provide a rigorous study of tonal style. However, some remarks on this important subject, drawn from observations made throughout the dissertation, will be brought together in my summary chapter.

CHAPTER II

DRAMATIC UNITY

Introduction

Falstaff deals with deceit, jealous rage, thievery and attempted adultery. The participants disguise themselves as they come to trap one another by their various weaknesses.

In this opera desires are more often thwarted than fulfilled; frustration is both frequent and great. Falstaff never manages to seduce his heroine; Ford never sees his daughter married to Dr. Cajus, the man of his choice. The concerns and disappointments of the characters in Verdi's last opera seem to be no joking matter.

Yet, Falstaff succeeds splendidly as a comedy: its dramatic truthfulness is usually considered even greater than that of Verdi's earlier works. What is it that makes Falstaff into a splendid "Latin lyric comedy"¹ rather than a slapstick farce or ineffective tragedy? What are we to make of this intriguing opera in which we sense ourselves experiencing meaningful drama as we laugh at Dr. Cajus, unable to get the restitution he seeks, at Ford, on the verge of being cuckolded, and at Falstaff, mercilessly tempted and tortured by almost everyone? The answer lies in the dramatic world

¹Boito, in a letter to Bellaigue dated "Jeudi, Milano" (1894). A photocopy of this is in the Verdi Institute archives.

in which the characters in Falstaff enact their intrigues.

Falstaff: The Central Dramatic Figure

The dramatic world of the opera centers on Falstaff, his life-style, his intrigues, and the attempts of others to get even with him. Falstaff is initially presented as a rogue; Cajus justly accuses him:

C: Hai fiaccata la mia giumenta baia	You've worn out my bay mare,
Sforzata la mia casa.	Broken into my house.
	(3/I, 2ff,) ¹

Falstaff does not deny these acts in his clarification to the doctor:

F: Ma non la tua massaia	But not your housekeeper.
--------------------------	---------------------------

When Dr. Cajus tells Falstaff that even if the knight were twenty times as large as he actually is he would be forced to respond to these charges, Falstaff, somewhat like a king pronouncing judgment, hands down his words of advice:

F: (<u>con flemma</u>)	(<u>with indifference</u>)
Ecco la mia risposta:	Here is my answer:
"Ho fatto ciò ch'hai detto."	"I did what you have said."
C: E poi?	And then?
F: L'ho fatto apposta.	I did it purposely.
C: (<u>gridando</u>)	(<u>shouting</u>)
M'appellerò al Consiglio Real.	I'll appeal to the Royal Council.

¹Musical and text references are to the Ricordi piano-vocal score (Milan: 1944). Page, brace and measure are given where necessary. Thus 3/I, 2 indicates page 3/brace I, measure 2. The pagination in the Schirmer (New York: 1963) and the Kalmus (Huntington: 1968) piano-vocal scores is identical.

<p>F: Vatti con Dio. Sta zitto O avrai le beffe; Quest'è il consiglio mio.</p>	<p>Go with God. Be quiet Or you'll have taunts; This is my counsel. (4/III, 2ff.).</p>
--	--

Later on, after Dr. Cajus has unsuccessfully attempted to exact requital from Bardolpho and Pistolà, Falstaff, now like a teacher giving advice and a judge dismissing a case, tells the doctor that his charges have all been without substance. With resignation, Cajus shows that he has learned his lesson:

<p>F: (al Dr. Cajus) L'odi? Se ti capaciti, Del ver tu sei sicuro. I fatti son negati. Vattene in pace.</p>	<p>You hear him? If you grasp that, You're sure of the truth. The deeds are denied. Go off in peace.</p>
<p>C: Giuro che se mai M'ubriaco ancora all'osteria Sarà fra gente onesta, Sobria, civile e pia. (<u>esce dalla porta a sinistra</u>)</p>	<p>I swear that if ever I get drunk again at the tavern It will be amid honest, Sober, civil and devout people. (<u>exits through the door at left</u>)</p>

As the Dr. Cajus episode concludes, Falstaff's attention turns towards Bardolpho and Pistolà. He instructs them now not to sing their "Amen" to the doctor's exit and gives them advice on how to conduct future escapades:

<p>Cessi l'antifona La urlate in contrattempo L'arte sta in questa massima: "Rubar con garbo e a tempo." Siete dei rozzi artisti.</p>	<p>Stop the antiphon. You're shouting it in the wrong time. Art lies in this rule: "To steal with grace and rhythm." You're crude artists. (16/III, 1 ff).</p>
---	--

Like a father controlling an impulsive child, Falstaff restrains Pistolà from throwing himself on Cajus. Moreover, it seems that Falstaff--like a mother--has been supporting his sidekicks in both food and drink for some time. Angry with his dependents, he says:

Son trent'anni che abbevero	For thirty years I've been soaking
Quel fungo porporino!	That purplish mushroom!
(a Bardolfo)	(to Bardolpho)
Costi troppo...	You cost too much...
(a Pistolo)	(to Pistola)
E tu pure	And you too.
	(21/III, 1ff.)

Thus, although Falstaff is initially a rogue, he is also a man of power and authority. As an excellent manipulator, he prevents Cajus from obtaining retribution. Feeding and protecting Bardolpho and Pistola, he is a parent-figure as well.

* * *

Falstaff's stature soon diminishes.¹ In their revenge against his attempts at seduction, the women of Windsor treat Falstaff like a mischievous child. Their reprisal, full of trickery, is more playful than serious:

N: Se ordisci una burla	If you plan a jest
Vo' anch'io la mia parte.	I want also my share.
... il gioco riesca	... the game will succeed.
	(pp. 105 ff).
A: Dobbiam gabbarlo.	We must mock him
	(p. 60/I,1)
M: Ma certo si spappola	But surely that monster
Quel mostro a un tuo cenno	Will be reduced to pulp at your signal
E corre alla trappola	And will run to the trap
E perde il suo senno	And lose his senses.
	(p. 106 ff)
N: Lo tufferem nell'acqua.	We'll plunge him into the water.
A: Lo arrostiremo al fuoco.	We'll roast him on the fire.

¹For a more complete discussion of Falstaff's changing identity (in *Henry IV*), see: Norman N. Holland *The Shakespearean Imagination* (1964: rpt. Bloomington, Indiana University Press, 1968) pp. 109ff.

Because Falstaff has difficulty in distinguishing between his own wishes and reality, he is similar to a child at the earliest stage of emotional development. Freud has stated:

An infant at the breast does not as yet distinguish his ego from the external world as the source of the sensations flowing in upon him.¹

Or, in the words of Margaret Mahler:

...the infant behaves and functions as though he and his mother were an omnipotent system - a dual unity within one common boundary.²

Like a new-born child, Falstaff feels omnipotent. He assumes that Bardolpho and Pistola will do whatever he asks, and that Meg and Alice love him--all this because he wishes it were so. An infant need merely feel hungry; magically, food appears. Falstaff expects the same treatment.

Falstaff's behavior and attitudes, then, remind us of our own infancy. Psychoanalysts call this earliest period of emotional life the oral phase of development. At this time, the infant passively experiences the world with his mouth. He can do almost nothing for himself and is completely dependent on a nurturing mother for both survival and comfort. His sole concern is that his needs be met and his most overwhelming need is to be fed.

Falstaff's exaggerated need for food, his insatiable appetite, is symbolized by his stomach. In fact, it is because Falstaff cannot

¹Civilization and its Discontents, trans. and ed. James Strachey (New York: W. W. Norton, 1962), pp. 13-14.

²On Human Symbiosis and the Vicissitudes of Individuation (New York: International Universities Press, 1968), 1: 8.

pay his tavern bill that he devises a scheme which sets the whole drama in motion. Food is so important for Falstaff, for, as he says, without it he is nothing. He equates his stomach with his identity:

<p>F: Se Falstaff s'assotiglia Non è più lui Nessun più l'ama; in quest'addome C'e un migliaio di lingue Che annunciano il mio nome!</p>	<p>If Falstaff grows thin He is no longer himself, No one loves him any <i>more</i>; in this paunch There are a thousand tongues That announce my name! (pp. 22-23)</p>
--	--

For Falstaff, as for an infant, having his hunger satisfied re-stores his self-esteem. Otto Fenichel has written:

The first supply of gratification from the external world, the supply of nourishment, is simultaneously the first regulator of self-regard.¹

And also:

The infant's primitive interest in the external world is in any case solely and entirely due to the circumstance that the external world is a source of gratification for it. This interest is first determined by hunger, later by the other erotogenic zones.²

When Falstaff is tricked by the women, he is rendered helpless and immobile. Stuffed in the laundry basket, he can do little but passively participate in their activities. Indeed, Falstaff's experience resembles the daily life of a newborn child: he is covered up, kept warm, carried around, taken outdoors, and bathed in the river. He describes the ordeal:

¹Collected Papers of Otto Fenichel: Second Series
 (New York: W. W. Norton, 1954), p. 36.

²Ibid., p. 38.

F: Ho ancor l'ossa arrembate D'esser rimasto curvo, Come una buona lama Di Bilbao, nello spazio D'un panierin di dama! Con quel tufo! E quel caldo!	I still have aching bones From having remained curved Like a good blade From Bilbao, in the space Of a lady's basket! With that stuffiness! And that heat!
... Poi, quando fui ben cotto, Rovente, incandescente, M'han tuffato nell'acqua.	... Then, when I was well roasted, Searing, incandescent, They plunged me into the water. (pp. 305-307).

The imagery of the plots directed against Falstaff abound in references to orality.¹ When the women plan to trick Falstaff, they use images of food and eating. They refer to baiting him (p.65), tearing him to pieces with their tongues (p.64), and watching his belly burst (pp.122-124). The men also know Falstaff best by his stomach. They call him a Paffuto plenilunio ("Plump full moon," pp.107-108) and a Dannato epicureo ("Damned epicurean," p.185).

Although Falstaff most typically acts like an infant at the oral stage, there are other child-like qualities to his behavior. When the fat fellow initially meets Alice, we can only pity him for the naivete of his opening comments:

F: Ma dirò tosto Un mio pensier colpevole.	But I will say at once A guilty thought of mine.
A: Cioè?	Namely?
F: Cioè; vorrei che Mastro Ford Passasse a miglior vita...	Namely: I'd like Master Ford To pass on to a better life...
A: Perché?	Why?
F: Perché? Lo chiedi? Saresti la mia Lady E Falstaff il tuo Lord!	Why, you ask? You would be my Lady, And Falstaff, your Lord!

¹See Glossary.

plot to seduce Alice, his designs on Ford's assets were discussed even before his feelings for Alice:

- | | | |
|----|--|---|
| F: | V'è noto un tal, qui del paese
Ch'ha nome Ford? | Do you know a certain man, here in
Who has the name of Ford? /the town |
| B: | Sì. | Yes. |
| P: | Sì. | Yes. |
| F: | Quell'uom è un gran borghese... | That man is a substantial citizen... |
| P: | Piu liberal du'un Creso! | More openhanded than a Croesus! |
| B: | È un Lord! | He's a Lord! |
| F: | Suo moglie è bella. | His wife is beautiful.
(pp. 25-26) |

Thus, from the beginning, Falstaff's desires, for Ford's money and Alice's beauty, are clearly linked: as we watch, we instinctively know that they are unlikely to be achieved; for they are similar to a child's unachievable oedipal wishes. The fact that these desires are made quite obvious by the plot and dialogue--almost too obvious to be true, it may seem--is no bar to our interpretation of their meaning. Other commentators have noticed similar plot-devices in Shakespeare:

Relationships, real and substitute, are made so obvious, so oft-repeated, that they are accepted as innocent, since nothing forbidden could be so patently presented. This is, of course, a pattern not uncommon in Shakespeare, as in other Elizabethan dramatists.¹

When a child expresses a playful wish to possess his mother, or to arrange the departure of his father, we smile amusedly for we do not take his threat too seriously. If he gets cranky or out of hand, we administer a gentle punishment: it is the same with Falstaff.

¹ Leonard F. Manheim, "The Mythical Joys of Shakespeare; or What you Will," in The Design Within: Psychoanalytic Approaches to Shakespeare, ed. M. D. Faber (New York: Science House, 1970), p. 472.

We have seen that, in the hands of the women, Falstaff is a mere baby who is playfully punished for the oedipal transgressions he cannot control. When Alice points out the inappropriate nature of Falstaff's desire (Voi siete nel peccato ["You are in sin"]), his reply, for its truth, is poignant:

Chi seque vocazion non pecca,	He who follows his vocation doesn't sin.
T'amo!	I love you!
E non a mia colpa...	And it's not my fault...
	(pp. 221)

It is predetermined that Falstaff will mechanically chase after unattainable goals until he is taught otherwise.

The child-like directness with which Falstaff expresses his oral and oedipal desires makes him into an appealing fellow with whom we all can sympathize, rather than the dastardly seducer and thief whom an audience would, perhaps, detest. We laugh when Falstaff is frustrated, because his desires, like a child's, are unachievable. We may even wish that the fellow would finally grow up. It is because Verdi and Boito have taken the threat out of Falstaff, the hero, that Falstaff, the opera, succeeds as a "Latin lyric comedy."

In talking about Shakespeare's Falstaff, a similar fellow, Sigmund Freud put it this way:

...his physical misproportion has the effect of encouraging us to take a comic view of him instead of a serious one, as though the demands of morality and honour must rebound from so fat a stomach. His doings are on the whole harmless, and are almost excused by the comic baseness of the people he cheats. We admit the poor fellow has a right to try to live and enjoy himself like anyone else, and we almost pity him because in the chief situations we find him a plaything in the hands of someone far his

superior. So we cannot feel angry with him and we add all that we economize in indignation with him to the comic pleasure which he affords us apart from this.¹

Is our original view of Falstaff, the parental teacher and rogue, incompatible with our later view of him as a helpless child playfully punished for his sinful oedipal desires and voracious appetite? Not at all; the structure of drama requires that a character be different at different times. (We recall that Shakespeare left us uncertain as to whether or not Lady Macbeth had children; he both spoke of her as childless and referred to her motherhood.) The character Falstaff, initially portrayed as a teacher, is given the stature to lead us back in time to the infantile oral games and passive pleasures that all of us knew and enjoyed when we were young. When, toward the end of the opera, Falstaff pronounces his wise judgment: L'arguzia mia crea l'arguzia degli'altri ("My cleverness creates the cleverness of others") the women and chorus concur with their emphatic "Ma bravo !" Falstaff has given permission for all to enjoy themselves in a world of oral-oedipal fantasy.

* * *

Ford and Cajus as Mirrors of Falstaff

Falstaff's oral-oedipal helplessness resonates within the characters of Ford and Cajus. Each of these men also becomes a

¹Jokes and Their Relation to the Unconscious, trans. James Strachey (New York: W. W. Norton, 1960), p. 213.

gabbato ("dupe") at the hands of the women. When Ford attempts to marry his daughter to Cajus, his plans are thwarted by the superior plotting of Alice and her companions. They rearrange the marriage of the final scene: Fenton marries Nannetta; the poor doctor is left with Bardolpho.

Ford's exaggerated fear of his wife's possible infidelity is also reminiscent of the oral stage. For at that time:

One of [a child's] principal fears is a fear of betrayal, that a source of comfort or power (his mother) will be taken away by a rival (a parent or sibling).¹

Furthermore, like Falstaff, Ford feels omnipotent. He believes and acts as if Nannetta will marry Cajus, just because he wishes it were so.

Dwelling on Ford's inability to separate the loving couple, Boito and Verdi emphasize his childishness. The tables seem turned as a stuffy father, exercising his ancient Elizabethan right to choose his son-in-law, is rendered helpless by his wife.

Alice teaches lessons to Ford, as she does to Falstaff. Criticizing her husband for his silly jealousy, she proclaims:

A: Bada! tu pur ti meriti Qualche castigoia!	Mind you! You also deserve Some punishment!
F: Perdona...Riconosco I miei demeriti...	Forgive me...I recognize My faults...
A: Ma quai se ancorti coglie Quella mania feroce Di cercar dentro Il guscio di uno noce L'amante di tua moglie.	But woe to you if again That fierce mania seizes you To hunt inside A walnut shell For your wife's lover. (III,i; pp. 318 ff).

¹Holland, Dynamics, p. 38.

Later, after Ford sees his daughter married to Fenton, Alice tells her husband:

L'uom cade spesso
Nelle reti ordite
Dalle malizie sue

Man often falls
In the nets placed
By his tricks.
(III,ii; p. 415)

Ford also reflects the incestuous aspect of Falstaff's character. Like the knight, he yearns to realize unfulfillable sexual bonds. His desire that Nannetta marry Cajus is (in view of the overwhelming cleverness and moral superiority of the women) as patently unfulfillable as Falstaff's desire for Alice. The incestuous nature of Ford's wish is shown by his exaggerated wrath when he discovers his daughter kissing Fenton (II,ii; pp. 281 ff.). The audience sees that Master Ford is not emotionally neutral about his daughter's choice of suitor: it appears that Ford will relinquish his daughter only to someone very much like himself.

The incestuous aspect of Ford's desire is emphasized by the close bond between Cajus and Ford existing throughout. Choosing Cajus as a suitor, Ford, in essence, attempts to save his daughter for himself. In many ways it appears as if Boito and Verdi have split one character into two: Cajus frequently represents the quicker, more choleric, part of Ford's personality. When Pistola tells Ford that Falstaff is about to enter his house in order to shatter his bed (I,ii; pp. 77 ff.), Cajus exclaims Caspita! ("Goodness!") before Ford can respond Quanti quai! ("How many calamities!"). Furthermore, as Ford overturns the screen and discovers Nannetta with Fenton--when he had expected to find Falstaff with his wife--Cajus proclaims Non è lui!! ("It's not

Example 2-1 -- Continued

D.C. *Se t'ac - cef - fo!*
 If I snatch you!

FOR *- ciuf - fo!* *Ti scon -*
 touch you! I shall

D.C. *T'arronciglio come un can!* *Guai a*
 I shall squash you like a snake! Woe to

FOR *- quasso!* *Ti rompo il cef - fo!*
 crush you! I'll smash your snout in!

QUIC. *(beside the basket, to Meg)*
(accanto alla cesta, a Meg)

D.C. *Fac - cia - mo le vi - ste d'at - ten - de - re ai*
 We must take pre - cau - tions, watch o - ver the
(sottovoce)

FOR *te!* *Guai a*
 you! Woe to

FOR *Pre - ga il tuo Santo!*
 Pray God for mer - cy!

P e stacc.

Splitting one personality between two or more characters is a well-known, literary technique. For instance, in Hamlet some characteristics of a father are assigned to the dead King; others, to Claudius. Norman Holland says:

For literary purposes, splitting is an extremely important way of expanding an unconscious fantasy, because (I suppose) nothing will quite so quickly elaborate a simple residue of childhood into a complex, multi-faceted work of art as the doubling or splitting of characters.¹

Splitting, then unifies a plot by unifying its characters. Here, specifically, it serves to strengthen Ford's bond to his daughter, making more credible his dismay when he sees her forever leaving his surrogate. To the audience, it also points out the child-like nature of Ford's character: it appears as if Ford wished to save his daughter for himself.

Cajus, perhaps more than Ford, mirrors the passive helplessness of Falstaff. Eventually, the women trick the doctor into marrying Bardolpho. But first, in the opening episode, his drinking companions dupe him. Although these men have broken into his house and robbed him, Cajus is unable to bring them to account. Just as Falstaff, when tricked by the women can do nothing but passively participate in their activities, Cajus--when tricked by those he thought were his friends--can do nothing but resentfully accept his fate.

In summary, then, much of the opera depicts the childishness of Falstaff. Ford and Cajus reflect various facets of the knight's

¹Holland, Dynamics, p. 56.

infantile attitudes and behavior. They reinforce our feeling that the plotters are children; their intrigues, games.

	<u>Omnipotent thoughts</u>	<u>Powerless</u> (in relation to women)	<u>Oedipal (in- cestuous) thoughts</u>
Falstaff	x	x	x
Ford	x	x	x
Cajus		x	

Oral Fusion: The Unifying Infantile Fantasy in the Opera

Tutti gabbati: ("All are taken in")--the two final words of Falstaff, encapsulate the central fantasy content which unifies the work: oral fusion, or symbiosis with a nurturing mother-figure. To the conscious mind tutti gabbati states: everyone is mocked, duped, or taken in. We see Falstaff, Ford, and Cajus tricked by the women. However, as Marie Bonaparte has warned, "another and secret story is being told which, in fact, is the basic theme."¹ To the unconscious mind tutti gabbati presents a common fantasy--the wish to return to the passive, dependent state we knew as infants, and to be cared for, however badly. This "fantasy gives force to conscious meaning."²

Many of the central activities and concerns of the opera emphasize the regressive process: they direct our attention from the conscious meaning of events to their unconscious significance.

¹This quotation appeared in Chapter I on p. 6 .

²Holland, Dynamics, p. 30.

Dreaming, for example, loosens the "boundaries between external and internal reality." It is the "normal, nightly regression" of us all.¹ When Ford, posing as "Fontana", believes himself tricked by Falstaff, he begins his extended jealousy tirade: È sogno? o realtà? (p.177; "Is it a dream or reality?"). Only after he has thus prefaced his worst fears of helplessness--as possibly being a fantasy or the result of a dream--does Ford proceed to list them.

Drinking too, by flooding the conscious mind with "previously unconscious, irrational processes," may cause regression to infantile modes of thought.² As the earliest source of nourishment, drinking reinforces the oral imagery of the opera. Too much drinking--Bardolpho tells us--was the cause of Cajus's dream. Like the doctor, Falstaff drinks and has visions; but frequently his are more pleasant. In the opening soliloquy of III,i, Falstaff proclaims:

Buono. Ber del vin dolce
E sbottonarsi al sole.
Dolce cosa! Il buon vino

Sperde le tetre fole
Dello sconforto, accende
L'occhio e il pensier, dal labbro
Sale al cervel e quivi risveglia
Il picciol fabbro
Dei trilli; un negro grillo
Che vibra entro l'uom brillo
Trilla ogni fibra in cor,
L'allegro etere al trillo
Guizza e il giocondo
Globo squilibra una demenza
Trillante! E il trillo
Invade il mondo!!

Good. To drink some sweet wine
And unbutton oneself in the sun;
Lovely thing! Good wine

Dispels the grim nonsense
Of dejection, kindles
The eye and the thought; from the lip
It rises to the brain and there wakens
The little smith
Of trills; a black cricket
That hums within the tipsy man,
Every fiber of the heart trills;
The gay air, at the trill,
Flashes and a trilling
Madness unbalances the merry
Globe! And the trill
Invades the world!!
(pp. 301 ff).

¹Norman Cameron, Personality Development and Psychotherapy (Boston: Houghton Mifflin, 1963), pp. 210-211.

²Ibid., p. 212.

Another plot device that emphasizes the opera's fantasy content is "the play within a play." As the women's discussion turns to theatre, plays and acting, we realize that Falstaff's punishment will be a theatrical event:

N: Se ordisci una burla Vo'[glio] anche la mia parte Convieni condurla Con senno, con arte	If you plan a jest I want also my share. It's best to conduct it With wisdom, with skill. (I,ii; pp. 61 ff).
---	--

A: Prepariamo la-scena.	Let's set the scene.
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.....

A: Fra poco s'icomincia la commedia.	Soon the play begins. (II,ii; pp. 203=205).
--------------------------------------	--

"The play within a play" ends when the actors give up their conflicts, costumes, disguises, and characters. Falstaff has learned his lesson, and all go out to dinner together:

F: Un coro e terminiam la scena.	A chorus and we'll end the scene.
Fo: Poi con Sir John Falstaff, Tutti, andiamo a cena.	Then, with Sir John Falstaff, We'll go, all of us, to supper. (III,ii; pp. 419-420.)

Boito and Verdi use "the play within a play" as they use the dream and inebriated episode; each of these frames a portion of the opera in which a return to child-like activities and thoughts takes place. Enclosing the depiction of a fantasy within such a frame the authors help us accept its unconscious content, and "swallow it whole."

Alexander Grinstein has written:

The play within a play ...deals with reality events, as well as with psychic reality, including basic conflicts or problems of the hero ...These conflicts, being intolerable to part of the ego, are those with which the hero wishes he were not compelled to

struggle ...Dealing with the material in this manner serves to prepare the audience emotionally for what is to happen in the resolution of the conflicts presented in the play and thus helps them participate more fully in the play itself.¹

The Role of Nannetta and Fenton

Initially, the appearances of Nannetta and Fenton seem to provide some moments of welcome relief from the excited battles of control which surround them. E. T. Cone has discussed the couple's idealized love, which, he believes, is held far above the real world of fighting and intrigue below.² In their first appearance, Nannetta and Fenton are physically separated from the surrounding battles by bushes (I,ii) and a screen (II,ii). Thus, Professor Cone states, these lovers seem ready for their final "escape into a world of their own making" at the opera's end.³

Yet when a great work of art is unified, contrast exists for a reason. Nannetta and Fenton, with their Elizabethan metaphors of love as battle, present one more facet of the game-like struggles for control which pervade the opera. It was obvious to the Elizabethans that love was close to fighting, and, moreover, we all know "the god of love is an archer [who] shoots fatal arrows."⁴

¹Alexander Grinstein, "The Dramatic Device: A Play Within A Play," Journal of the American Psychoanalytic Association 4 (1956), 49-52, 52.

²Prof. Cone notes Verdi's interest in setting The Tempest, and the many similarities between Falstaff and this work. See: Cone, "Old Man's Toys," pp. 131-133.

³Ibid., p. 131.

⁴Holland, Shakespearean Imagination, p. 72.

To the unconscious mind, the imagery of the couple's love-as-struggle duets also suggests the opera's central fantasy: oral fusion. While figuratively to be taken in is to be duped, literally it is to be surrounded, eaten, and incorporated by (the mouth of) another person. Professor Holland has explained:

The kinds of images in a literary work that would make you expect that you are dealing with an oral situation are, naturally enough, almost anything to do with the mouth or with 'taking in'...¹

With their concern for their mouths, their lips, and the kisses that join them, Nannetta and Fenton fuse as one being through oral imagery. As Fenton's kiss covers Nannetta's braid--which in turn surrounds his neck--we sense the merged oneness of these lovers.

N:	La mira è in alto. L'amor è un agile Torneo, sua corte Vuol che il più fragile Vinca il più forte.	The aim is high. Love is a lively Joust; its court Decrees that the more fragile Defeat the stronger.
----	--	---

Fe:	M'armo, ti guardo. T'aspetto al varco.	I arm myself; I look at you. I await you at the pass.
-----	---	--

N:	Il labbro è l'arco.	The lip is the bow.
----	---------------------	---------------------

Fe:	E il bacio è il dardo. Bada! la freccia Fatal già scocca Dalla mia bocca Sulla tua treccia <u>(le bacia la treccia)</u>	And the kiss is the arrow. Mind! the fatal Arrow already flies From my mouth On your braid. <u>(he kisses her braid)</u>
-----	--	---

N:	<u>(annodandogli il collo colla treccia, mentre egli la baccia)</u>	(entwining his neck with the braid, while he kisses it)
----	---	--

Eccoti avvinto.	There are you bound
-----------------	---------------------

Fe: Chiedo la vita!	I sue for my life:
---------------------	--------------------

N: Io son ferita Ma tu sei vinto.	I am wounded, But you are conquered. (pp. 95ff).
--------------------------------------	--

¹Holland, Dynamics, p. 37.

Freud, also, noted the manner in which an adult in love may lose his normal sense of his own identity:

At the height of being in love the boundary between ego and object threatens to melt away. Against all the evidence of his senses, a man who is in love declares that "I" and "you" are one, and is prepared to behave as if it were a fact.¹

In the sonnet which begins the final part, Fenton describes the fusing of sounds from lovers' lips, sounds which must end as the lips themselves merge in kisses:

<p>Fe: Dal labbro il canto Estasiato vola Pei silenzi notturni E va lontano E alfin ritrova Un altro labbro umano Che gli risponde Colla sua parola. Allor la nota Che non è più sola. Vibra di gioia In un accordo arcano E innamorando L'aer antelucano Con altra voce Al suo fonte rivola. Qui vi ripiglia suon, Ma la sua cura Tende sempre ad unir Chi lo disuna Cosi baciai La disiata bocca! Bocca baciata Non perde ventura. . .</p>	<p>From the lips the song Flies, in ecstasy, Through the nocturnal silences And goes far, And finally discovers Another human lip That replies to it With its word. Then the note Which is no longer alone Vibrates with joy In a secret chord And bewitching The antelucan air With another voice Flies back to its source. There it regains sound, But its concern Tends always to unite Who disunites it. Thus I kissed The desired mouth! A kissed mouth Doesn't lose luck . . .</p>
<p>N: (di dentro lontana, avvicinando) Anzi rinnova come fa la luna... Come fa la luna.</p>	<p>(from within, far off coming nearer) Rather it's renewed as the moon is... As the moon is.</p>

¹Sigmund Freud, Civilization and Its Discontents, trans. and ed. James Strachey (New York: W.W. Norton, 1962), p. 13.

nurturing other."¹ We have seen that this fantasy--depicted both "lovingly" and "hostilely"--also gives life to Falstaff. Lovingly, Nannetta and Fenton fuse as one. Hostilely, Falstaff, Ford and Cajus are duped. As Falstaff "dreams a dream"² of oral fusion for us, we, the audience, enjoy the pleasures of a world in which we, too, remain passive as the unfolding of surrounding events controls our destinies.

Yet Falstaff would not be a powerful work were it merely to depict helpless children playing games. The meaning of Falstaff is a "dynamic process" by which an "unconscious fantasy [is transformed] into intellectual terms."³

Boito and Verdi carefully transform the fantasy of oral fusion into an "intellectually, morally and socially acceptable" parable of growth.⁴ Initially, Falstaff and the other men are rendered powerless. As they try to make their childish wishes come true, they undergo trials, uncertainty, and suffering. Eventually they grow to accept their own limitations. Thus, their games and punishments have an important purpose, to promote education and individual development. By means of a story which frequently parallels our own growth experiences, the characters slowly return from an infantile world to one of a more neutral adult reality. Having a clearer perception of the external world, Cajus decides that he will choose different companions the next time he drinks; Ford accepts his new family; and, Falstaff; regaining his

¹Holland, Poems in Persons, p. vii.

²Holland, Dynamics, p. 75.

³Ibid., p. 12.

⁴Ibid.

original stature, leads once again in the final fugue.

The opening episode provides a preview of the dramatic shape, or form, which transforms the central fantasy into an intellectually coherent drama. Cajus, initially taken in, attempts to emerge from his engulfed state. He pursues Falstaff, Bardolpho, and Pistola, and receives no satisfaction. Three times the Doctor is frustrated in his pursuit of requital: the third time he gives up. There are three consequences: he recognizes that he cannot get this requital for he drank with the wrong people; he renounces his desire for requital; and lastly, he accepts that he might as well leave and be more careful the next time (Example 2-2).¹

At the end of the opening episode, Dr. Cajus's music becomes lyrical and expansive for the first time. As his initial staccato is left far behind, the Doctor indicates his growth: he tells Falstaff, Bardolpho, and Pistola that he will choose different drinking companions in the future, and leaves the inn (pp. 15-16).

Looking over the entire plot with respect to Falstaff, we note that he too undergoes three main frustrations. Bardolpho and Pistola refuse to help him seduce Alice; the women stuff him into a laundry basket and wash him in the river; and, finally, the imps torment him and call him names.²

Ford, too, undergoes great changes of mood when he sees that life may not be all that he would desire. Ford's first frustration,

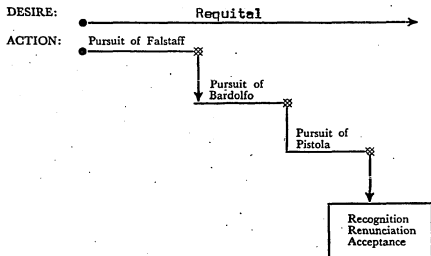
¹Example 2-2 is adapted from: Daniel Sabbeth, "Dramatic and Musical Organization in Falstaff," in Atti del III Congresso di Studi Verdiani, (Parma: Istituto di Studi verdiani, 1974), p. 424.

²Cajus, too, just before accepting his fate, was called names and threatened with beating.

leading to the "Jealousy tirade," involves an encounter with Falstaff. The later two result from his discoveries of Nannetta with Fenton.

Example 2-2

Dr. Cajus's Growth



⊗ indicates an obstacle which blocks Dr. Cajus' pursuit of his goal, revenge.
 ▼ indicates Dr. Cajus' frustration when he fails to achieve his goal.
 Entrance into the box "Recognition, Renunciation, Acceptance" indicates growth.

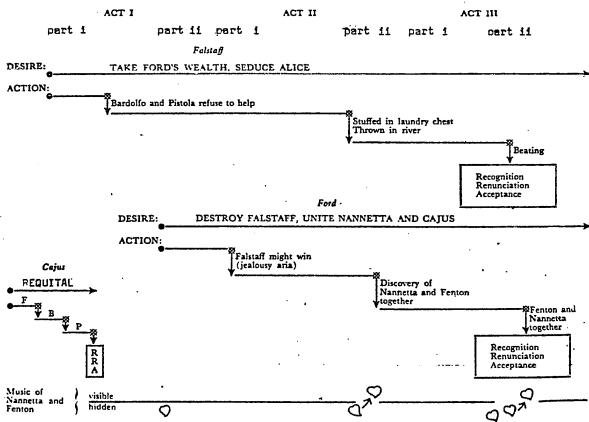
Example 2-3 combines the ordeals and eventual growth of Falstaff, Ford, and Cajus. The symmetrical threefold triple frustrations that form a framework for the action are seen as they appear in time.¹ The appearances of Nannetta and Fenton are represented at the bottom. If we consider their first duets (I,ii) as one event, there are four significant appearances. In two of these the couple is separate from the other characters (I,ii; and their first appearance in III,ii). In the remaining two they emerge from their private world and are discovered

¹For a discussion of tripartite repetitions in ritual scenes in Verdi's operas, see: Frits Noske, "Ritual Scenes in Verdi's Operas," *Music and Letters* 54 (1973): 415-439.

by Ford. The first time (II,ii) he does not accept them; the second time (after their marriage), he does. These two discoveries, appear in close temporal proximity to Falstaff's punishments. Thus, the opera moves towards two gigantic climactic points at which all activities coincide--the ends of Acts II and III.

Example 2-3¹

Dramatic Organization of the Opera



¹This example is adapted from a similar one in Sabbeth, "Organization in *Falstaff*," p. 427.

At the end of Act II the players claim that the appearance of the lovers represents il finimondo; they say "no" to the values of Nannetta and Fenton. Still immersed in their childish struggles for control, they reject a world of mutual submission and fertility. But, at the end of Act III, they have grown and say "yes": Falstaff repents, Ford accepts his new family, and the sanctity of the marriage ceremony leads all to a higher plane of understanding. Nannetta and Fenton have brought the virtues of tolerance, acceptance, and growth into the quarreling world of the opera. Like Ferdinand and Miranda in The Tempest, they symbolize the "brave new world" toward which all the characters move.

The transition from rejection to acceptance of this couple gives the opera the overall two-part structure of a simple didactic lesson: No -- Yes! Because the plot-structure includes not only a re-engulfment but also a re-emergence, we allow ourselves to enjoy the pleasures of the re-engulfment, or regressive, process. Depicting final growth, or separation from fantasy, the plot-structure becomes meaningful to our intellects.

Falstaff shows us that engulfment is not terrifying, for there is the escape by growth and individuation. Reality need not be dull, for we can return to the enjoyment of fantasy. Because child-like and adult thought processes are reconciled, we, as adults, can enjoy the pleasures of each.

CHAPTER III

THE TONAL-DRAMATIC UNITS IN FALSTAFFIntroduction

In order to understand more fully the close relationship between tonality and drama in Falstaff, I have divided each of the six parts into tonal-dramatic units.¹ Each unit,² dramatically reasonably complete in itself, represents a significant segment of the drama. Later, in Chapter IV, I shall discuss the way in which these units join together to create a large scale tonal-dramatic organization for the opera as a whole. Here I wish merely to 1) explain the basis for my segmentation of the opera along these lines, and 2) provide an outline of the tonal-dramatic units that comprise each part.

Dramatic function is the basis for the selection of a segment as a unit. In cases in which there is a discrepancy between tonal and dramatic divisions, I accept the dramatic divisions as primary and attempt to understand the tonal processes as outgrowths of these. Although there are no "numbers" in Falstaff, Boito did indicate interior dramatic divisions in his manuscript libretto: he divided four of the six parts (all but Act I, parts i and ii) into Scene (Scenes). I shall indicate Boito's Scena divisions for the parts involved.

¹The reader will recall that each act contains two parts.

²Unit always refers to tonal-dramatic unit.

Tonal-dramatic units may be long or short, depending on the exigences of the situation portrayed. Thus, Falstaff's "Honor monologue" (I,i u6)¹ is lengthy and "Falstaff's stomach" (I,i u3) is brief. I have frequently found it helpful to divide long units, like the "Honor monologue," into subunits: these represent distinct portions of a single dramatic activity. Epigrammatic units, however, like "Falstaff's stomach," tend to represent portions of larger compound units. These larger groupings will be elucidated in Chapter IV, as a first step toward understanding the underlying tonal coherence of the opera.

Frequently, Introductions and Extensions serve to link units. Dramatically, Introductions are usually the beginning of the unfolding of an activity by means of a statement of whose eventual import we are not yet sure. Thus, we await further explanation or action. When Falstaff proclaims "Ma è tempo d'assottigliar l'ingegno" ("But it's time to sharpen our wit"),² we wonder just what he is up to. We await the following Principal Section to satisfy the expectation aroused in this Introduction. Introductions tend to be harmonically unstable. In that they normally effect a tonal transition, they frequently begin within the tonicization of the preceding unit and move to the dominant of the following one. Introductions vary in length but are normally shorter than Principal Sections.

Extensions reflect on the Principal Section of a unit. Looking backwards in time, they provide a commentary or emotional reaction to

¹Act I, part i, tonal-dramatic unit 6.

²I,i u4, Intro.

what has just happened. In the Extension to the "Dr. Cajus episode" (I,i u|), Bardolpho and Pistola say "Amen" to Cajus as he leaves the inn. Then, after Falstaff tells the pair that they have been clumsy thieves, they say "Amen" to him as well. Only after these reactions to the duping of Dr. Cajus does the music move on to introduce the next subject: Falstaff's previous relationship with Bardolpho and Pistola. Extensions may prolong the preceding key as a coda, or they may move toward the next structural sonority.

Tonally, units and their internal divisions may be open or closed. In the diagrams which follow, a dotted vertical line across the staff indicates an open division (I,i u|, Ext.). A straight vertical line indicates a closed division (i,i u|, PrS). Final page references within a unit or subdivision indicate the conclusion of the musical segment rather than an internal point of arrival. For each part of the opera, an "Index of tonal-dramatic units" precedes the "Presentation of units."

Act I, part i

Index of Tonal-Dramatic Units¹

<u>Unit</u>	<u>Location</u>	<u>Content (Remarks)</u> ²
1	1/ I, 1 - 17/III, 4	Dr. Cajus episode (Ext)
2	18/ I, 1 - 22/ I, 3	Falstaff's tavern life (Intro, Ext)
3	22/ I, 3 - 24/III, 1	Falstaff's stomach (Intro)
4	24/III, 2 - 32/III, 3	Falstaff's desires (Intro)
5	32/III, 4 - 35/ IV, 4	Letter sending (Intro)
6	36/ I, 1 - 46/ V, 4	Honor monologue



¹The outline of tonal centers accompanying the Index is not an analytical graph. The hierarchical arrangement of these centers to form greater unities will be explained in Chapter IV.

²Introductions and Extensions are indicated in parentheses following the content of a unit.

Presentation of units

Unit 1: Dr. Cajus episode

<u>PrS</u>		<u>Ext</u>	
1	16	17	
I,1	II,1	II,2	III,4

C major

Principal Section: Dr. Cajus seeks revenge against Falstaff, Bardolpho, and Pistolá for the offenses they have committed against him

Extension: Bardolpho and Pistolá sing "Amen" to Dr. Cajus; Falstaff berates Bardolpho and Pistolá, who then sing "Amen" to him.

Unit 2: Falstaff's tavern life

<u>Intro</u>		<u>PrS</u>		<u>Ext</u>	
18	20	21		22	
I,1	I,2	II,1	II,3	III,3	I,3

F major

Introduction: Falstaff examines the innkeeper's bill. Bardolpho, in counting Falstaff's funds, finds that there is not enough money to pay the bill. Falstaff accuses Bardolpho of being his ruin ("distru- zione"), due to the large expense of supporting him.

Principal Section: Falstaff remembers the pleasant times he and Bardolpho have spent together.

Extension: Falstaff decides that Bardolpho and Pistola cost too much; that they make him lose weight.

Unit 3: Falstaff's stomach

<u>Intro</u>	<u>PrS</u>	
22	23	24
I,3	I,1	III,1

Introduction: Falstaff reflects on the importance of preserving his stomach.

Principal Section: Falstaff rejoices in it.

Unit 4: Falstaff's desires

<u>4A</u>		<u>4B</u>	<u>4C</u>	
<u>Intro</u>	<u>PrS</u>			
24	25	30	32	
III,2	I,1	I,1	II,2	III,3

First, Falstaff expresses his desire to seduce both Alice (4A) and Meg (4B) in order to obtain their husbands' wealth. Then he concludes by admiring himself (4C). This is a single unit because Falstaff's desire for Meg is simply one more indication of his interest in finding a woman with wealth.

4A

Introduction: Falstaff decides that it is time to sharpen his wits (to act).

Principal Section: Falstaff's plot against Alice and Ford.

4B

A similar plot directed against Meg and her husband.

4C

Falstaff admires himself.

Unit 5: Letter sending

<u>Intro</u>			<u>PrS</u>			
32	34			35		
III,4	I,1	III,1	2	III,2	IV,2	4

Introduction: Bardolpho and Pistola refuse to take Falstaff's love letters to Alice and Meg.

Principal Section: Falstaff calls a page to take the letters and curses Bardolpho and Pistola.

Unit 6: Honor monologue

<u>6A</u>		<u>6B</u>		<u>6C</u>
36	37	39	43	44
I,1	IV,2	III,1	IV,1	IV,4
				I,1
				V,4

6A

Falstaff discusses his personal experiences with honor and calls Bardolpho and Pistola names.

6B

Falstaff discusses honor in the abstract and rejects it.

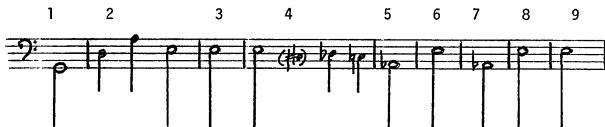
6C

Falstaff, his strength regained, chases Bardolpho and Pistola from the tavern.

Act I, part ii

Index of Tonal-Dramatic Units

<u>Unit</u>	<u>Location</u>	<u>Content</u>
1	47/I,1 - 52/III,1	Women's introduction ¹ (Ext)
2	52/III,2 - 59/I,1	Letter reading (Intro)
3	59/II,1 - 67/I,1	Women's anger (Intro)
4	67/I,1 - 82/I,2	Men's exposition
5	82/I,2 - 87/IV,4	Nannetta/Fenton Duet I (Intro)
6	88/I,1 - 94/I,2	Women's plot (Intro, Ext)
7	94/I,2 - 100/III,1	Nannetta/Fenton Duet II (Intro)
8	100/III,1- 120/I,2	Men's plot and their <u>finale</u> (Intro)
9	120/I,2 - 126/III,6	Conclusion



¹Units 1-3 constitute the women's exposition.

Presentation of Units

Unit 1: Women's introduction

<u>PrS</u>	<u>Ext</u>	
47	52	52
I,1	I,3	I,3
		III,1

Principal Section: Alice, Meg, Quickly, and Nannetta exchange greetings. Then Alice and Meg begin to discover that they have each received a similar offer.

Extension: Meg asks all to hurry.

Unit 2: Letter reading

<u>Intro</u>	<u>PrS</u>		
52	53	57	59
III,2	II,1	I,1	III,2
			III,2
			I,1

Introduction: Alice and Meg exchange the letters they have received.

Principal Section: Alice and Meg take turns reading and reacting to each other's letter. As they discover them to be identical, they begin to read together. When Falstaff's letter reaches its conclusion, steeped in ludicrous metaphor, the women laugh.

Unit 3: Women's anger

<u>Intro</u>		<u>PrS</u>	
59	63	63	67
II,1	I,5	II,1	I,1

The musical notation is on a bass staff with a key signature of one sharp (F#). It consists of four notes: G2, B2, G3, and G3. The first note (G2) is marked with 'I' below it. The second note (B2) is marked with 'x' below it. The third note (G3) is marked with 'I' below it. The fourth note (G3) is marked with 'I' below it. A bracket underneath the first three notes (G2, B2, G3) is labeled 'E' below it.

Introduction: The women decide that Falstaff must be tricked and start to make fun of him.

Principal Section: The women continue to make fun of Falstaff by completing their introductory remarks.

Unit 4: Men's exposition

<u>4A</u>		<u>4B</u>		<u>4C</u>					
		<u>Intro</u>		<u>PrS</u>		<u>Intro</u>		<u>PrS</u>	
67	76	76	77	78	80	80	81	81	82
I,1	II,2	II,3	IV,1	I,1	II,3	II,3	II,1	II,2	I,2

Ford gradually learns of and responds to Falstaff's plot to cuckold him. I have considered this to be one unit, rather than three, because, dramatically, 4B and 4C grow so very directly out of 4A.

4A

In this quintet, Ford is warned that Falstaff is plotting against him.

4B

Introduction: At Ford's request, Pistola repeats the warning, spelling out the details.

Principal Section: Ford and Cajus react in horror and Ford is warned further.

4C

Introduction: Bardolpho tells Ford that he is already sprouting Actaeon's crown of horns.

Principal Section: Ford vows to protect his wife and home.

Unit 5: Nannetta/Fenton Duet I

<u>Intro</u>		<u>PrS</u>	
82	83	84	87
I,2	III,2	II,1	IV,4

Introduction: Nannetta and Fenton meet. The others depart.

Principal Section: Nannetta and Fenton express their love.

Unit 6: The Women's Plot

<u>Intro</u>		<u>PrS</u>		<u>Ext</u>	
88	89	(89)	90	93	93
I,1	II,2	II,(2)	III,1	II,2	II,2
					94
					I,2

Introduction: The women decide to lure Falstaff to an encounter with Alice.

Principal Section: Alice explains how she will trap Falstaff by flattery.

Extension: Meg comments.

Unit 7: Nannetta/Fenton Duet II

<u>Intro</u>	<u>PrS</u>	
94	95	100
I,2	I,1	III,1

Introduction: Quickly and Meg notice someone spying and hide.

Principal Section: The love duet is repeated with variation.

Unit 8: Men's plot and their finale

<u>Intro</u>			<u>PrS</u>	
100	101	102	104	120
III,1	III,2	III,1	I,1	I,2

Introduction: The men decide how they will trap Falstaff.
Bardolpho and Pistola swear their allegiance to Ford.

Principal Section: The men and the women now combine the music of the quintet (4A) and the quartet (3) as they all contemplate the destruction of Falstaff. Fenton, however, sings a solo of love.

Unit 9: Conclusion

120		126
I,2		III,6

E major

The men depart. The women make final plans and then refer mockingly to the conclusion of Falstaff's letter.

Act II, part i

Index of Tonal-Dramatic Units

<u>Boito's Scena</u>	<u>Unit</u>	<u>Location</u>	<u>Content (Remarks)</u>
I	1	127/I,1 - 130/III,1	Bardolpho and Pistola repent
	2	130/III,2- 143/II,4	Quickly ensnares Falstaff
II	3	143/III,1- 148/II,1	Old John's strength
	4	148/II,2 - 154/I,3	"Fontana's introduced" ¹ (Intro)
	5	154/II,1 - 163/III,2	Love temptation (Intro)
	6	163/III,2- 169/III,3	Power temptation (Intro)
III	7	170/I,1 - 177/II,2	Falstaff's acceptance
	8	177/II,3 - 188/II,1	Jealousy tirade
	9	188/II,1 - 190/IV,4	Falstaff and "Fontana" depart



¹Units 4-7 constitute an extended duet between "Fontana" and Falstaff.

(Boito: Scena 1)

Unit 1: Bardolpho and Pistola repent¹

<u>PrS</u>		<u>Ext</u>	
127	129	129	130
I,1	I,4	I,4	III,1

Principal Section: Bardolpho and Pistola return to Falstaff's service and profess their penitence.

Extension: Bardolpho announces Quickly's arrival. Falstaff bids that she enter.

Unit 2: Quickly ensnares Falstaff²

<u>2A</u>		<u>2B</u>	
130	137	<u>Intro</u>	<u>PrS</u>
III,2	II,2	II,3	138 141 143
III,2	II,2	II,3	I,3 II,2 II,4

¹This unit functions as an introduction to II,i.

²In considering this as one unit, I have followed my premise of I,i u4, that Falstaff's interest in Meg (4B) is an extension of his interest in Alice (4A).

In the course of two motivically connected subunits, Quickly informs Falstaff that Alice (2A) and Meg (2B) are enamored of him.

2A

Quickly introduces herself; Falstaff asks his servants to depart. Quickly then tells Falstaff that Alice would like to see him, and that Ford is out dalle due alle tre ("from two to three").

2B

Introduction: Quickly states that there is also a message from Meg.

Principal Section: She claims that Meg is also bewitched by Falstaff; but, unfortunately, her husband is rarely out.

(Boito: Scena II)

Unit 3: Old John's strength

<u>3A</u>		<u>3B</u>			<u>3C</u>	
143	146	146	147		148	
III,1	III,1	III,1	II,1	III,1	I,1	II,1

Ab major

3A

Falstaff, quite satisfied with himself, recalls that he still has power over women.

3B

Bardolpho enters to announce the arrival of "Fontana" (Ford in disguise). Falstaff bids that he enter. The A major sonority of this central portion (147/III,2) anticipates "Fontana's introduction" (4A), in a fully established A major.

3C

Falstaff repeats a fragment of 3A.

Units 4 - 7: The "Fontana" - Falstaff duet

I have divided the extended duet between "Fontana" and Falstaff into four units. I believe that these represent distinct phases in the unfolding of the game of wits between them. Units 4-6 represent "Fontana's" enticement of Falstaff to the pursuit of Alice; they are characterized by motions of ascending thirds. Unit 7 presents a complication: Falstaff announces that Alice will soon be in his arms. This unit is characterized by descending thirds.

<u>Unit: 4</u>	<u>5</u>	<u>6</u>	<u>7</u>
Introduction:	Intrigue:		Complication:
"Fontana introduces himself. He and Falstaff exchange greetings. ("Fontana" in control)	"Fontana" lures Falstaff to the pursuit of Alice.		The tables seem turned as Falstaff accepts "Fontana's" offer and delights at the prospect of cuckolding Ford. (Falstaff seems in control to "Fontana".)

Unit 4 is introductory; its ascent from A major to C, has been significant within the preceding duet (unit 2). Unit 5 begins the enticement of Falstaff; Alice's beauty is used as a lure. This unit's

ascending motion through the E major triad repeats that of I,ii u4-6. Now, however, Ab minor occurs on the third degree, instead of the earlier Ab major.

At the beginning of unit 6, the means of enticement changes. "Fontana" describes Falstaff's power flatteringly; he offers the knight gold to increase this power further. Tonally, the type of motion changes too. The ascent from B to Eb (D#) is accomplished by the descent of two major thirds (B-G, G-Eb) rather than by the ascent of one. This brings the music out of the prolongation of E major (Unit 5) to the new sonority of Eb.

Although the division of the "Fontana" - Falstaff duet into four units makes dramatic and musical sense, I have also made this division to facilitate discussion. Had I considered the duet as one large unit, with manifold subdivisions, my conclusions as to the tonal structure of the opera would have been unchanged. The pervasive motions in thirds, and their terminal points at the extremities of the duet, would still exist. Since the complexity of dealing with one large unit, subdivided into nine subunits, would create no additional tonal or dramatic insights, I felt that the division into four units would help the reader towards an understanding of this portion of the opera.

* * *

Unit 4: "Fontana" introduced

<u>4A</u>		<u>4B</u>				
<u>Intro</u>		<u>Pr5</u>				
148	149	150	151	152	153	154
II,1	II,3	II,2	IV,2	IV,3	I,1	II,4
			I,1	II,4	I,1	I,3

4A

Introduction: "Fontana" enters.

Principal Section: "Fontana" describes himself.

4B

After "Fontana" states his name, he and Falstaff exchange greetings. Falstaff asks Bardolpho and Pistol to leave once again (see 2A).

Unit 5: Love temptation

<u>5A</u>				
<u>Intro</u>				
154		155		156
II,1		II,1	II,2	III,1
				III,2

5A - Continued5B5CPrS

157

I,1 III,3

158

160

I,1 I,3 III,1

160

163

III,2 I,3 III,2

Handwritten annotations in the musical notation include 'x' and 'y' above notes, and 'I' below notes. Brackets below the staff indicate chord changes: E, Ab⁻, and B. The B chord is annotated with b⁶ b³ and b⁵ b.

5A

Introduction: "Fontana" tempts Falstaff with a sack of gold.

When Falstaff asks "Why?", he is told, "I'll tell you."

Principal Section: "Fontana" describes Alice's beauty.

5B

"Fontana" explains his unrequited love.

5C

Falstaff joins him in: L'Amor, l'amor...

Unit 6: Power temptation6A6BIntro

163

III,2

164

II,3

PrS

166

I,1

167

III,1

Handwritten annotations in the musical notation include 'b⁶ b' and '#' above notes, and 'I' below notes. Brackets below the staff indicate chord changes: B⁺ and G.

Unit 6 - Continued

6CIntro

167

III,1

PrS

168

I,1

II,4

III,2

IV,5

169

I,1

II,2

III,3

6A

Introduction: Falstaff asks "Fontana" if Alice has ever given him hope, and why he expects that he, Falstaff, can help. Again, as at the conclusion of the previous introduction (5A), "Fontana" says: "I'll tell you."

Principal Section: "Fontana" flatters Falstaff.

6B

"Fontana" hands Falstaff a sack of gold.

6C

Introduction: "Fontana" says: "I will explain," as in 5A and 6A.

Principal Section: "Fontana" recapitulates and varies his flattery of Falstaff.

Unit 7: Falstaff's acceptance

170	172	173	174	177 ¹
I,1	IV,1	II,2	I,1	II,2

In accepting the gold, Falstaff, boasting of pending success, devastates "Fontana".

(Boito: Scena IIIa)

Unit 8: Jealousy tirade

<u>BA</u>	<u>BB</u>	<u>BC</u>
177	179	181
II,3	II,2	III,1
	III,1	184
		I,1

¹The completion of the cadence formula actually takes place on the downbeat of 177/II,2.

Unit 8 - Continued)

8D

184	186	187	188
I,2	IV,1	III,2	III,3 II,1

Ford reflects on the fact that Falstaff will soon be courting Alice (8A-C) and then resolves to get even (8D).

8A

Ford is incredulous.

8B

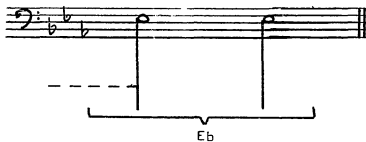
Ford is resigned.

8C

Ford comments negatively on women, marriage and his wife.

8D

Ford, expressing his jealousy, resolves revenge.

Unit 9: Falstaff and "Fontana" depart188
II,1190
IV,4

Falstaff and "Fontana" walk out together. Each thinks himself in command.

Act II, part ii

Index of Tonal-Dramatic Units

<u>Boito's Scena</u>	<u>Unit</u>	<u>Location</u>	<u>Content (Remarks)</u>
I	1	191/ I ,1 - 205/III,4	Women prepare stage ¹
	2	205/III,4 - 212/ I ,3	Women anticipate their fun
II	3	212/ I ,3 - 234/III,1	Falstaff/Alice duet (Intro)
III	4	234/III,1 - 240/III,1	Search for Falstaff I
IV	5	240/III,1 - 244/III,4	Falstaff put in chest
V	6	245/ I ,1 - 247/ I ,5	Nannetta/Fenton Duet III
VI	7	247/ II,1 - 252/ II,6	Search for Falstaff II
	8	252/III,i - 283/III,2	Stealthy approach to screen (Ext)
VII	9	284/ I ,1 - 290/ IV,7	Final search for Falstaff (Intro)



¹Units 1 and 2 constitute the women's preparations for Falstaff.

(Boito: Scena I)

Unit 1: Women prepare stage

191	193	198	199	200	201	202	205
I,1	III,1	I,1	I,1	II,5	II,4	I,1	III,4

Musical notation for Unit 1: Women prepare stage. The staff shows a sequence of notes: G4, B4, D5, G4, B4, D5, G4. Roman numerals I, IV, V, I are placed below the notes. A bracket underlines the notes from the first I to the second I, with "G major" written below the bracket.

While the stage is being set for Falstaff's entrance, Quickly tells the women how she trapped him. Nannetta complains that her father is pressing her to marry Cajus. Alice announces that the play will soon begin.

Unit 2: Women anticipate their fun

205	212
III,4	I,3

Musical notation for Unit 2: Women anticipate their fun. The staff shows a sequence of notes: G4, B4, D5, G4. Roman numerals V, I are placed below the notes. A bracket underlines the notes from the V to the I, with "C" written below the bracket.

The women anticipate their fun at Falstaff's expense.

(Boito: Scena II)

Unit 3: Falstaff/Alice duet

<u>3A</u>				<u>3B</u>						
<u>Intro</u>		<u>PrS</u>								
212	213	214	218	222	224	226	227	232	233	234
I,3	II,3	I,1	I,1	I,1	I,1	I,1	I,1	I,4	I,3	III,1

3A

Introduction: The women await Falstaff.

Principal Section: Falstaff enters and sings to Alice, who leads him on with flattery, telling him that she fears he will betray her for Meg.

3B¹

As Quickly and, then Meg enter, Falstaff hides behind the screen.

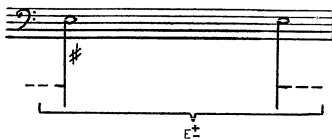
¹The presentation of Meg again corresponds to the beginning of a subunit (see: I,1 u4B; and II,i u2B).

(Boito: Scena III)

Unit 4: Search for Falstaff I

234
III,1

240
III,1



Ford, furious, enters with his men, searches, empties the laundry chest, and departs.

(Boito: Scena IV)

Unit 5: Falstaff put in chest

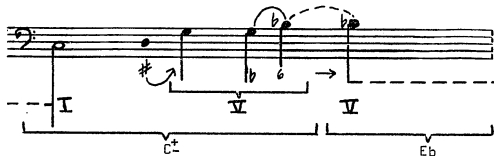
240
III,1

242
II,3

244
I,1

III,3

III,4



Meg and Alice squeeze Falstaff into the laundry chest.

(Boito: Scena V)Unit 6: Nannetta/Fenton Duet III

245	246	247
I,1	III,3	I,5

Fenton and Nannetta sing a love duet.

(Boito: Scena VI)Unit 7: Search for Falstaff II

247	252
II,1	III,3

Ford and his men reenter and search again. Fenton and Nanetta, heard behind the screen, are mistaken for Falstaff and Alice.

Unit 8: Stealthy approach to screen8A252
III,1257
II,1258
II,18B

II,1

272
I,2

C major

8CPrS
272
I,2281
I,1Ext

I,1

283
II,2

III,2

C major A major

Although unit eight represents one unbroken phase of dramatic activity, the three subunits indicate successive stages in the unexpected discovery of Nannetta and Fenton by Ford.

8A

Ford and his companions approach the screen.

8B

While Ford and his followers arrange their battle plan, Nannetta and Fenton begin a love duet.

8C

Principal Section: As the love duet ends, Ford and his men, having arrived at the screen, pull it away and discover Nannetta with Fenton.

Extension: After the characters react, Nannetta and Fenton flee.

(Boito: Scena VII)

Unit 9: Final search for Falstaff

<u>Intro</u>	<u>PrS</u>						
284	286	287	288	289	290		
I,1	II,1	III,2	I,1	III,1	I,2	I,2	IV,7

The musical notation is in bass clef. It shows a sequence of notes with fingerings and chord symbols. A bracket labeled 'V' spans measures 284-285. A bracket labeled 'A' spans measures 285-287. A bracket labeled 'D' spans measures 287-288. A bracket labeled 'C' spans measures 288-290. A dashed line with a plus sign connects the notes in measures 288-290.

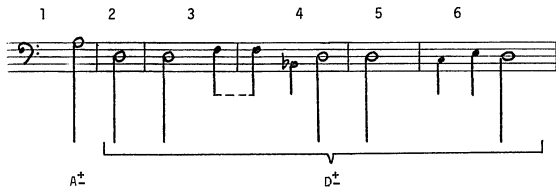
Introduction: The men dash off after Falstaff again.

Principal Section: Alice has Falstaff dumped in the river.

Act III, part i

Index of Tonal-Dramatic Units

<u>Boito's Scena</u>	<u>Unit</u>	<u>Location</u>	<u>Content (Remarks)</u>
I	1	291/ I ,1 - 303/ IV,3	Falstaff's dejection (Orchestral Intro)
II	2	304/ I ,1 - 312/III,1	Alice's letter tempts Falstaff (Intro)
III	3	312/III,2 - 319/III,1	Legend of Herne's oak ¹
	4	319/III,1 - 322/ I ,2	Disguises arranged (Intro)
	5	322/ I ,2 - 326/ II,2	Falstaff's punishment anticipated
	6	326/ II,2 - 330/ V ,5	Ford plans the marriage



¹
Units 3-5 constitute the women's plans and arrangements for Falstaff's midnight rendezvous.

1B

The innkeeper returns (300/II,3). Falstaff begins to drink (301/II,1), and his spirits soar (302/IV,3).

(Boito: Scena II)

Unit 2: Alice's letter tempts Falstaff

2A

Intro

304

I,1

305

IV,1

306

I,1

309

I,1

PrS

309

I,1

311

I,1

2B

311

I,1

312

II,1

III,1

2A

Introduction: Quickly enters, is rebuffed, but then calms Falstaff with Alice's letter.

Principal Section: Falstaff warms to the letter which invites him to a tryst at Herne's oak.

2B

Quickly begins the tale of the oak tree. They enter the inn.

(Boito: Scena III)Unit 3: Legend of Herne's Oak3A312
III,23B317
III,3 IV,1318
I,4

III,1

319
III,1

3A

Alice comes forward with her companions to finish Quickly's nonsense tale.

3B

Ford is pleased at Falstaff's approaching discomfiture. Alice warns him never to be suspicious again.

Unit 4: Disguises Arranged

<u>Intro</u>		<u>PrS</u>				
319	320	320	321			322
III,1	I,1	I,1	II,1	IV,1	I,1	I,2

Introduction: Nannetta joins the preparation for the coming masquerade.

Principal Section: The roles are designated.

Unit 5: Falstaff's punishment anticipated

322		323		326
I,2	III,2	I,1	I,3	II,2

The plotters anticipate the trickery and then depart.

Unit 6: Ford plans the marriage

326	327		328	329		330		
II,2	II,2	III,1	II,3	I,1	I,2	I,2	II,1	II,4 V,5

Ford and Cajus plan the marriage of Nannetta to the latter.
 Quickly eavesdrops and lets us know that it will not happen. Nannetta
 and Quickly finish their arrangements.

Act III, part ii

Index of Tonal-Dramatic Units

<u>Boito's Scena</u>	<u>Unit</u>	<u>Location</u>	<u>Content (Remarks)</u>
I	1	331/ I ,1 - 336/ I ,2	Fenton's sonnet
II	2	336/ II,1 - 340/III,2	Disguises explained
III	3	341/ I ,1 - 344/ II,3	Falstaff at midnight
	4	344/ II,3 - 349/III,3	Falstaff/Alice love duet (Ext)
IV (351/I,1)	5	350/ I ,1 - 361/ II,1	Fairy scene (Intro)
	6	361/ II,1 - 379/ I ,3	Falstaff is punished (Intro)
	7	380/ I ,1 - 395/ I ,1	Falstaff repents (Intro)
	8	395/ I ,2 - 400/ I ,3	Falstaff's reactions
	9	400/ I ,4 - 407/ I ,1	Falstaff's summary (Intro, Ext)
	10	407/ I ,1 - 419/ I ,3	Marriage (Intro)
	11	419/ II,1 - 461/ IV,3	Finale: <u>fugue</u> (Intro)

1 2 3 4 5 6 7 8 9 10 11

Ab C

(Boito: Scena I)

Unit 1: Fenton's sonnet

331	334	335	336
I,1	III,1	III,1	I,2

Fenton's soliloquy terminates with a quote from the duet of Act I (87/I ff.). His final words are answered in kind by Nannetta as she enters.

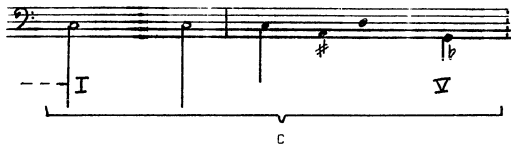
(Boito: Scena II)

Unit 2: Disguises explained

<u>Intro</u>			<u>PrS</u>	
336			337	340
II,1	II,2	II,3	I,1	III,2

Unit 4: Falstaff/Alice love duet

<u>PrS</u>		<u>Ext</u>	
344	348	348	349
II,3	III,2	III,2	III,3



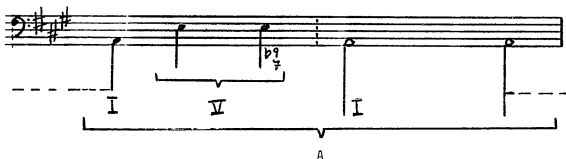
Principal Section: Alice enters; she and Falstaff profess their mutual affection. She tells Falstaff that Meg, too, is on her way.

Extension: Meg enters, warning of the coming witch pack. Alice runs out and Falstaff, in horror, flattens himself against the oak.

(Boito: Scena IV)¹

Unit 5: Fairy scene

<u>Intro</u>				<u>PrS</u>	
350	351	353	354	361	
I,1	I,1	III,2	I,1	II,1	



Introduction: As the Fairy Queen (Nannetta) emerges from the forest, terror seizes Falstaff. The fairies then prepare their song.

Principal Section: The Fairy Queen leads her attendants in a song praising the forest.

¹ Scena IV begins at 351/II,1; rehearsal no. 34.

Unit 6: Falstaff is punished

<u>Intro</u>						<u>PrS</u>	
361	364	365	367	368	368	379	
II,1	II,3	I,2	III,3	III,1	II,1	II,1	I,3

Introduction: Bardolpho and Pistola enter, discovering Falstaff, who, according to the women and Fairies, is tainted. After Bardolpho begins to exorcise Falstaff's spirit (365/I,2), Nannetta and Fenton go off to hide. The imps begin to roll Falstaff about.

Principal Section: The imps torment Falstaff.

Unit 7: Falstaff repents

<u>7A</u>				<u>7B</u>	<u>7C</u>	
<u>Intro</u>	<u>PrS</u>					
380	381	382	386	387	391	395
I,1	I,1	II,1	II,3	I,1	I,1	I,1

There are three subunits which reflect the symmetrical manner whereby the broad, tonally static, central prayer (subunit 7B, ♩ = 100) is surrounded by two tonally unstable passages of name calling (7A, ♩ = 112; 7C, ♩ = 120). The first of the outer subunits (7A) prepares the prayer. The second (7C) leads to Falstaff's recognition of Bardolpho.

7A

Introduction: The men call Falstaff names and force him to his knees.

Principal Section: The men and women call Falstaff more names, beat him, and force him to repent. Falstaff tells Bardolpho that he smells of acquavita.

7B

The women say prayers over Falstaff while the men continue to curse him with the epithets of 7A. Falstaff asks only that his stomach be saved.

7C

The men continue to call Falstaff names, demanding that he respond to their charges. When Bardolpho carelessly lets his hood fall, Falstaff recognizes him.

Unit 8: Falstaff's reactions8A395
I,1396
I,1

II,4

8B397
I,1399
I,1

II,6

III,1

400
I,3

The musical notation shows a bass clef staff with a series of notes: C, D, C, D, E, F, G, A, B, A, G, F, E, D, C. The notes are grouped into measures with Roman numerals I, IV, V, and I below them. A 'C' is written below the staff.

8A

Falstaff now jeers at Bardolpho. He begins by using the same pitches (C#-D) and rhythmic motif ($\frac{2}{4}$) that were used to mock him (compare 381/I with 395/I). The chorus agrees with Falstaff's impressions, exclaiming, "Bravo!"

8B

Falstaff learns that "Fontana" is Ford; he also learns that Quickly has deceived him.

Unit 9: Falstaff's summary¹

<u>intro</u>				<u>PrS</u>		<u>Ext</u>	
400	401	402	404	405	406	406	407
I,4	II,1	II,1	I,5	I,1	II,1	II,1	I,1

The musical notation is on a bass clef staff. It shows a sequence of notes: G₂, A₂, B₂, C₃, D₃, E₃, F₃, G₃, A₃, B₃, C₄. Above the staff, there are two points marked (x) and (y). Below the staff, there are two brackets labeled C and E. The C bracket covers the notes from G₂ to D₃. The E bracket covers the notes from E₃ to B₃. There are also some fingerings indicated: I, III, V, I->.

Introduction: Quickly teaches Falstaff a lesson, telling him that he should have known better than to believe that Alice and Meg would sin for a fat, old man (x). There is general laughter at Falstaff (y).

Principal Section: Falstaff explains that, in bringing the opera to life, he has made all its fun and games possible.

Extension: All say "Bravo" to Falstaff's speech. Even Ford is pleased.

¹
The lower case letters in parentheses indicate specific points at which events that I describe take place. These will be compared with similar events in 10B.

10C

Alice points out that Falstaff, Ford, and Cajus have all been scornati (dishorned). Ford learns to accept his new family. General approval is sounded: Evviva!

Unit 11: Finale: fugue

<u>Intro</u>		<u>PrS</u>	
419	421	421	461
II,1	I,1	I,1	IV,3

Introduction: Falstaff calls for a chorus to finish the Scena. Ford promises that afterwards all will dine with Falstaff. Again, all shout Evviva!

Principal Section: The final fugue.

CHAPTER IV

TECHNIQUES OF TONAL, AND TONAL-DRAMATIC ORGANIZATION

Introduction

The underlying tonal plan of the opera may now be discussed. This will be done by first considering the manner in which tonal-dramatic units join together to create a middleground level of tonal organization for each part. Since sometimes basic tonal motions occur within units (those not tonally closed), the internal motions of units that are incomplete prolongations will also require discussion. It is obvious, however, that in this context only open units need be considered. Additionally, when successive units provide either identical tonicizations (cf. I,ii u2-3), or examples of prolonging movement within one primary tonicization (cf. I,ii u2-9), these compound segments may be considered together; their internal motions need not concern us.

After the motions that govern individual parts have been elucidated, we will attempt to understand the tonal procedures whereby these parts join together into acts. Finally, it will be possible to see that a few underlying motions govern the interrelationships between all tonicizations in Falstaff. These motions may be considered the tonal background.

Especially for Act I, I will describe many small-scale motions. Normally occurring in extensions and introductions, these give life

to moments of dramatic and tonal flux. They provide additional understanding of Verdi's most favored tonal gestures for Falstaff, and allow us to view the precision of his musical-dramatic technique.

Distinction will be made between harmonic and contrapuntal motions.¹ Harmonic motions are based on the fifth relationship; contrapuntal motions are not.

The basic harmonic expansions of the motion I-V-I are as follows: I-VI-V-I, I-II,V-I, I-III-V-I, and I-IV-V-I. The space between these harmonically functioning chords can be filled in by a limitless number of ways: in contrapuntal motion, in harmonic motion, or by combinations of both. Furthermore, each of the above harmonic chords itself has the capacity to be prolonged harmonically, contrapuntally, or by a combination of both.

¹A complete explanation of both harmonic and contrapuntal prolongation is given in: Salzer, Structural Hearing, Chapters V and VI.

Act I, part I

The opening part is a prolongation of C major created by two distinctive types of motion: descending thirds and descending fifths. (Example 4-1). Each is prominently featured within a portion of the part. The movement $u1-4A$ is a descent in thirds, both diatonic and chromatic, from C to A major. $U4A-6$, on the other hand, utilize descending fifths to return from A major to C. In showing these relationships, Example 4-1 synthesizes the index of I,i with basic tonal motions which occur in introductions and extensions to units.¹

Example 4-1

	Motion by thirds				Motion by fifths	
<u>Unit 1</u>	<u>2</u>	<u>3</u>	<u>4</u>		<u>5</u>	<u>6</u>
			<u>A</u>	B	C	
Page 1	20	22	24		32	36
	I,1	I,2	I,3		III,4	I,1

The motion in thirds includes two structural levels. First, at an intermediate level, there are two major thirds: F-Db ($u2-3$), Db(C#)-A($u3-4A$). Second, closer to the surface, there are the diatonic

¹The reader is referred to the "Presentation of Units" in Chapter III for additional page references.

thirds, C-A and A-F (u1 - 2PrS). These result from the division of the fifth C-F by A, within the introduction to unit 2. Occurring in an introduction, A is of a lower structural order than the prolonged tonicizations of the units' Principal Sections. The divisions created by this A are, consequently, also of lower structural order than those created by the units' primary tonicizations.

Verdi uses A, between C major (u1: Falstaff's reactions to Cajus) and F (u2: Falstaff's impressions of his past with Bardolpho and Pistola) in order to show that Falstaff is gradually shifting his interest from Dr. Cajus to his own servants. The brief arrival on A occurs when Falstaff calls Bardolpho a "Beone" ("Drunkard"). His reason is the expense of keeping the servant, a problem that first presented itself as Falstaff began to examine the innkeeper's bill (18/II,1 on E, as V/A). A unity of tonal and dramatic purpose is achieved as the dramatic events on V prepare a temporary conclusion on I.

Thirds operate in the introduction to unit 2 on a more micro-cosmic level as well (Example 4-2). The descending fifth E-A is divided by C#. Once again the division works well with the exigencies of the text. C# occurs when Falstaff resumes reading the innkeeper's bill, a moment after he paused to ask Bardolpho to count his funds. The C# Sonority is further articulated by design: the motive changes and the tempo becomes slower.

Example 4-2

Examination of bill	Continuation of bill	Consequence of bill ("Beone")
18 II,1	18 IV,1	20 I,1

Three levels of thirds are now apparent (Example 4-3): (a) between primary tonicizations of units, (b) divisions of larger intervals between units, and (c) enhancements of the motion towards (a) and (b).

Example 4-3

Unit: 1 2 3 4

There are also thirds of a higher structural order, those separating tonal-dramatic units of significant import for the development of the drama. In I, i, u2 and 3 are dramatically subservient to

the surrounding units, 1 and 4. Unit 1 is a broad introduction to the opera and u4 represents the motivation of Falstaff's plot to seduce Alice and Meg and to take their husbands' wealth, a plot which will motivate his actions for the remainder of the opera. Units 2 and 3, on the other hand, are brief portraits, broadening our knowledge of Falstaff. They expand the introduction, but in no way hint at Falstaff's future actions, or those of anyone else. As they are unrelated to the essential dramatic development, u2 and 3 emerge as "filler episodes" and we are led to seek an understanding of the broader dramatic and tonal gestures in the episodes which surround them.

The dramatic drive from u1 - 4 is reflected in the broad descent of a third, from C major to A (Example 4-4). This pushes all prior motions into positions closer to the surface. Verdi's reliance on the third as a basic device in the first half of I,i is clear: he uses this interval at four levels of structure.

Example 4-4

Introduction ——— to ——— Falstaff Plot (Activity)

Unit: 1 2 3 4

C ————— 3^d —————> A

I have not described the role of the harmonic relationship (V-I) in the motion between the C major of unit 1 and the A major of unit 4A, because it has been assigned a role of subsidiary importance: suspended dramatic function has been reflected in Verdi's suspension of harmonic function. His clear preference is for contrapuntal, rather than harmonic, motions in the opening segment of *Falstaff*.

Verdi's approaches to tonal areas after the opening C major give further proof of his desire to weaken and avoid the harmonic relationship in the first half of I, i (Example 4-5). The brief articulation of A major (unit 2, Intro) is approached by an applied dominant whose function is weakened by the C# division (cf. Example 4-2). F major (u2, PrS) is attained by the direct motion of a major third from the implied A major triad. Db major (u3) is achieved by means of its V_5^6 ; and the broad A major (u4A), by its V_3^4 . These last three keys are articulations of major-third divisions of the octave, filled in by a whole-tone descent from F to A. The further implications of Verdi's predilection for motions utilizing major thirds will be discussed in Chapter VI, as we detail the extent and implications of these gestures.

Example 4-5

Unit: 2

3

4

Fifths are used to help fill in the motion between units 2 and 3, but they are ascending, rather than descending, and are clearly subordinated to the descending major third, F-Db (Example 4-6). In fact, they are directed toward Eb, a passing tone.

Example 4-6¹

The image shows two musical staves. The top staff is divided into two sections: 'Unit 2' and 'Unit 3'. It contains a sequence of notes with various annotations. A bracket under the first two notes is labeled 'Ascending fifths' with an arrow pointing right. A large bracket under the entire staff is labeled '+3^d'. The final note is labeled 'Db'. There are also some handwritten notes like '4 b2 b5' and 'b6 b5' with arrows pointing to specific notes. The bottom staff, labeled 'Ex. 4-6(a)', shows a similar sequence of notes with a bracket labeled 'F' under the first two notes and a large bracket labeled '+3^d' under the entire staff. The final note is labeled 'Db'.

The fifths begin at 21/II,3, on the V of F major. This semicadence articulates the conclusion of u2, PrS ("Falstaff's tavern life"). As Falstaff turns from remembering his pleasant times with Bardolpho and Pistola to the unpleasant expense of keeping them, the music reflects his rising tension. It moves upwards in fifths from the V of F to E. This goal is a semitone above the Eb that passes between F and Db (cf. Example 4-6a). Two devices here will be used again: (1) the ascending-fifth technique, to depict rising expectancy and tension; (2) the process of musical continuation a semitone away from the previous goal,

¹A lower case letter added to an example number indicates further level of reduction in the graph.

in this case on Eb, after an arrival on E.

The remainder of I,i moves vigorously by descending fifths as the music returns home: A-D-G-C. As Falstaff describes his amorous plots (u4), the descending fifths A-D-G create a sense of drive towards the final cadence. C is soon attained in the "Honor monologue" (u6). As were the earlier structural descending thirds, these fifths (u4 - 6) are echoed at more immediate levels of structure. The means by which Falstaff's plot will be effected is the pair of identical letters that he sends to Alice and Meg (u5). This unit begins in motion; then it returns to G to create another confirming point of arrival in this important dominant tonicization. In the motion: u4-5, descending fifths appear at an intermediate structural level (Example 4-7).

Example 4-7

Unit 4

32	5	34		III,1	III,2
III, 3	IV,1	I,1			

of G

As Falstaff gives his first letter to Bardolpho, C is attained, a fifth below the local tonic, G. A similar letter is then given to Pistol. When he refuses to carry it, F is tonicized, another descent of a fifth. Thus the descending fifths C and F coincide with Falstaff's attempt to achieve his ends and a frustration he receives along the way. These fifths reflect the overall dramatic gestures, as well as the tonal motion of u4-6.

Before the return to G is accomplished, D, its dominant, appears. This is attained when Bardolpho cites his honor as the reason for refusing to carry the letter. The resolution of Falstaff's problem in transporting his letters occurs when he gives them to a page and the return to G is achieved.

Descending fifths closer to the surface are used in the motion between C and F (Example 4-8). As not all the chords are in $\frac{5}{3}$ position, we become particularly aware of Verdi's interest in bass-line descending fifths to create drive in this latter portion of the part: fifths are used even in the absence of the root positions which normally give them drive.

Example 4-8

Meg's letter to Bardolpho	Alice's letter to Pistola	Pistola refuses
32	33	34
IV, 1	II, 2	I, 1

The musical notation shows a bass line on a five-line staff. The notes are: G2 (quarter), A2 (quarter), B2 (quarter), C3 (quarter), D3 (quarter), E3 (quarter), F3 (quarter). Above the notes are chord symbols: IV (under G), II (under A), V (under B), and I (under C). A bracket under the notes from B to C is labeled with the fraction 5/3. A curved arrow points from the G2 note to the F3 note, with the letter 'F' written below it.

Example 4-8 contains two features that have musical significance beyond its immediate scope.

- 1) It repeats an earlier motion from C to F (cf. Example 4-3); in each case the descent occurs via the divider A. Each time the two constituent parts of one dramatic gesture are emphasized. Here, Falstaff gives Meg's letter to Bardolpho

on C, and Alice's to Pistola on A. The dramatic consequence occurs on F, as Pistola refuses to take his letter. In the earlier example, Falstaff's reactions to Bardolpho and Pistola were divided into their unpleasant facets (summarized on A by "Beone") and their more pleasant ones ("Falstaff's tavern life").

In Example 4-8, the dividing function of A is much weaker than in the earlier example. It passes almost unnoticed within the descending fifths which surround it. Yet it is clear that here, as twice before (cf. Examples 4-2, 3), Verdi uses the tonal divider to great advantage in the depiction of individual portions of multi-faceted dramatic events.

- 2) In both Examples 4-3 and 4-8, the motion C-A is accomplished via the interjection of E, the applied dominant. The initial gesture of an ascending third C-E is of great importance and will be seen at many levels of structure and prolongation. A major, which follows E in both Examples 4-3 and 4-8, is the most frequent initial goal, but it is only one of many possibilities.

Another instance of a bass-line descending by fifths occurs at the beginning of Falstaff's "Honor monologue" (u6, Example 4-9). Once again, the fifths occur at the surface without the $\frac{5}{3}$ position which normally gives them drive (cf. Example 4-8). This bass motion, directed towards C major, is contained within a diminution of the overall motion of u4-6.

Example 4-9

Unit: 4

5

6

36
I,1

IV,2

Musical notation for Example 4-9. The bass line consists of four notes: G2 (VI), E2 (II), C2 (V), and G1 (I). A bracket groups the last two notes (C2 and G1) with handwritten annotations: "(Asc. 5ths)" and "(Desc. 5ths)". Above the notes, there are some markings: "07" above the C2 note and "07" above the G1 note.

The underlying tonal structure of I,i may now be shown. Because of the large-scale dramatic and tonal importance of units 1 and 4 (cf. Example 4-4), intervening events assume positions close to the foreground; a middleground graph for the part, therefore, becomes as follows (Example 4-10):

Example 4-10

Act I, part i. Middleground¹

Middleground graph for Act I, part i. The sequence of Roman numerals is: I → VI - II - V - I. The notes are connected by lines, with a double bar line at the end.

Summary

Act I, part i is a prolongation of C major organized by two types of tonal motion: (1) descending thirds (u1-4), and (2) descending fifths

¹The overall pattern, I-VI-II,V-I, is, as will be shown in Chap. VI, a reflection of the harmonic progression intimately related to the subject of the final fugue.

(u4A-6). Each type of motion is reflected at a surface level in the portion of the part in which it is prominent. Additionally, we have noted certain procedures of motion which have been and will be used more than once in the opera.

The E major portion is closed in dramatic function and design, as well as in tonality. It begins (57/III,2) and ends with the women as they read and react to Falstaff's dreamy letters.¹ Each time these letters conclude with the same music. Dramatically, the broad E major prolongation reflects the women's entrapment of Falstaff.² Because it acts as a tonal-dramatic compound unit, its internal motion need not be discussed. At this point, we merely note the repeated Ab inflection which will be explained later, in the discussion of the overall tonal structure of Act I.

Two distinctive types of motion are apparent in part ii. Again the intervals involved are fifths and thirds, this time ascending rather than descending. Two levels of structure are involved, as the repeated ascent of a third within E major belongs to an immediate tonal level. We will concern ourselves with the middleground motion, the ascending fifths G-D-A-E.

In keeping with the simplicity of the tonal motion of the part, the motion G-D is concise (Example 4-12). A, the V of D, is emphasized by descending fifths: B-E-A. The expectation created by this V of D coincides with Meg's production of her letter.

¹Janos Kovacs has noted the symmetrical design of I,ii, and the contribution of Falstaff's letters to this symmetry. See: "Zum Spätstil Verdis," in Atti del I Congresso Internazionale di Studi Verdiani (Parma: Istituto di Studi Verdiani, 1969) pp. 136-137.

²Cf. Chapter V, pp. 166-167.

Example 4-12

<u>Unit 1</u>		<u>Unit 2</u>
PrS	Ext	Int
52	52	52
I,3	I,3	II,2
53	53	II,1

The motion A-D is divided into two thirds by $F\sharp$, the mixed third degree (Example 4-13). These are filled in stepwise. The arrival on

Example 4-13

Meg's letter	Alice's letter	Letters are read
52	53	II,1
III,2	I,2	II,1

F coincides with Alice's production of her letter. Once again a single tonal motion (V-I) is divided into two in order that one dramatic event (Falstaff's letter) may be divided into its two constituent parts (Meg's and Alice's versions). Descending fifths direct

the motion toward F as they previously directed the motion toward A, and provide the framework for the overall motion: V-I. All in all, we are vigorously led to the singing of Falstaff's letter (u2).

The motion between units 1 and 2 has been that of the ascending fifth G-D, with the drive toward D being reinforced by descending fifths at various levels of structure. While the women read Falstaff's letter, ascending fifths continue as far as E major (Example 4-14). Each new tonicization, harmonically articulated by its applied dominant, is approached as vigorously as the preceding D major. In the ascent D-A, F# divides the fifth into two thirds. Thus Verdi again dilutes the harmonic force of the fifth relationship, pushing it away from the musical surface and using thirds to enrich the foreground.

Example 4-14

Unit: 1 2

 Intro

PrS	54	57	
$\frac{53}{II,1}$	II,3	I,1	III,2

The musical notation shows a bass clef staff with a key signature of one sharp (F#). The melody consists of a series of ascending notes: G, D, A, E, B, F#, C#, G. The notes are grouped into four pairs, each connected by a slur and a brace underneath. Below each pair is a Roman numeral chord symbol: # V - I, ## V-I, # V-I, and # V-I. The first pair (G-D) is marked with a sharp sign (#). The second pair (D-A) is marked with two sharp signs (##). The third pair (A-E) is marked with one sharp sign (#). The fourth pair (E-B) is marked with two sharp signs (##). A horizontal arrow at the bottom points from G to E, labeled 'Ascending Fifths'.

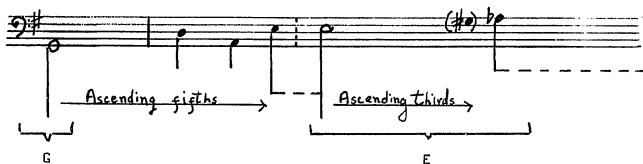
The use of ascending fifths in the motion G-E may be understood in terms of the rising expectancy created as Meg and Alice learn that their letters are identical. We await the women's responses to Falstaff's assaults on their integrity. Soon, in unit 3, they will decide to trick him.

Summary

There are two primary prolongations in part ii, G major and E major. Unit 1 (G major) serves as an introduction to the female protagonists. It prepares their receipt of Falstaff's letters and decision to trick him. This trickery (E major) provides the framework for the rest of the part. The episodes of Nannetta and Fenton (u5,7) in Ab (G#) provide a tonal and dramatic contrast within this framework. (Example 4-15).

Example 4-15

1	2	3	(4)	5
Women pre- sented (introduction)	Falstaff's letter (generates)	Desire to trick Fal- staff		Nannetta and Fenton



Summary of Act I

The two parts of Act I are dramatically parallel in many ways. (Example 4-16). The first unit of each is an introduction to the

Example 4-16

Act I. Background

Act I, part i

Unit: 1	4	5	6
Dr. Cajus (intro.)	Falstaff's desires (mvt. toward action)	Letter sending (action)	Honor monologue (reflection)

DESCENDING FIFTHS

Act I, part ii

Unit: 1	2	3
Women (intro.)	Falstaff's letters of desire (mvt. toward action)	Decision to trick Falstaff (action)

ASCENDING FIFTHS

Example 4-16A

Act I, part i

Act I, part ii

DESCENDING

ASCENDING

character(s) that will dominate its subsequent activities. Falstaff first appears in his reaction to the foolishness of Dr. Cajus; the women first appear in their reaction to the childishness of Falstaff. Falstaff describes his desires for Alice and Meg in descending fifths; the women read his letter expressing these desires in ascending fifths. Finally, Falstaff acts on his desires by giving his letters to the page in G major, the key to which his desires led him. The women act toward tricking Falstaff in E major, the key to which they were led by Falstaff's letter of desire. Thus, the G major of part i (u4-5) and the E major of part ii (u2-9) become large scale goals of motion. Motion by fifths, ascending and descending, are used to effect the arrival at these goals.

The importance of the tonic-dominant relationship can now be appreciated as the primary factor in the tonal organization of part i. The middleground motion of part ii is from G to E. In addition, a tonal mirror symmetry involves the entire Act and is centered about the tonally symmetrical "Honor monologue." Example 4-17 illustrates the use of fifths and thirds in creating this symmetry.

The movements outwards from the C axis of the "Honor monologue" ascend in fifths, and then by a third. Because part ii begins a fifth above C major (the most direct harmonic connection possible between the two parts), its process of ascending fifths extends a fifth higher than in part i, to E major instead of A. A third added to E major brings the music to Ab (G#) major for the presentation of Nannetta and Fenton, whereas the third added to A major in part i (always moving outwards) brought the music back to the opening C major. It is as if the composer used two techniques for part i, thirds and fifths, and

Example 4-17

Tonal Organization of Act I

Part i Part ii

Honor
Monologue
(unit 6)

C Fifths E

then decided to reverse them both to move into part ii (the G major of unit 1) and through it as far as the Ab (G#) which occurs within E major.¹ This being the case, the G of part ii, unit 1 is tonally subordinate to the following E major, being part of the ascending fifth motion toward it. Additionally, its introductory character reveals its dramatic subservience to the subsequent schemes against Falstaff which are presented in E major.

In conclusion, the background motion of Act I is C-E, a major third up (Example 4-18). To this, another ascending third is added (Ab [G#] major) within the latter prolongation. Falstaff is presented

¹A full discussion of the dramatic implications of these motions will be given in Chapter V.

in C; the plotting women are presented in E; and Nannetta and Fenton, in Ab. Three keys, a major third apart from one another, are established and given their own dramatic associations.

Example 4-18

Act I. Background

<u>Part i</u>	<u>Part ii</u>	
Falstaff	Plotting Women	Nannetta/Fenton

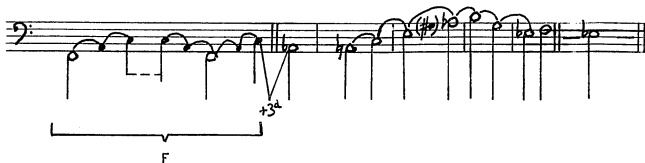
C E

Act II, part i

The tonal motions within this part are among the most complex of the opera. Aside from the prolongation of the Eb major for Scena III (u8-9),¹ there is almost constant motion in thirds (Example 4-19). This makes it difficult to discern a specifically directed linear bass. (Scenae I (u1-2) and II (u3-7) are, however, bound together both by the types of motions they contain (movement in thirds) and by a number of tonicizations that they have in common (F major, C major, and A, minor and major).

Example 4-19

<u>Scena:</u>	<u>I</u>	<u>II</u>			<u>III</u>				
<u>Unit</u>	<u>1</u>	<u>2</u>	<u>3</u>	<u>4</u>	<u>5</u>	<u>6</u>	<u>7</u>	<u>8</u>	<u>9</u>
	127	130	143	148	154	163	170	177	
	II,1	III,1	III,1	II,2	II,1	III,2	I,1	II,3	



Scena I is moderately stable. Because of the constant filling-in of the F major triad, it may be heard as an open ended prolongation of F major. However, it spends much of its time in the dominant (C major), and there is only a weak feeling for F as a governing tonic

¹Boito's Scena divisions, for Acts II and III, were presented in Chapter III.

At that time, the tonal motions that marked the interplay between Quickly and Falstaff (A to C) are repeated to commence the interplay between "Fontana" and Falstaff;¹ the music returns to the tonicizations of the third and fifth degrees of F major that had permeated Scena I.

Although the motion to Ab is deceptive and the key appears unrelated to its surrounding context, Verdi uses an interesting device--tonal anticipation--to connect the Ab of unit 3 to the A major of unit 4. Tonal anticipation may be defined, for this purpose, as the use of a sonority in a non-structural capacity before it is clearly affirmed as a full-fledged tonic. As Falstaff expresses his delight at "Fontana's" arrival (147/II,1) the A major of the following unit is anticipated within the Ab prolongation of "Old John's strength" (Example 4-21). The A is not structural, but is part of an embellishing motion. While

Example 4-21

<u>unit 3</u>		<u>unit 4</u>	
143	147	148	150
III,1	II,1	II,2	III,2

¹Bardolpho had announced Quickly's arrival to Falstaff on A (129/II,2 ff).

Example 4-25

<u>Scena I</u>	<u>Scena II</u>				
Introduction, Quickly's plot	"Fontana's" Introduction	"Fontana's" Plot	Falstaff Accepts		
<u>Unit 1-2</u>	<u>3</u>	<u>4</u>	<u>5</u>	<u>6</u>	<u>7</u>

Example 4-26

Unit 7

170	172	173	174	
I,1	IV,1	II,2	I,1	

During the approach to Ford's "Jealousy tirade" (u8, in Eb), major and dominant seventh chords emphasize key words (Example 4-27). Strikingly, however, these root-position tones are converted into supports for an arpeggiated diminished seventh chord, which ultimately falls an entire octave, D-D. The sound of the diminished seventh chord, itself, is saved for the most important word, letto ("bed").

Example 4-27

letto

Ex. 4-27a

Summary

Ford's "Jealousy tirade" (u 8) remains entirely within Eb. As "Fontana" and Falstaff exit together the final question posed in our minds--Who will be the fool?-- is stated in Eb. The tonal plan that governs part i, then, is the repeated motion F-Eb (Example 4-28). First, there is a chromatic passing tone, E. The second time the motion is direct, possibly a reflection of Ford's lesser stature in the opera. In each case the question as to the outcome of the trickery is posed in Eb, a key that first appeared as a surprise.

Example 4-28

Units: 1-7(Quickly and Ford
Trick Falstaff)B U T:7-9(Ford suddenly be-
lieves himself to be
duped by Falstaff)

F → Eb

F → Eb

The part begins with the scheming women as they fill each other in on recent plot developments (u1, C major). After setting the stage for Falstaff's entrance, they gleefully anticipate his impending discomfiture (u2, C major). The descent of the fifth G-C signals a return to C major after a long absence (since the end of I,i). It serves well to introduce "the play within a play" about to begin. There is a marked similarity between the opening of II,ii and the women's initial introduction (I, ii u1-2). There as well, the initial segment was directed, both dramatically and tonally, toward the following events: the women's anger and plotting, depicted in E major (Example 4-30).

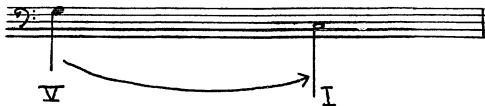
Example 4-30

The introductory function of G major in Acts I and II

Act II, part ii

Unit: 1
191
I,1

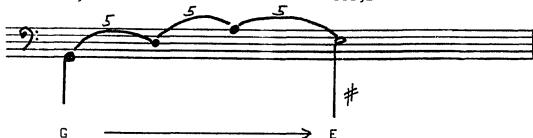
2
205
III,4



Act I, part ii

Units: 1-2
47
I,1

57
III,2



Soon other tonal and dramatic parallels occur (Example 4-31). Falstaff enters, singing of his love for Alice (214 ff.) in the key (A major) in which he first sang of her charms (I,i u4A). Quickly announces Meg's arrival (227/I,2) in the key (D major) in which Falstaff initially declared his interest in this second woman (I,i u4B). In I,i, the motion A-D moved toward a C major resolution (u4-6, A-D-G-C). Here, however, it is contained within an A major prolongation.

Example 4-31

The descending fifth associated with Alice and Meg

Act II, part ii

Unit: 2

<u>3A</u>	<u>3B</u>
(Alice)	(Meg)
214	227
I,1	I,2

232
I,4

<u>4</u>
Search for Falstaff I
234
III,1

Act I, part i

Unit: 1

<u>4A</u>	<u>4B</u>
(Alice)	(Meg)

56

The enclosure of the fifth A-D within A is explained by the earlier use of this descent. In I,i, descending fifths directed toward C major depicted Falstaff's anticipation of the fulfillment of his desires; there was a decrease in dramatic tension. In II,i, however, Falstaff is about to be thwarted. When Ford enters, searching furiously for the Knight (u4), the music moves up a fifth toward further excitement, instead of down towards a point of relaxation (cf. Ex. 4-31).

Soon Ford and his sidekicks leave. As they do so, the excitement over the outcome of their search is interrupted. This points to another important parallel: between the use of E major in I,ii (u2-9), and its use here (Example 4-32). In each case, E major depicts activity directed against Falstaff; is approached by ascending fifths; and is left suspended, in accord with the lack of dramatic completion at the end of its prolongation.

After Ford leaves, the women hide Falstaff again, this time in a laundry chest (u5). The return to C major shows that a new phase of activity has begun. Unit 5 terminates with an open ending. This interior motion (I-V) parallels the immediately prior ascent (A-E, u3-4): both contribute to the continuing dramatic drive (cf. Ex. 4-32).

Ascending fifths in Acts I and II

Act II, part ii

Unit: 2345

Search for
Falstaff
234
III,1

Falstaff put in
chest
240
III,i

242
II,3

Act I, part ii

Unit: 129

Nannetta and Fenton's duet (u6) creates a lull in the surrounding search, as their earlier duets (I,ii) provided a respite to the scheming against Falstaff (Example 33). In both cases, their music provides an interval-dividing episode on III (half way between I and V), and mode mixture differentiates the loving couple from the surrounding plotters. This time the third degree of the enclosing key is lowered.

The Nannetta/Fenton duets as an interruption in the drama

Act II, part ii

Unit: 5Falstaff put in
chest
240
III,16Nannetta/Fenton
(Interruption)
245
I,17Search for Falstaff II
247
II,1

Act I, part ii

Units 2-4Men and women
call Falstaff
namesUnit 5Nannetta/Fenton
(Interruption)Unit 6Women plot against
Falstaff

The dominant of C is attained when Ford resumes his search (u7, motivically identical to u4). This unit temporarily concludes the more frenetic phase of Ford's activity (Example 4-34). This excitement does not resume until much later, when Bardolpho and Pistola believe they have spotted Falstaff on the stairs (u9, same motive as u4,7). In the meantime, while Ford stealthily approaches the screen, the music slows down and a new beginning in C major emphasizes the dramatic lull (u8).

Unit: <u>2</u>	<u>3</u>	<u>4</u>	<u>5</u>	<u>6</u>	<u>7</u>	<u>8</u>	<u>9</u>
		Ford's Search I			Ford's search II	Stealthy approach	Final search
			(Interrup- tion)			(Interrup- tion)	(Falstaff dumped)
	205 III,4	212 II,1	234 III,1		247 II,1	252 III,4	284 I,1

Unit 8 is a greater interruption in the drama than is apparent from the surface change of pace. The return to C major and the concomitant change of tempo, from Allegro ($\text{♩} = 138$) to Andante ($\text{♩} = 80$), are sparked by the sound of a kiss that Ford hears behind the screen (252/II,4). Believing Falstaff and Alice to be the offending couple, Ford continues his search for the Knight. The audience, however, knows that it is Nannetta and Fenton who are at play, that Ford's stealthy attack is in pursuit of them.

While Ford is approaching the screen, Falstaff pops up from the chest, and the women push him down to keep him hidden. Simultaneously, the lovers sing a duet. Thus, unit 8 synthesizes the dramatic content of the preceding interruptions: the women's hiding of Falstaff (u5), and Nannetta and Fenton's duet (u6). The internal structure of unit 8 (I-III-V-I¹) reflects the tonal motion of u5-7 as a whole.

¹Cf. Chap. III.

Finally Ford overturns the screen, expecting to find Falstaff with Alice; instead, he finds his daughter with Fenton (p.281). After expressing his fury at the young couple, Ford goes off to resume his search (u9), and the women take command: They have Falstaff dumped in the river.

The descending fifth associated with Alice and Meg now returns to C (Example 4-35; cf. Example 4-31). The downward fifths between D and C (i.e.: II-V-I), however, are abridged by the use of a neighbor chord.¹ This makes the return to C a tonal surprise to the listener, as the sight of Falstaff is a visual surprise to all on stage.

Example 4-35

284	287	288	289	290
II,1	I,1	III,1	I,2	I,2

¹The D major chord becomes a dominant seventh. C, its seventh, is then treated as a common tone in the motion to a diminished seventh on D#. This, in turn, resolves as a neighbor chord to C. D# and F# resolve as inner voices, moving to E and G respectively. Verdi's abridgment of the descending fifth series is discussed further in Chapter VI.

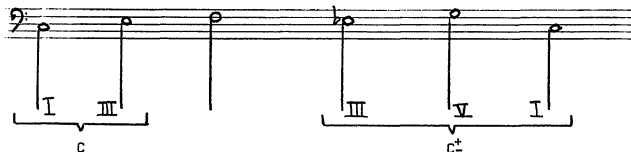
Summary of Acts I and II

As the tonal and dramatic motions in Acts I and II form a broad arc in themselves, it is most appropriate to examine the entire structure up to this point (Example 4-36). Act I is an exposition of both Falstaff's plots and those directed against him. II,i develops the intrigue; Falstaff is lured toward an appointment with Alice. This part closes with a question mark for Ford; he fears that Falstaff has turned the tables on him. The temporary conclusion to all these sub-plots occurs in II,ii: Falstaff is "cleansed" in the river. However, the discovery of Nannetta and Fenton together creates a complication which drives the plot forward.

Example 4-36

Acts I and II. Tonal-dramatic outline

<u>Exposition</u>	<u>Development</u>	<u>Denouement</u>
Act I	Act II	
part i part ii	part i	part ii
Falstaff Others	Quickly vs. Falstaff	Ford vs. Falstaff
		Falstaff "purified." Nannetta and Fenton are discovered.



The subservience of F to Eb

Eb depicts the outcome of the drama as it ends the development of its opening arc; two motions from F have brought us to this point of expectation. The parallel intrigues of the women and men have prepared Falstaff's entry into the home of mistress Alice; we await his visit (cf. Ex. 4-28).

Immediately following the Eb of II, i, an ascent to G prepares the return to the tonic. The motion Eb-G is reminiscent of the initial background ascent C-E (Example 4-37). This strengthens our view of the drama, that the segment on Eb represents the goal for II, i. It is from here that the return to C (via G) is accomplished.

The passages in F major constitute an area of questioning; Falstaff is not yet set to encounter Alice. Musically, this is reflected by the subservience of F to Eb, much like that of an upper neighbor. The neighbor motion is symmetrically surrounded by two ascending major thirds: the first, away from the tonic; the second, part of a return.

Example 4-37

Acts I and II. Background tonal motion

Act I Act II

$+3^d$ $+3^d$

I III III V I

$\underbrace{\hspace{10em}}$ $\underbrace{\hspace{10em}}$

C C $^+$

F, in C major, is generally either part of a basic harmonic progression (I-IV-V-I) or a passing chord (e.g. I-III-[passing IV]-V-I).

Here, however, it is a neighbor tone; F delays, rather than facilitates, the ultimate V-I progression. The reason for this delay is dramatic: we wait for Falstaff to swallow all the bait, that of both Quickly and "Fontana."

Act III, part i

After Falstaff's opening soliloquy, Quickly comes to lure him toward a fresh encounter with Alice: he is duped by the women once again. Soon, Ford describes his plan to marry Cajus to Nannetta. Presenting a new intrigue for Ford, and repeating an old one for Falstaff, III,i contains both expository and developmental facets.

As can be seen from Chapter III, the motion within this part is that of the descending fifth A-D, ultimately headed toward the C major conclusion of III,ii. This descent is, therefore, related to the motions A-D-G-C of I,i (u4-6), and A-D-Neighbor chord-C of II,ii (u9). In each of these cases, the same descent (A-D) has depicted successive stages of the working out of the drama of Falstaff and the women.

* * *

Act III, part ii

Units 1-3 form a compound unit. Falstaff is brought into the same tonal sphere as Nannetta, Fenton, and Alice--perhaps because these four are the true protagonists of the drama. (Example 4-38) It is Falstaff, moreover, who brings the music back to its home key of C, when he learns that love, which transformed Jupiter into a bull, has transformed him into a beast (u3). The ascent of a major third, Ab-C, is accomplished by the descent of two such thirds: Ab-E, E-C. As the

parallels between Falstaff and Jupiter are drawn, the three major third related keys of the opera are brought into close proximity.¹

Example 4-38

<u>Unit 1</u>	<u>2</u>	<u>3</u>		
Fenton and Nannetta	Alice	Falstaff		
331		341	343	344
I,1		I,1	IV,1	II,3

As Falstaff joins Alice in a "love duet" (u4), he is trapped for the last time. Soon, tension is heightened by an open ending (on V), as Falstaff hides from the approaching witch pack (Example 4-39).

Example 4-39

<u>Unit 4</u>		<u>Unit 5</u>	<u>Unit 6</u>		<u>Unit 7</u>
Falstaff with Alice	Falstaff hides	Fairy Queen	Intro Discovery of Falstaff	PrS Physical torment of Fal- staff	Falstaff repents
344	349	350	361	361	380
II,3	II,2	I,1	II,1	III,2	I,1

¹This return, Ab-E-C, reverses the motion of Act I: C-E-Ab; cf. Ex. 4-18

When the Fairies enter (u5), Falstaff fears for his life. Yet, their idyllic episode acts as the earlier duets of Nannetta and Fenton: dramatically, it provides a lull in the surrounding activities directed against Falstaff; musically (on A major, or V I/C), it fills in the space between I and V of the surrounding tonality. The use of A major for this unit is reminiscent of its use in the first Falstaff-Alice duet (II,ii u3). That encounter led to Falstaff's initial trial, his watery cleansing. This one will lead to his second and final ordeal, his physical tormenting by the imps and sprites (u6). Descending fifths accomplish the motion to this punishment (u6, G major) and continue on to Falstaff's final repentance (u7, C major).

Unit 7 concludes the growth drama of Falstaff, the hero. As he repents for his prior sins, the women pray for his soul. Thus separated from his earlier infantile state, Falstaff recognizes Bardolpho as his torturer, and his ordeal comes to an end. Unit 8 ("Falstaff's reactions") echoes and reflects upon the substance of unit 7. As Falstaff reacts successively to the true identities and motives of Bardolpho, "Fontana," and Quickly, the C major tonicization of unit 8 continues, and thus reinforces, the previous arrival.

Unit 9 moves to E major for "Falstaff's summary." Its introduction effects the tonal transition from C to E and, as was explained in Chapter III, is divided into two parts (Example 4-40):

- (1) Quickly leads in teaching Falstaff a lesson (C major)
- (2) There is general laughter at Falstaff (E major)

Thus, each part of the introduction serves as one type of commentary on Falstaff's growth ordeal and is associated with one of the surrounding keys. Commenting that Falstaff is a mostro raro (rare monster),

Ford links the two parts of the introduction by a brief descent in thirds.

Example 4-40

Unit 9 Introduction

1. lesson to Falstaff	"mostro raro"		2. laughter, poking fun
400	402		404
I,3	II,1		5
	2 3 4		5

The E major of "Falstaff's summary" (u9) is a key previously associated with peoples' plots to trick one another. However, the function of unit 9 is slightly different. Instead of Falstaff hatching his own plot, he tells everyone else that without him they would not have been able to have hatched theirs. Because Falstaff alone has made all the games possible, his growth and learning have diffused the energy of the actual plots against him, obviating their necessity. Only the memories of these intrigues remain. "Falstaff's summary," then, is an important one: drawing the characters together, it unifies the plots by identifying Falstaff as their source. It also serves as an interlude, separating the unraveling of the plots around Falstaff from the following marriage ceremony.

It is interesting that "Falstaff's summary" was not in Boito's original text, but was added into the libretto draft in a different

ink, presumably at a later date.¹ This reinforces our interpretation of it as a "filler" episode, enriching the drama without moving it forward. Tonally, too, it acts as a "filler," being on III, within the ascent from I to V (Example 4-41).

Example 4-41

<u>Units 7, 8</u>	<u>Unit 9</u>	<u>Unit 10</u>
Neutral beginning Falstaff's growth	Summary interlude Memory of trial	Growth as goal Marriage
C major (I)	E major (III)	G major (V)

A concise transition leads to the "Marriage" (u10) which is tonally open, but highly unified by being closed in design (Example 4-42).

Example 4-42

Design of unit 10

Marriage (u10A)	Interlude (u10B)	Acceptance (u10C)
A a b a ¹	B c	A ¹ a ²
G major (tonally closed)		Ab major (ends on V, Eb)

The portion representing the marriage ceremony proper (u10A) is self-contained as a tonally closed subunit with an a-b-a' form. This placid ceremony, so distinctly set off from its hectic surroundings, serves as the much sought-after goal toward which a drama of growth must logically move. Such a ceremony brings to the drama acceptance

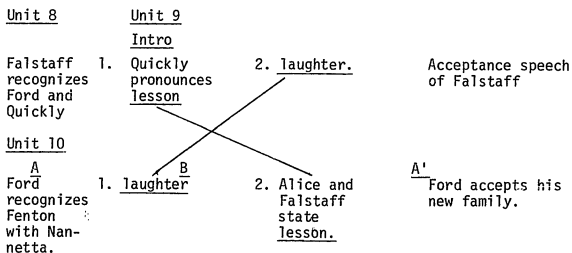
¹This insert begins with the line of Text: "E un mostro raro" ("And a rare monster" pp. 402 ff.) and ends with the line: "Ma bravo!" (p. 406). It appears in the libretto draft, gathering III, folio 18v.

of the fresh new values of continuing life. The choice of G major, the dominant, for the marriage of Nannetta and Fenton emphasizes the importance of this union: it is a goal toward which the music must move before it reaches its conclusive tonic resolution. It has been prepared by the ascending motion I-III-V (Cf. Ex. 4-41).

The central interlude (u10B) is a dramatic parallel to the introduction to unit 9 (Example 4-43).¹ Whereas earlier the players reacted to Falstaff's discoveries, they now react to Ford's recognition of his daughter with Fenton. This reaction contains (1) laughter and (2) a lesson. The reversal of the earlier order of these two events is necessary because Ford has not yet been ridiculed; it is necessary to laugh at him a bit before he becomes deserving of the growth that his lesson will provide.

Example 4-43

Comparison of lessons taught to Ford and Falstaff



The interlude is an important tonal and dramatic transition. The musical gestures contained therein conform to its bipartite dramatic

¹Also, cf. Chap. III.

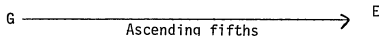
division, and also reflect earlier musico-dramatic gestures. First, the laughter at Ford is accompanied by ascending fifths, from G to E (Example 4-44). This recalls the initial presentation of the women (G major; I,ii u1). Then, too, the music moved by ascending fifths to E (u2) as the women's reactions to Falstaff's letters gradually developed. Their response culminated in laughter (58/II) and in their designs against Falstaff.

Example 4-44

Ascending fifths in Acts I and III

Upsetting event

- | | | |
|---|---|--|
| <ol style="list-style-type: none"> 1. Women receive Falstaff's message (I,ii u1-2) 2. Ford witnesses marriage (III,ii u10A) | } | <p>Expectancy
and
Laughter</p> |
|---|---|--|



In III,ii, the motion occurs as follows:

411	412	413	414
I,3	I,3	I,1	I,1



Because both events (in Example 4-44) begin with tonally closed G major segments, their similarity is underscored. Each time the expected tonal function of the dominant is set aside; instead of a descent to the tonic, an ascent to E follows. Also, each episode involves

the women--the first, directly; the second, in so far as it is the women who plan the marriage.

If the parallel to I,ii were carried further, Ford might now plan to get even with the women. What follows instead, is a pause, and then the second part of the interlude, the lesson. The reason for the change at this point is clear: while the women were right to be annoyed with Falstaff, Ford is ridiculous in condemning the marriage.

In the second part of the interlude, the motion from E first ascends to B (the backward referring dominant), and then descends (through G and F), to Eb, as V/Ab (Example 4-45). The pause on Eb is similar to the one which ended II,i. Then (in the descent F-Eb) a question was posed: who is the fool, "Fontana" or Falstaff? Here a similar question exists. Falstaff asks Ford who the scornato ("dishorned one") is. Alice soon answers tutti e tre ("All three"); Falstaff, Ford and Cajus. As she provides the answer, the Eb dominant moves on to Ab (Example 4-45).

Example 4-45

Unit 10A

415				416		417
I,1	II,2	II,3	III,2	I,3		I,1

After the interlude the action of unit 10 continues; Ford accepts his daughter's suitor (u10C). Soon a deceptive cadence moves toward the open ending, which itself drives on to the "Finale" (Example 4-46).

Example 4-46

Unit 10C

417	III,2	3	418	II,1	2	III,2	419	I,3
-----	-------	---	-----	------	---	-------	-----	-----

Ab

As Falstaff calls for a chorus to finish the play, the Eb dominant turns into a neighbor chord to the I^6 of C major. The common tone, G, helps to effect a smooth transition between those sonorities (Example 4-47).

Example 4-47

<u>Unit 10C</u>	<u>Unit 11 (Intro)</u>
419	II,1
I,3	II,2

Eb: I
(V of Ab)

N

C: I^6

Because the root-position tonic is achieved only at the end of the fugue subject (within u11, PrS), a strong bond exists between the "Marriage" and "Finale" (Example 4-48).

Example 4-48

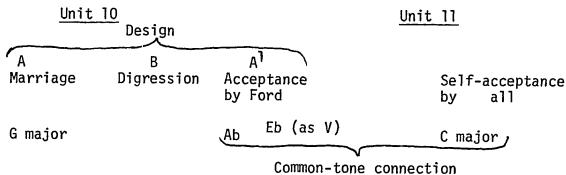
<u>Unit 10C</u>	<u>Unit 11</u>	
419	<u>Intro</u>	<u>PrS</u>
I,3	419	421
	II,1	II,2
		I,1

Verdi uses both the design format and the tonal structure of unit 10 in order to achieve two overlapping musico-dramatic connections (Example 4-49):

1) Design links Ford's acceptance and the marriage

2) A common tone binds his acceptance almost inseparably to the "Finale." The foreground harmonic relation (V-I) is avoided; in its place, a more "floating" ascent of a major third appears. The V-I relationship between the "Marriage" and the "Finale" remains intact. However, it is removed from the surface by the motion Ab-C which interjects itself between these two events.

Example 4-49



Although the common tone G links Ab to C at the immediate level,¹ a more remote connection also exists. C, the top voice tonic of the "Finale," is attained within the Ab prolongation (Example 4-50). The

Example 4-50

Abstraction of the motion G-Ab-C

The image shows two systems of musical notation. Each system consists of a piano staff (treble clef) and a bass staff (bass clef). The notation includes chords, melodic lines, and interval markings such as $\frac{1}{2}$ and $+3$. Roman numerals V, I, N, and I are used to denote harmonic functions. Dashed lines and arrows indicate voice leading and intervallic relationships between notes in the piano and bass parts.

¹ Cf. Ex 4-47

prolongation is attained in a subtle voice leading fashion, rather than by the more obvious harmonic (V-I) descent. Since the ascending major third is one of Verdi's most favored techniques in *Falstaff*, it comes as no surprise that he should return in this manner.

At both the beginning and end of III,ii the ascending major third Ab-C depicts acceptance (Example 4-52).¹ This symmetrical framework surrounds two diatonic motions, each utilizing mixture in its approach to the dominant.

Example 4-52

Act III, part ii

Unit 1-3 4 5 6 7-8 9 10 11

I VI# V I III# V I

The dominant itself is reserved for two crucial events: (1) Falstaff's punishment (u6), which allows him to repent, and perhaps give up his sinful ways; and (2) the marriage of Nannetta and Fenton, the love story's goal. Between I and V, the episodes in VI and III serve as fillers, both dramatically and tonally (cf. Examples 4-39, 41). The ascent C-E appears related to the final motion, Ab-C; both lead from a statement of acceptance to an important summary (Example 4-53).

¹In u3, Falstaff accepts the fact that love has turned him into a beast; in the motion, u10-11, Ford's acceptance of his new family leads to the final gesture of acceptance by all.

Example 4-53

Falstaff accepts fate	Summary speech	Ford accepts fate	Summary <u>fugue</u>
	A B	A ¹	

I III V I

Final Summary

Comparing the two tonal-dramatic arcs (Acts I and II, vs. Act III), we note that the second segment eliminates the enormous exposition of Falstaff's and the women's plots, with their tonic (I,i) and contrasted (I,ii) key areas (Example 4-54). With the motivation provided by a separate section no longer required, necessary fragments of new exposition are compressed within the second development. Therefore, after the expository first Act, two directed motions toward C underline the two-part dramatic form.

Conclusion

Yet, in calling C major a tonic, I am not trying to suggest that every tonal event in Falstaff, a long opera, is as directly related to C as would be the case in a single movement work of a classical composer. To demonstrate such total organic coherence, it would be necessary to study the top voice, the inner voices, and the design: all these would have to fit together. It would be difficult to show that Falstaff is a prolongation of C major in this sense.

Example 4-54

Tonal-dramatic outline of FalstaffDrama: Part OneExposition

I,i
Falstaff The women

Development I

II,i
Entrapment

Resolution I

II,ii
Falstaff washed,
Nannetta and Fenton discovered

I

V

I

Drama: Part TwoDevelopment II

III,i
Entrapment

Resolution II

III,ii
Falstaff tormented
Nannetta and Fenton married

N

I

If all the bass graphs in Falstaff were put together, side by side, the result would not resemble one to be found in an instrumental work: one controlling progression does not exist. There is, however, a series of tonally organized events held together by a large-scale plan in which C major acts as a referential center. Motions away from and back to C provide musical parallels to the dramatic evolution. This, in itself, reveals a large-scale concept of tonality which embodies the entire opera.

CHAPTER V
 THE CORRESPONDENCE OF TONAL
 TO EMOTIONAL EVENTS IN
FALSTAFF

"Studies of Verdi's music from the point of view of tonality and drama have just begun."¹ Martin Chusid, in his discussion of La Traviata, has shown the importance of the key of F major in depicting the romance between Alfredo and Violetta. He has also found a fairly consistent association between this key and "lovers' happiest moments" in other, mostly later, Verdi operas.² Further investigation of Verdi's operas is likely to reveal additional significant examples of key association.

If, within a single opera, one dramatic idea is associated with one key, and a second dramatic idea with a second key, then it follows that a tonal metaphor for a dramatic juxtaposition or conflict may exist in a key juxtaposition. When repeated key contrasts reinforce dramatic contrasts, a highly effective musical drama evolves. Exploration in these areas by David Lawton³ and Martin Chusid⁴ has

¹Martin Chusid, "Drama and the Key of F Major in La Traviata," Atti del III Congresso di Studi Verdiani (Parma: Istituto di Studi Verdiani, 1974), pp.89-121. The quotation appears on pp.112-113.

²Ibid., p.121.

³"Tonality and Drama", Chapter IV.

⁴"Rigoletto and Monterone: A Study in Musical Dramaturgy," Proceedings of the XI International Musicological Society, Copenhagen 1972 (Copenhagen: Editions Wilhelm Hansen, 1974), 1: 325-336.

shown that in Rigoletto, the tonal areas C, Db, and D have great dramatic importance. Motions up from C to Db and down from D to Db occur repeatedly in the large scale and in the small. They are used in situations that represent the tragic outcome of the drama.

In Falstaff, Verdi further developed the technique of correlating keys with dramatic and emotional events. Each of three major-third-related key centers (C, E, and Ab) has a strong and fairly consistent dramatic function. Other key centers, especially Eb, A, D, and G, have specific dramatic functions as well. In this chapter, I will explicate Verdi's use of tonal centers to represent the unfolding of the drama.

A. Introduction to the Musico-dramatic

Use of Contrasting Keys: The

Dr. Cajus Episode (I, i u1)

This initial episode utilizes the keys of C major and E major in close juxtaposition. Each portrays a specific dramatic or emotional situation. After a C major opening, the opera moves rapidly to E as Falstaff shows his mastery over Dr. Cajus with the words: Ho fatto ciò ch'hai detto (p.4, "I did what you have said"). Falstaff's nonchalant dismissal of the doctor's just charges clearly shows Cajus's weakness in relation to Falstaff. As E major is confirmed by a V^7-1 cadence (4/III,3-IV,1), the key change is emphasized by a change of tempo to meno mosso, by a new theme repeated through four octaves, and by a change from the staccato of the opening theme to a more gentle legato.

Thus within twenty-six measures of the opera's opening, C major and E major, two of its main tonal areas, are presented and contrasted in their emotional and dramatic associations.¹ When these keys recur later, after the Cajus episode, they retain the affective connotations they acquire in these opening measures. C major sets the stage for the ensuing conflict between Cajus, on one side, and Falstaff, Bardolpho, and Pistola, on the other. It acts as a dramatically neutral starting point from which the conflict emerges. When Cajus enters (2/II,1), he speaks in the past tense, accusing Falstaff of having beaten his servants, worn out his mare, and broken into his house. C major represents the world as it existed before these accusations, possibly before Falstaff took advantage of Cajus.

Dr. Cajus's passive, engulfed state is presented in E major.² The Doctor, although he rants and raves, is powerless to bring Falstaff and his fellow rogues to account. Throughout the opera the dominance-submission contrasts central to its contests of control are exposed in E major. It is the key whose meaning is best expressed in Boito's phrase: Tutti gabbati ("All are taken in").

Cajus, before his exit, brings the music back from E to C as he resolves to join different companions, should he ever again drink at the inn (15/II,1 ff). As the music returns to its starting point, and Dr. Cajus once again regains a degree of control over his environment, we see that C major acts as a tonal picture frame. Dramatically neutral,

¹To facilitate discussion of the opening, the reader should insert measure numbers into his score, mm. 1-26.

²4/IV,1. The use of E major is previewed by the use of E minor (2/I,2 - 3/II,2).

it contains within its borders the portrait of a conflict and the plight of a gabbato.

By asserting his ability to choose new and future drinking partners, Cajus shows that he has grown. He has learned, for the time being, that he will obtain no satisfaction from Falstaff, Bardolpho and Pistola. This knowledge prompts Cajus both to exert a limited degree of control over his environment and to move out of a situation in which he has been powerless. With resignation, he asserts the only control of which he is capable--over his future choice of friends--and he leaves the tavern:

Giuro che se mai	I swear that if ever
M'ubriaco ancora all'osteria	I get drunk again at the tavern
Sarà fra gente onesta	It will be among honest,
Sobria, civile e pia.	Sober, civil and pious people.
	(15/11, 1 ff)

From a psychoanalytic point of view,¹ the Dr. Cajus episode depicts the state of oral fusion. It reminds us of that period of life when we were totally cared for, however poor this care may--at times--have been. Cajus, in his powerless state, is much like the symbiotic child. His mother, represented by Falstaff, Bardolpho, and Pistola, is both disappointing and manipulative: Cajus, having been provided with vital liquids, has been duped. The Doctor is rightfully angry at having been let down by those he trusted. His anger motivates him to break away from his symbiotic union with these rogues. In doing so, he repeats

¹Elements of the psychoanalytic discussion of Chapter II will be repeated in this Chapter in order that the underlying dramatic and musical unities may be more closely correlated.

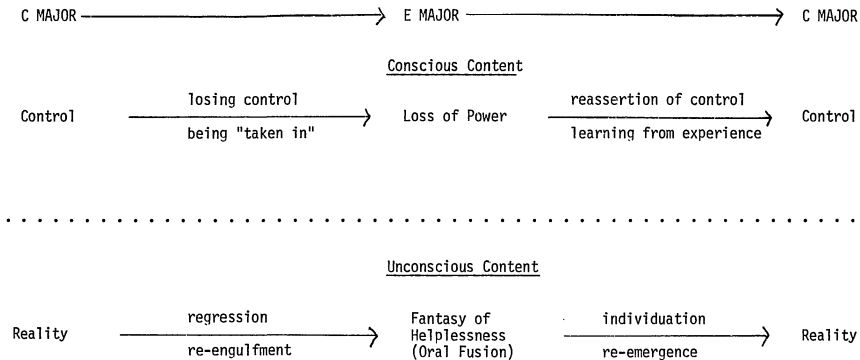
the actions of a child who, in the individuation process, breaks away from a state of oral fusion with his mother and, thus, discovers his own identity.

Bardolpho, by telling us that Cajus fell asleep and had a dream of being duped, emphasizes the fantasy content of the episode. Normally a fantasy of passivity is pleasurable: we all enjoy being taken care of. However, the Cajus episode portrays its unpleasant aspects. These, by creating a desire for change, motivate the Doctor's growth. Thus, the unconscious meaning which underlies the story of Dr. Cajus's entrapment and his subsequent growth out of a helpless state is: a fantasy of re-engulfment with a nurturing mother-figure followed by a re-emergence from the spell of this symbiotic state.

Example 5-1 explains the literal and psychoanalytical meanings of the Cajus episode. The events depicted proceed forward, from left to right. The unconscious or fantasy content below the dotted line generates the conscious, literal, or manifest content above. At the left, I have depicted Cajus's control that existed before he became drunk. After all, he did have a house with servants. The initial state of control is correlated with the neutral reality of the C major opening. Next, I have depicted the state in which Dr. Cajus lost his power; this is correlated with the fantasy of oral fusion and is presented in E major. Finally, I have shown Cajus's return both to the state of control and to the reality frame of C major, which ends the episode.

Our interpretation of the dramatic functions assigned to C major and E major in the opening of the opera (pp.1-4) can be confirmed by a

Example 5-1
THE GROWTH PROCESS



brief examination of Verdi's sketch for this segment (Example 5-2).
The juxtaposition of C with E, apparent in the final version, is even sharper here:

EXAMPLE 5-2
Sketch for Falstaff¹

The image shows a handwritten musical sketch for Falstaff, consisting of five systems of music. Each system is labeled with a measure number in brackets: [3], [6], [10], [15], and [19]. The notation is dense and includes various musical symbols, including notes, rests, and dynamic markings. There are numerous handwritten annotations and corrections throughout the sketch, particularly in the lower systems. The ink is dark, and the paper appears aged and slightly stained. The overall appearance is that of a working draft or a composer's sketch.

¹The sketch, reproduced here as Ex. 5-2, appears in C. Gatti, Verdi Nelle Immagini (Milano: Garzanti, 1942), p.187. On the right hand side

The main tonal event of the sketch is a motion from C major to E major. The same new theme articulates the arrival on E through four octaves as in the final version (Example 5-2, mm. 18ff). While much of the sketch is difficult to read, it is clear that originally only eighteen measures were required to reach the arrival on E, in comparison with twenty-six measures in the final version. Thus, the important tonal juxtaposition between C and E was clear in the composer's mind at an early compositional stage. Later, even the opening staccato theme underwent change.²

As Verdi expanded the tonal motion of the sketch in creating a final version, he apparently filled in the transitional area between C major and E major. Thus, the sketch is rather like a tonal skeleton, revealing some of the prolongation of the background C to E motion. Motivic and tonal details have been changed, but the tonal path remains (sketch, mm. 1-18; score, mm. 1-26). This use of a sketch as an "abbreviation", revealing the tonal material that will be expanded, is

1(cont'd. from p. 156)

of the page, it is incorrectly labeled as a sketch for *Otello*. The bottom staff is a rhythmic sketch for mm. 11-16. I would like to express my gratitude to Maestro Mario Medici, of the Istituto di Studi Verdiani, for helping me to obtain authorization to reproduce this example.

While this is the only sketch that has been made available for study at this time (May 1976), the Carrara-Verdi family possesses sketches for the complete opera. The community of Verdi scholars anxiously awaits the release of these sketches.

²The sixteenth note group of m. 4 of the sketch, f# - e - c - a, was changed to f# - d - c - a in the final version. The sixteenth note group of m. 1 is difficult to read. Because m. 1, where legible, is a fifth below m. 4, I have read the first sixteenth note group as: b - a - f - d, changed in the final version to: b - g - f - d.

consistent with what is already known of Verdi's compositional procedure. Pierluigi Petrobelli has noted a similar use of sketch in *Rigoletto*.¹

Expanding his sketch into a final version, Verdi strengthened the musical-dramatic content of the introduction. Both versions have an arrival in E minor (m. 6) confirmed in the next measure. From here the sketch moves through two diminished sevenths and arrives on B, the V of E (m. 11). This prolonged B resolves to E (m. 18). A bit earlier there is a hint of E major (mm. 11-12) as a B_2^4 resolves to an E^6 chord (Example 5-3).

EXAMPLE 5-3

Bass graph of *Falstaff* sketch.

The diagram shows a bass staff with a melodic line from measure 1 to 18. Measure numbers are indicated above the staff: m. 1, 4, 6, 7, 8, 10, 11, 12, 14-17, 18. A dashed line arches over the staff from measure 7 to 18. Harmonic annotations include: a Roman numeral 'V' with an arrow pointing to measure 1; a 'b' symbol below measure 7; a bracketed section from measure 11 to 12 containing a '# 4 2' and a '# 6 (I)'; and a Roman numeral 'V' with an arrow pointing to measure 18. The melodic line consists of notes: m. 1 (G2), m. 4 (B2), m. 6 (D3), m. 7 (E3), m. 8 (F#3), m. 10 (G#3), m. 11 (A3), m. 12 (B3), m. 14 (C#4), m. 15 (D#4), m. 16 (E4), m. 17 (F#4), m. 18 (G4).

¹Pierluigi Petrobelli, "Osservazioni sul processo Compositivo in Verdi," *Acta Musicologica* 43 (1971): 125-142. See especially the discussion of the recitative between *Rigoletto* and *Gilda* which opens the last act. pp.140-142.

Essentially, from m. 6 on, the music of the sketch is within an E prolongation. However, the final version has a different structure. It contains a strong return to C (Example 5-4; m. 19). This return makes the initial E minor gesture part of a broader C major prolongation, rather than a prefix attached to the following E major. At m. 19 the final version begins a second motion toward E, this time E major.

EXAMPLE 5-4

Bass graph of Falstaff opening, final version.

The final version is stronger because: 1) two C to E motions are created; 2) the effect of E major is not weakened by an immediately preceding E minor; and 3) the motion between the C prolongation (mm. 1-19) and E major is accomplished by an even quicker juxtaposition of these keys than existed in the sketch.

The reason for creating a separate E minor prolongation is clear. It is here that Cajus first enters (m. 8), furious with Falstaff. The

Knight initially ignores him (mm. 12-13) and then ridicules his charges (mm. 16-17). The E minor segment concludes and the music returns to C (m. 19), as Cajus is briefly taken aback and we await a new beginning of his accusations.

Thus the E minor prolongation is part of an introduction to the Cajus episode, and is contained within an initial tonic expansion (mm. 1-19). Dramatically, the integrity of this introduction is also clear. It presents both Cajus's initial accusation against Falstaff and his inability to get the restitution he deserves. Depicting these frustrating events in one short, tonally closed, gesture, the introduction presents the dominance-submission conflicts which will pervade the Cajus episode.

Within the brief prolongation of E minor (mm. 7-16) there is another juxtaposition of E and C that, while smaller than the one discussed above, is nevertheless significant. Although Cajus is furious with Falstaff for having beaten his servants (mm. 11-12), the rogue couldn't care less; he asks the innkeeper for another bottle of sherry (mm. 12-14). As he does so, Falstaff brings the music back into a C major sonority (m. 14) which has a passing function within the E prolongation (Example 5-5). This return to C gives Cajus a chance to start again--on a larger scale, to continue--with the sonorities associated with E.

Melodically, the juxtaposition of C and E is also evident. Falstaff's melodic line (mm. 12-14) is strongly directed toward C. Cajus, throughout the segment under discussion (mm. 8-24), emphasizes E, chiefly by repeated notes on this pitch.

EXAMPLE 5-5

The use of a C major sonority
within an E prolongation
(mm. 7-16)

Cajus accuses Falstaff	Falstaff asks for sherry	Cajus accuses Falstaff again
7 12	14 15	16

E

In summary, we note the consistent function of C major, used as a key or even as a passing sonority. Its use as the beginning or end of a phase of dramatic activity has been seen on several levels in the short span of twenty-six measures. Also, from our study of Verdi's sketch, we can see that it was important for the composer to create a sharp juxtaposition between C major and E (major and minor) at an early phase of composition. Equally clear was his attempt to assign to each of those keys contrasting dramatic associations.

So far, the tonal contrast between C and E has the dramatic purpose of depicting Cajus's engulfment by Falstaff and his companions in the latter key. In the following discussion, I will attempt to show the consistent dramatic function that Verdi assigns to each of these keys. First, whenever possible, the largest prolongations will be

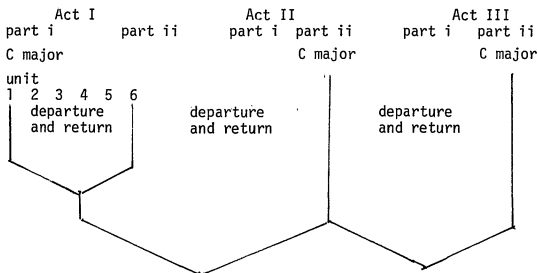
considered: those of entire parts, and those of adjacent units with a common prolongation. Then, I will examine the use of keys as they act as tonics of entire single units. Last, the manner whereby keys retain their dramatic function, even when only locally operative in a portion of a unit, will be discussed.

B. The Dramatic Function of C Major

As the opera continues, Verdi consistently assigns the function of a frame to C major. Three parts contain extended C major prolongations: I,i; II,ii; and III,ii (see Example 4-54). Introducing Falstaff and his desires, the first of these has an expository function; the last two close the broad arcs of the drama. These prolongations reveal that, on the very largest scale, C major maintains its dramatic function. C major also has a framing function in the internal structure of I,i. Only the first and last units are in C; in between there is a departure from the tonic. On a smaller scale, this reflects the departure from, and return to, C in two broad dramatic arcs (Example 5-6).

Example 5-6

The use of C major as a frame



Example 5-7 presents the use of C major in Falstaff for three levels of structure and prolongation: A) Complete tonal-dramatic units, B) One of a group of tonal centers forming such units, and C) Other uses (nonstructural). A lower case code letter is assigned to each use of the key for purposes of discussion.

Tonal-dramatic units completely within one key are the largest tonal building blocks. If a key is to have a consistent dramatic function, its large-scale uses must depict similar events. The framing function of three units (a,b,i) has just been explained (cf. Ex.5-6).¹ Items c, d, and f act as beginnings, or introductions, to the phases of dramatic activity that immediately follow them. Items g and h, together, form an extended C major tonicization. Following Falstaff's final punishment (III,ii u6), they conclude his growth ordeal. To understand 'e,' we must remember that although Ford thinks he is searching for Falstaff, he is really responding to Nannetta and Fenton. His entire search is a new, totally self-contained episode (like 'a'). Thus, all tonal-dramatic units in C major initiate or conclude phases of dramatic activity.

The function of C major remains the same when it is used as one of a group of tonal centers forming a unit (Example 5-7, B). When they come to trick Falstaff, both Quickly and Ford make their obsequious introductions in C major (k¹,l). Following each introduction, Falstaff asks Bardolpho and Pistoia to leave. The servants' double departure emphasizes the similarity between the two situations. The remaining items (j, k², m, and n) all conclude phases of activity.

¹Items in Ex.5-7 will be discussed by their letter designation.

Example 5-7

The Dramatic Function of C Major

A. Complete tonal-dramatic units

Ref.	Act, pt.	Unit	Content	Initial location	Significant activity
a	I,i	1	Dr. Cajus episode		
b		6	Honor monologue		
c	II,ii	2	Women anticipate their fun		
d		5	Falstaff put in chest		
e		8	Stealthy approach to screen		
f	III,ii	4	Falstaff/Alice love duet		
g		7	Falstaff repents		
h		8	Falstaff's reactions		
i		11	Finale: <u>fugue</u>		

B. One of a group of tonal centers forming a unit

j	I,ii	4	Men's exposition	81/ II,2	Ford vows to protect his wife
k	II,i	2	Quickly ensnares Falstaff	k ¹ : 130/III,2 k ² : 143/ I,3	Quickly enters, Bardolpho and Pistola depart Quickly departs
l	II,i	4	"Fontana" introduced	152/ I,1	"Fontana" and Falstaff shake hands, Bardolpho and Pistola depart
m	II,ii	9	Final search for Falstaff	290/ I,2	Falstaff is dumped
n	III,ii	3	Falstaff at midnight	344/ II,3	Falstaff learns that love transforms man into beast

Example 5-7 - ContinuedC. Other uses (nonstructural)

Ref.	Act, pt.	Unit	Content	Initial location	Significant activity
o	II,i	9	Jealousy tirade	182/III,2	Ford would trust his beer to a German rather than his wife to herself
p	II,ii	1	Women prepare stage	193/III,i	Quickly relates how she duped Falstaff
q	III,i	1	Falstaff's dejection	301/ II,i	Falstaff drinks and regains confidence
r	III,i	6	Ford plans the marriage	327/III,2	Ford starts to explain his plans to marry Cajus to Nannetta
s	III,ii	10	Marriage	409/ II,1	A second couple is introduced into the ceremony

In nonstructural situations (Example 5-7,C), C major is also used as a frame. Item r represents Ford's introduction of his plan to marry Cajus to Nannetta; 's' the introduction of a new element into the actual marriage. In the soliloquy that opens Act III, Falstaff is dejected. Drinking gives him a fresh start (q) and makes him feel better. Item p has a recapitulative function; it returns to the past, showing the women what transpired between Falstaff and Quickly. This example is similar to the neutral frame, representing an event outside of the immediate activity. It is difficult to explain 'o'. Possibly-- and I shall discuss this further in my conclusions-- some uses of a key may not be consistent. However, 'o' does reflect Ford regaining his strength as he fights off his fears; as such, it may be a new start.

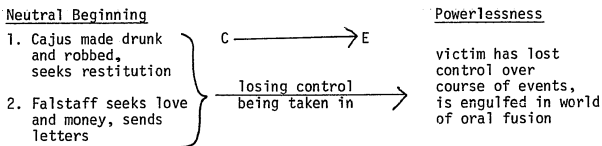
In conclusion, the systematic study of the use of C major in Falstaff strengthens our initial understanding of this key. It represents a neutral reality from which conflicts emerge and toward which they resolve.

C. The Dramatic Function of E Major

The dominance-submission contrasts of the drama are exposed in E major; this is the key of oral fusion. In E, the audience is repeatedly made aware of the central contests of control.

Cajus is brought to E major and then subjected to the authority of Falstaff. The knight, himself, is taken in to this very same key as Act I moves from the C major prolongation of part i to the E major prolongation of part ii, u2-9. This motion is made clearly audible

by the technique of ascending fifths, a direct harmonic path.¹



Falstaff's letters initiate the C to E motion of Act I. The women, in both their initial appearance and in their reading of these letters, respond to the Knight. Indeed, his written words frame the E major prolongation at its beginning (u2) and at its end (u9): the use of E is enclosed within his thoughts. Although Falstaff is not physically present in part ii, his presence is very much felt; plots to trick him dominate the activity. Part ii represents Falstaff's re-engulfment in the world of oral fusion.

Commentary on Example 5-8

All E major events within part ii (a,b,c,d,h,i) may be related to dominance-submission contrasts involving Falstaff. Sometimes people are angry at him for his attempts to trick them (a,d,h,i). In their anger, the men (i) are more afraid of Falstaff than are the women (a,d,h). More childish than the women, they see Falstaff as a substantial threat. The women, for the most part, make light-hearted fun of the Knight (a,b), and laugh at him (d,h). They understand that Falstaff's claims to control are harmless, like a child's. Their

¹Cf. Ex.4-16.

Example 5-8

The Dramatic Function of E Major

A. Complete tonal-dramatic units

Ref.	Act, pt.	Unit	Content	Initial Location	Significant Activity
a	I,ii	3	Women's anger		
b		6	Women's plot		
c		8	Men's plot and their Finale		
d		9	Conclusion		
e	II,i	5	Love temptation		
f	II,ii	4	Search for Falstaff I		
g	III,ii	9	Falstaff's summary		

B. One of a group of tonal centers forming a unit

h	I,ii	2	Letter reading	57/III,2	Letters conclude
i		4	Men's exposition	67/ I,1	Men enter

Ex. 5-8 ContinuedC. Other uses (nonstructural)

Ref.	Act, pt.	Unit	Content	Initial Location	Significant Activity
j	I,i	1	Dr. Cajus episode	j ¹ ;4/IV,1	Cajus tries to force Falstaff to account
				j ² ;13/III,2	Bardolpho claims that Cajus's complaints come from his dreams, Falstaff dismisses Cajus
k	II,ii	1	Women prepare stage	198/II,3	Alice orders the chest.
l		8	Stealthy approach to screen	258/II,1	Ford points to screen.
m	III,i	1	Falstaff's dejection	m ¹ ;291/I,1	Orchestral introduction
				m ² ;302/IV,3	Falstaff feels effect of wine
n		6	Ford plans the marriage	328/III,2	Ford states he will bless Nannetta and Cajus in Marriage.
o	III,ii	8	Falstaff's reactions	402/II,5	Laughter at Falstaff
p		10	Marriage	414/I,5	Laughter at Ford

reaction to Falstaff is quite different from Ford's; for him the dominance-submission contest creates real fear. Ford becomes so helpless that he can't understand what is being said to him. He demands that his friends speak one at a time (75/II, 2).

Both the women (b) and men (c) arrange their plots against Falstaff as dominant chords of E resolve, completing harmonic progressions in E major. Thus, each show of power over Falstaff completes a phase of both dramatic and tonal activity. (Ex. 5-9).

Example 5-9

The women and men plot against Falstaff (I, ii)

<u>unit: 3</u>	<u>5</u>	<u>6</u>	<u>7</u>	<u>8</u>	<u>9</u>
		89		102	
		II,2		III,1	

The use of E major after Act I is also related to dominance-submission contests: Ford tempts Falstaff (e), searches for him (f), and believes he has found the Knight (l). When Ford plans the marriage of Cajus and Nannetta (n), the music moves from C major to E major within a D major prolongation. A similar motion from C to E occurs within a G major prolongation as the women set the stage for Falstaff's entry (k).

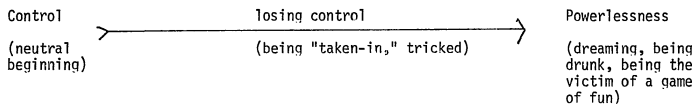
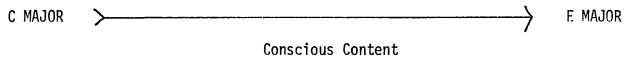
When Falstaff drinks and his dejection dissolves, the motion C-E parallels the elation that he feels as the good wine passes upwards

toward his brain (m^2). Here, the magical and delightful aspects of Verdi's association of the motion C-E with a return to the all embracing world of oral fusion are emphasized: upon tonal arrival in E, Falstaff hears a happy sound of cricket trills. This sound, he claims, invades the entire world. We may recall that Cajus, too, was taken-in by drinking ($j^1, 2$), likewise in E. His dream-like associations were, unfortunately, less pleasant.

Finally, toward the end of the opera, Falstaff states that he has been the source of all its fun and games (g). He claims that he alone gave life to everyone. Essentially, he is the magician who took his audience into an engulfing, primitive world.

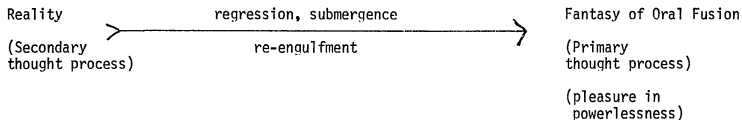
The associations that have been made to E major in Falstaff are those of entrapment and of showing authority. It must be emphasized that this authority is often playful. In no less than four instances it is shown by laughter (d,h,o,p) and at other times it is a "joke" (b,90/III,2): Che Bella burla or enchanting "sorcery" (c,109/1,2: malia). It is also a lot of noise that Ford can't understand (i), Fenton chooses to ignore (c), and Falstaff feels is pervasive (m^2). Moreover, it is a sleepy state in which people drink and dream (j, m^2). All these--drinking, sleeping, dreaming, incomprehensible noises, laughter, and games--reflect re-engulfment. Most are happy associations; some, such as being unable to understand noises and being laughed at, reflect the frustration that a child must experience in order to grow. Example 5-10 reveals the conscious and unconscious significance of the events that take place within E major. It also shows the meaning of the journey from C to E at each of these levels of response.

Example 5-10
THE SIGNIFICANCE OF E MAJOR



.....

Unconscious content



D. Dissolution of the Bond of Fusion: The Return
from E to C via the Descending
Fifths, E-A-D-G-C

The ascending fifths, G-D-A-E, of I, ii have been explained as a reversal of the descending fifths, A-D-G-C, of I, i¹. The mirror symmetry of these motions is a clue to their importance. Throughout Falstaff, Verdi uses the descending series to represent human growth, from engulfment to control, from fantasy to reality. Each of the fifths existing between E and C--A, D, and G--represents one facet of the growth process. As this process is first depicted in the "Dr. Cajus episode," we return to the opening once again (Example 5-11).

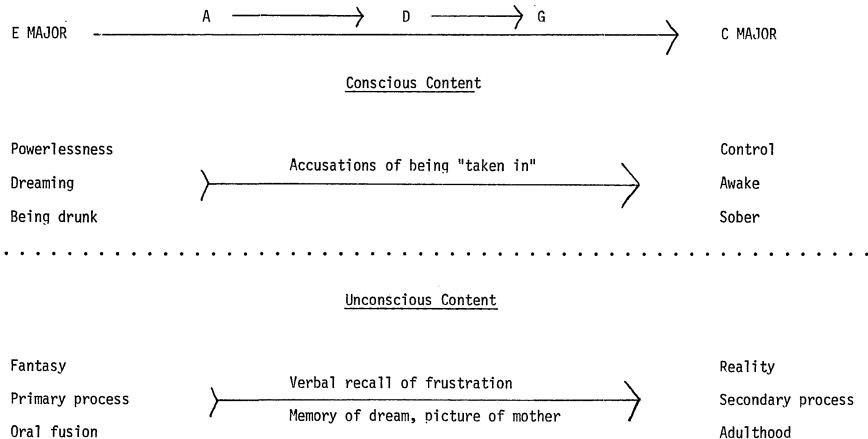
Details of Dr. Cajus's growth

Dr. Cajus's growth contains many features which also exist in a normal child's development. Initially a new-born infant is not aware of his mother as being separate from himself. Gradually, because he is frustrated at times, the child becomes aware that he is not in charge of many of the pleasures that he thought were his own. His mother's frequent unavailability forces him to see her as a separate being, someone who can both bring and withhold pleasure. Consequently, he forms a mental picture of her properties, and, in being able to clarify these, becomes more certain of his own. These steps

¹
(Cf. Ex. 4-16)

Example 5-11

DR. CAJUS'S GROWTH



toward symbolization are the beginning of growth.

Frustration, then, sparks growth. It occurs because the mother is unable to provide immediate and constant satisfactions for the child's needs. Because we expect the direction of growth to be forward, frustrations may look like backward steps, contrary to growth. However, this is not the case; growth requires frustration.¹

Dr. Cajus must endure frustrations as he seeks to emerge from the engulfing world of Falstaff and his fellow rogues. He must also remember, and thus clarify, his mental picture of being both engulfed and frustrated in order to separate from his child-like state. Cajus also grows, from what Bardolpho calls his "dream," as the psychoanalytic patient who elaborates the frustrations of a dream in order to master the conflicts it contains. Cajus, leaving his dream-like and passive state, is like someone who has just awakened. Both remember aloud an unpleasant dream of the night just past. In doing so, they return from primary to secondary thought processes, from fantasy to reality.

Since the entrapment and subsequent growth of Dr. Cajus is a tonal, as well as dramatic preview of what follows, the tonal motions that accompany his growth will explain the use of

¹ Cameron, Personality, pp. 173-175.

the fifth-related keys existing between C and E: G, D and A. In the Cajus episode, these sonorities are small-scale phenomena, either single chords or brief prolongations. Later they become broad tonicizations, governing substantial portions of the opera as it portrays the growth of Falstaff. Remarkably, the later, expanded utilization of each of these sonorities is entirely consistent with its initial, small-scale appearance in the opening. Due to the greater length and concomitant complexity of these expanded, later tonicizations, subtle variations in the use of A, D and G do exist. However, these variations do not contradict the basic thrust of each of these sonorities as I shall describe it here.

In Example 5-12, I have outlined six tonal gestures within the Cajus episode. Reading from left to right, each of these presents one or more descending fifths among the sonorities under consideration. These six phases of motion do not represent formal divisions, nor do they include all tonal events of the Cajus episode; for instance, the C major opening to the opera is, most obviously, omitted. The chart is intended to present the descending fifth series which characterizes the growth process, not the structure of the episode.

Example 5-12

HOW CAJUS GAINS CONTROL

- No. (Location) F MAJOR/MIJOR A MAJOR/MIJOR D MAJOR/MIJOR G MAJOR C MAJOR
1. (3/11,2 ff) C: You becke into my → house
- F: But not your
housekeeper.
- C: Thanks, → an old → beg.
-
2. (4/14,2 ff) F: I've done it all,
and pur'posely
- C: I'm not finished.
Bardolph, you made
me drink.
-
3. (8/11,1 ff) B: My nose is red,
[because I did so].
- C: You can go to the
gallows. You made me
drunk, telling
stories → when I was good and drunk
you emptied my pockets.
B: Not I.
C: Then who?
-
4. (10/1,1 ff) (Cajus now claims
Pistolola robbed him.)
- C: Look, I had a lot
of money there
remains not → a sign
F: Kay I duel with Cajus.?
-
5. (13/111,2 ff) B: Cajus drink and dreamt
the entire story.
- F: If you grasp this → you'll learn the
truth →
-
6. (15/7,2 ff) The deeds are denied,
go in peace.
- C: If I drink again at → the inn, it will be
with men who are → honest, sober, → civil,
and → pious.

Abbreviations: F(alsely), C(Cajus), B(Bardolph), and P(Pistolola).
Code: A straight line (→) indicates a continued speech.

For purposes of discussion, I have assigned a reference number to each of the six phases of motion. Also, I have given a brief paraphrase of the text or description of the activity for each articulation of, or motion between, the sonorities E-A-D-G-C. Note that only the first and last cycles (1,6) move all the way to C by descending fifths: the others are part of the zigzag motion that so accurately reflects human development.

A major (and minor) first specifies the manner in which Cajus was "taken in" (1-4). It depicts the recall of the dream--the identification of the state of fusion, or picture of mother--that begins the separation process. Falstaff uses an A major chord (5) to specify the reason for his lesson to Cajus. The Doctor uses A minor (6) to identify the specific location (the inn) in which he drinks or loses control. This is similar to the first use of A (1); then it identified Cajus's house, a violated (rendered passive) location belonging to him.

D major (or minor) depicts a new block which frustrates Dr. Cajus (1,3,4). Falstaff (1), Bardolpho (3), and Pistola (4) each make a statement in D that momentarily diverts the Doctor from his attempts to get even. In the first tonal cycle (1), Cajus gains temporary control of the situation, and thus resists engulfment: the music descends through G to C. Cajus asserts power only by denigrating his housekeeper. As Falstaff hadn't touched the woman, the Doctor is not yet in control of his real problems with the rogue; consequently, the music turns back toward E. When Bardolpho (3) and Pistola (4)¹ divert Cajus from his pursuit of them, the Doctor is quickly "taken in" again to the E major state of submission. In the last example (6), Cajus overcomes the

¹
As Pistola attempts to beat Cajus, the music returns abruptly to C in a voice-leading motion (11/II,2).

frustrations that existed in D by achieving dominance in this sonority. He picks the people who will drink with him in the future in D (here, a $D\frac{4}{3}$ chord), the sonority in which each of his former drinking companions frustrated him one more time. In essence, the Doctor states that by choosing his future companions with greater care, he will avoid future frustrations.

In the preceding paragraph, I hinted at the use of G major: as the last step in the descending fifth motion directed toward C, it is psychologically close to the reality frame. Throughout the opera, G, as part of a descending fifth series, will not jump back to E, as do both A and D; it will always return to C. Thus, in the last phase of motion (6), G major signals Dr. Cajus's approaching completion of the growth process as he extends his control over the forces that have taken him in: he continues to describe his future drinking companions in a cadential G sonority so that he may emerge a grown person in the tonic, C.

E. The Dramatic Functions of A, D, and G as Tonicizations

Examples 5-13; - 14; and, -15 illustrate the use of A major, D major, and G major as prolonged tonicizations. The order of these examples follows the descending-fifth sequence in which A, D and G frequently appear. Because of the importance of the series E-A-D-G-C, when possible I will follow descending motions from example rather than explicate each list. This procedure will enable the reader to understand both the dramatic and musical contexts in which items from these examples appear.

Example 5-16 summarizes the significant descending-fifth motions between E and C. Reading from left to right (as in Ex.5-12), each

Example 5-13

The Dramatic Function of A Major

A. Complete tonal-dramatic units

Ref.	Act, pt.	Unit	Content	Initial location	Significant activity
a	II,ii	3	Falstaff/Alice duet		
b	III,i	1	Falstaff's dejection		
c	III,ii	5	Fairy Scene		

B. One of a group of tonal centers forming a unit

d	I,i	4	Falstaff's desires	25/ I , 1	Falstaff states his interests in Ford's wealth and Alice's beauty
e	II,i	4	"Fontana" introduced	150/ II,2	"Fontana" describes himself
f	II,ii	9	Final search for Falstaff	284/ II,1	The men begin their final chase; Alice arranges to have Falstaff dumped

C. Other uses (nonstructural)

g	III,ii	7	Falstaff repents	387/I ,1	Women's prayer for Falstaff
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Example 5-14

The Dramatic Function of D Major

A. Complete tonal-dramatic units

Ref.	Act, pt.	Unit	Content	Initial Location	Significant Activity
a	III,i	2	Alice's letter tempts Falstaff		
b		3	Legend of Herne's oak		
c		4	Disguises arranged		
d		5	Falstaff's punishment anticipated		
e		6	Ford plans the marriage		

B. One of a group of tonal centers forming a unit

f	I,i	4	Falstaff's desires	30/ I ,1	Falstaff wants Meg as well as Alice
g	I,ii	2	Letter reading	53/ II,1	Beginning of letter
h	II,ii	9	Final search for Falstaff	287/ I,1	Alice calls Ford

C. Other uses (nonstructural)

i	II,ii	3	Falstaff/Alice duet	227/ I,1	Quickly announces Meg
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Example 5-15

The Dramatic Function of G Major

A. Complete tonal-dramatic units

Ref.	Act, pt.	Unit	Content	Initial Location	Significant Activity
a	I,1	5	Letter sending		
b	I,ii	1	Women's introduction		
c	II,ii	1	Women prepare stage		
d		7	Search for Falstaff II		
e	III,ii	6	Falstaff is punished		

B. One of a group of tonal centers forming a unit

f	I,i	4	Falstaff's desires	32/ II,1	Falstaff thinks himself attractive
g	II,i	6	Power temptation	166/ I,2	"Fontana" offers Falstaff wealth
h	III,ii	10	Marriage	407/III,1	The ceremony

reference number presents one or more descending fifths among sonorities under consideration. After the instances of A, D, and G appearing in Example 5-16 are explained, those remaining will be discussed.

EXAMPLE 5-16

LARGE-SCALE MOTIONS DIRECTED TOWARD C MAJOR

No.	Act, pt.	Tonal area				
		E (Ex. 5-8)	A (Ex. 5-13)	D (Ex. 5-14)	G (Ex. 5-15)	C (Ex. 5-7)
1 ^(a)	I, i	* *	d	f	f, a	b
2	II, ii		a	i		
3	II, ii	*	f	h		m
4	III, i	m ¹	b	a		f
5	III, ii	*	c	*	e	g

^aFor each use of a key, the letter reference from the corresponding Ex. is given. Thus, to follow no. 1, read from Ex. 5-8 (d) to 5-14 (f), etc.

The asterisk () indicates that this sonority acts as a prolonged dominant introduction to the following key.

**An unresolved motion to E (16/II,1) followed the Cajus episode. See Exs. 4-2, 3,4.

Commentary on Example 5-16

1.

This item begins in A major as Falstaff starts to describe his desires (I,i u4). Prior to this, however, the innkeeper's bill poses a threat to Falstaff's stomach (E major; 18/II,2). When Falstaff recovers momentarily from this discomfort, E passes quickly over a brief hint of A (20/I, 1²) and on to tonicizations of F (I,i u2; "Falstaff's tavern life") and Db (i,i u3; "Falstaff's stomach"). Yet, the bill remains, and the threat it poses to Falstaff's identity remains unresolved.

After the delay of F and Db, a strong arrival in A major is finally achieved (I,i u4; "Falstaff's desires"); Falstaff thinks of Ford's wealth as a solution to his financial plight. Thus, he begins to dissolve the threat of entrapment, or loss of power, that had presented itself in E. Additionally, beginning to deal with his sexual problems, he pictures the beautiful Alice as his paramour. All in all, the use of A major here is reminiscent of its use in the Cajus episode. It presents both the picture of mother (in this case, Alice) that initiates the individuation process and Falstaff's initial attempt to deal with a threat of re-engulfment.

As in the Cajus episode, D major depicts another block to overcome. Here, it presents Falstaff's desire for Meg (I,i u4B) which ultimately will prove another frustration for him. G major presents Falstaff as he completes the anticipation of his desires (I,i u4C), and appears to gain control over the forces that would frustrate him (Bardolpho and

1

I will discuss events in Ex. 5-16 by reference number.

2

Cf. Exs. 4-2;-3;-4.

Pistola have refused to take Falstaff's letters to the women). He sends his letters to Alice and Meg with a page (I,i u5) and, like Cajus, appears to master his initial problem. Finally, the music moves to C as Falstaff, now in control, sings the "Honor Monologue."

2.

A major presents Falstaff as he first comes in contact with the object of his desires, Alice (II,i u3). As in the preceding item, A follows from a remote entrapment, depicted in E (I,i u2-9). Also as above, the motion A-D represents the reintroduction of Meg into Falstaff's thoughts, as Quickly announces her arrival (227/I,1).

3.

As E resolves to A major (284/II,1), the men leave the stage to search for Falstaff (II,i u9; "Final search"). Alice calls the men's hunt an "infernal" one. She thus gives Falstaff's engulfment a specificity that is reminiscent of the Cajus episode.¹

As Nannetta humiliates Falstaff further (287/I,2), the music moves to D. When Falstaff is dumped, the G we would expect in the descending fifth series is omitted, and the music returns abruptly to C by a voice-leading motion (290/I,2).²

4.

Before he sings the "Dejection monologue" (III,i u1; A major/minor), Falstaff is reminded by a large E major introduction, that he was duped and dumped. Falstaff's monologue is the most expansive use of A as the memory of a state of powerlessness (oral fusion) in the entire opera.

1

Cajus called Bardolpho's diagnosis a prognosis of the "gallows."

2

Cf. Ex. 4-35.

The poor Knight recalls his entrapment within an expansion of the same key that Cajus had used to recall his dream. Thus he, as Cajus, forms the clear picture of his engulfment that is required for the individuation process.

The motion toward D begins as Quickly enters, tempting Falstaff once again. Falstaff's words within the D prolongation are similar to the earlier words of Cajus (cf. Ex.5-12, no.3):

F:	Poi, quando fui ben cotto, Rovida, incandescente, M'han cuffato nell'acqua. Canaglia!!!	Then, when I was well roasted, Searing, incandescent, They plunged me into the water. Swine!!!
----	--	---

Q:	Essa è innocente, Essa è innocente, Prendete abbaglio.	She is innocent, She is innocent, You're making a mistake.
----	--	--

(306/III,2 ff.)

C:	Poi, quando fui ben ciuschero, M'hai vuocate le tasche.	Then, when I was good and tipsy, You emptied my pockets.
----	--	---

B:	Non io.	Not I.
----	---------	--------

(8/IV,2 ff.)

Falstaff, as the true mythological hero, requires both fire and water tortures in order to be cleansed, whereas Cajus was merely robbed!

Although Falstaff recognizes that he, as Lucius Apuleius in The Golden Ass, has been transformed into a beast by the power of Isis, the music does not return to C via G. Falstaff has not yet given up Alice. Instead it returns via Ab, in a voice-leading motion (cf. Ex.4-53). A reminder of the E that still governs for Falstaff, exists in the enharmonic use of Fb as an introduction to "Falstaff at midnight" (III,ii u3).¹

¹ The Fb (341/I,1 ff.) resolves as a neighbor of Eb, the fifth degree of the Ab chord at 341/II,1. cf. Ex. 6-8.

5.

The magical power of the Fairy Queen leads to Falstaff's final dismissal from his entrapment and his long-sought re-emergence into rationality (III,ii u5). Her words, sung in A major, portray the previous state of oral fusion as "enchanted hands" which give birth to valuable words. Thus, as the opera begins its final broad descending-fifth series directed toward C major, Boito and Verdi, poet and composer, proclaim their creative roles: their enchanting hands have taken us into the mysterious engulfing world of Falstaff; they now prepare our departure:¹

Dalle fatate mani
Germoglio parole.
Parole alluminate
Di puro argento e d'or

From our enchanted hands
Let words blossom.
Words illuminated
In pure silver and gold

(358/III,1 ff.)

Falstaff's final punishment, his physical torment, is depicted in G major (III,ii u6). The presentation of a complete unit in the dominant of C major emphasizes the near completion of Falstaff's ordeal.

There are many similarities between Examples 5-11 and 5-16, and these point to the similarities between Dr. Cajus's and Falstaff's growths. Each example involves one character, the motions from his first engulfment to his final punishment, and the complete series of descending fifths from E to C only in its first and last (boundary) motions. For Falstaff, as well as Cajus, the zigzag motions that characterize the growth processes of life predominate.

1

It is interesting that the word that occurs immediately prior to the quotation is, arcani (mysterious). It is set with an E major triad (358/II,2).

The uses of A, D, and G omitted from Example 5-16.

The reader will recall that Falstaff's initial encounter with Alice (II,ii u3A) is presented in A major, the same key that depicted her delights (I,i u4A). When "Fontana" initially presents himself to Falstaff (Ex.5-13,e), A major is used within an F major prolongation.¹ Thus, the referential function of A, as the first step in working out of the fantasies and struggles conceived in E, is maintained even in a context where the functional relationship of A to C is abandoned. The remaining use of A (Ex.5-13,g) represents the lesson of chastity that Falstaff must learn from his unpleasant experiences. Dominated by women, it is reminiscent of an episode previously explained, that of the "Fairy Queen."

All units that tonicize D major (III,i u2-6; Ex.5-14,a-e) are contiguous. They are used to plan a new frustration for Falstaff-- and also one for Ford. The remaining use of D (Ex.5-14,g) is part of a reversal of the descending fifth series between E and C.² As the women read Falstaff's letter, the music ascends, G-D-A-E; Falstaff is carried into, rather than out of, a state of entrapment.

Whenever G major appears, with only one exception, it exists in close proximity to the tonic, C. This emphasizes its psychological tie to the reality frame. As the women are about to bring Falstaff into a state of entrapment (I,ii u1; Ex.5-15,b), G major presents the first step in the ascending fifth series directed toward E.³ However, it normally depicts the last activity before return to C major (Ex.5-15,c,d,h).

¹
Cf. Ex. 4-21.

²
Cf. Ex. 4-11.

³
Cf. Ex. 4-11.

One use of G major is related only tangentially to the C major reality frame (Ex.5-15,g). Here, as "Fontana" offers his wealth to Falstaff, G acts as a space-divider in the equal-interval motion B-G-Eb.¹ On a purely local level, G does move briefly to C, as "Fontana" tells Falstaff that in conquering Alice, he will be both rich and happy (166/IV ff). This C major anticipation of the reality Falstaff would like to see is facilitated by the choice of G major for "Fontana's" offer of gold. However, "Fontana's" temptations are false; Falstaff's anticipated joys will not occur. The eventual, "true" motion from G is to Eb, wherein the duped Falstaff accepts "Fontana's" sack of gold.

Example 5-17 summarizes the roles of A, D, and G, in the motion from E major to C major. Verdi's choice of the compelling descending-fifth series to depict the inevitability of human growth is both consistent and remarkable.

F. The Dramatic Function of Ab

Shakespeare's comic world is a
world of combination and union;
Shakespeare's tragic world is a
world of separation and fragmentation.²

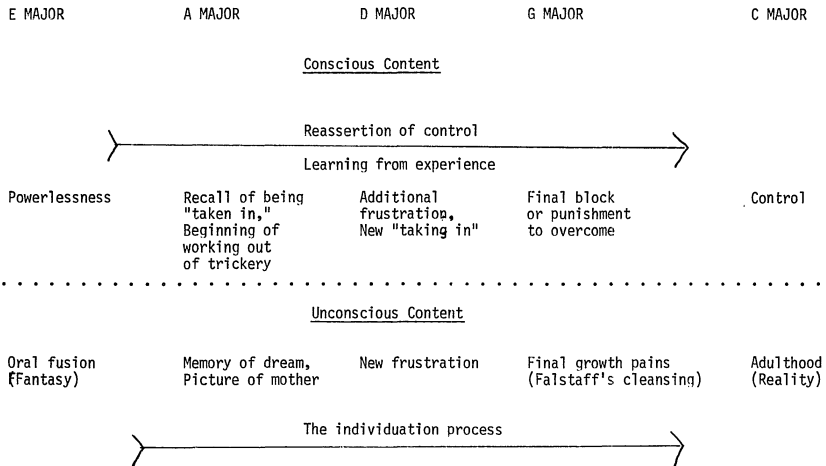
If the tragic hero is one who "...is isolated by the tragic action from his community,"³ the comic hero is someone quite the reverse, someone who helps dissolve the barriers of isolation. If, as is the case with Falstaff, such barriers are the result of childishness or fantasy,

¹
Cf. Ex. 4-22.

²
Holland, Shakespearean Imagination, p. 195.

³
Northrop Frye, A Natural Perspective (New York: Harcourt, Brace and World, Inc., 1965), p. 102.

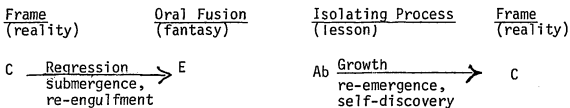
Example 5-17
DETAILS OF INDIVIDUATION



then they will be dissolved only when the hero grows out of his play world of oral fusion and accepts the frustrations that are necessary to the development of the ego and to the process of individuation.¹

It is also possible that people may be isolated from one another through no fault of their own. These "outside" divisive forces also dissolve in a comedy. Nannetta and Fenton, for example, are isolated from the society of the opera in their first appearances; it does not yet accept them as a couple. Only at the end are they allowed to join in marriage and achieve the dual, sexual identity which is their goal. When society no longer acts to isolate them, it grows to a mature identity as well. Thus, the discovery of identity in Falstaff is individual for Falstaff, dual for Nannetta and Fenton, and social for the players taken as a whole.²

The growth processes that guide people from isolation to adult union are bound to the use of Ab. This key depicts the meaningful lessons of the opera. If the motion C-E is understood as depicting re-engulfment into a state of fantasy, then the motion Ab-C may be equally understood as part of the learning process that, by dissolving the barriers of isolation, makes re-emergence into rationality possible.

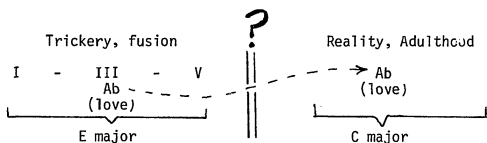


¹ Cameron, Personality, pp. 173-175.

² Frye, Natural Perspective, pp. 78 ff., contains a discussion of social, dual, and individual identity.

Commentary on Example 5-18

Each use of Ab serves a didactic purpose. Nannetta and Fenton, whose devotion to one another has been shown as a principal teaching force, first appear in this key (a,b).¹ They are isolated by musical, as well as dramatic, means from the fighting society which surrounds them. Verdi differentiates their Allegretto, Ab major, and broad lyrical singing from the predominant Allegro, pervasive E major, and short staccato phrasing which surrounds them. By emphasizing the initial isolation of Nannetta and Fenton, Verdi makes the couple's eventual incorporation into society more forcible. The initial tonal enclosure of Ab within E makes the listener feel that it will be difficult for this key to move toward the C major reality frame.²



A dual question emerges: Can Ab be pulled out of the sphere of influence of E and be taken into the realm of C? Will Nannetta and Fenton be allowed to join in marriage?

In Ford's "Jealousy tirade," Ab depicts the unpleasant lesson of forced isolation taught to a supposedly cuckolded man (1). Ford believes he has been taught that matrimony is an inferno, that women are monsters. In addition to emphasizing Ford's isolation, Ab depicts

¹
See Chapter II.

²
See Ex. 5-9.

Example 5-18

The Dramatic Function of Ab Major-Minor*

A. Complete tonal-dramatic units

Ref.	Act, pt.	Unit	Content	Initial Location	Significant Activity
a	I,ii	5	Nannetta/Fenton duet I		
b		7	Nannetta/Fenton duet II		
c	II,i	3	Old John's strength		
d	III,ii	1	Fenton's sonnet		
e		2	Disguises explained		

B. One of a group of tonal centers forming a unit

f*	II,i	5	Love temptation	160/III,2	Falstaff and "Fontana" sing of love
g	III,ii	3	Falstaff at midnight	341/ I,1	Falstaff enters
h		10	Marriage	417/ I,1	Ford accepts his son-in-law

* The asterisk (*) indicates the use of the minor mode.

Example 5-18 - ContinuedC. Other uses

Ref.	Act, pt.	Unit	Content	Initial location	Significant activity
i	I,i	1	Dr. Cajus episode	17/II,2	Falstaff tells Bardolpho and Pistola to steal more gracefully. (The reference to Ab is via its V7,Eb)
j		6	Honor monologue	41/ I,1	Falstaff claims honor is only "a word"
k	I,ii	6	Women's plot	90/III,2	Women discuss Falstaff's entrapment (Written, G#)
l	II,i	8	Jealousy tirade	181/III,1	Ford claims that matrimony is an inferno

a lesson stated both explicitly and verbally. This contrasts with the use of Ab by Nannetta and Fenton; they provide a lesson by example.

There are other verbal lessons (i, j), as well as references to teaching people a lesson (k). When Falstaff and "Fontana" sing of love (f), all previously described attributes of Ab are combined: love, a verbal lesson, isolation. These unfortunate men sing of love which never leaves them alone, following them always. Yet, when they chase it, love flees; and thus they are left alone. Life, in their view, poses pervasive paradoxes.

Finally, toward the end, Ab leaves its original, entrapped state within E and, thus, is enabled to move outward toward C. This is in the last part as people grow toward self-discovery and mutual acceptance. The opening of III,ii (d,e,g) is an Ab prolongation. This moves to C as Falstaff (g) learns how love transformed him into a beast. The close proximity of the Ab solo appearances of Fenton and Falstaff helps the audience to link these two men as primary growth forces. Falstaff, the magician who makes the whole story possible, brings Fenton and Nannetta out from their enforced isolation by returning the music to the reality frame of C. However, Ford must still bless the young couple and learn the error of his ways. After the marriage ceremony, he does both: Alice tells Ford that he has been a scornato ("a tricked one"); Ford agrees and accepts his new family (h). The music moves from this last Ab to the C major fugue, as everyone accepts his fate.

Since the comic drive of Ab is toward incorporation into C major, a reverse motion, from C to Ab, should reverse the dramatic thrust of the comedy. Rather than a motion from isolated fantasy toward reality, we might expect to see a flight from reality, an increase in isolation. This is precisely the case when Falstaff sings: "Old John's strength"(c).

After Quickly, having enticed Falstaff, leaves the stage, the music moves from C (as V/F) to Ab. Falstaff is left alone with thoughts of his strength, thoughts perhaps appropriate to his distant, isolated past, but certainly not to his present overblown and weakened state.

The role of Ab in the
dissolution of the bond of fusion

Two seemingly alternative motions toward C have been discussed: Ab-C and E-C. Each has been associated with growth or self discovery, but in a different manner. The growth process which moves from E to C has been associated with individuation caused by the unpleasant frustrations and punishments that life provides. Ab has been related to isolation and the didactic teaching of lessons of an individually more satisfying import. The growth lesson that brings Ab to C is one that brings tolerance, acceptance, and fertility into the world of the opera. These at first isolated virtues, most obviously symbolized by Nannetta and Fenton, are accepted by all in the final act.

Yet, Nannetta and Fenton present one facet of the unifying fantasy of oral fusion. The return from E to C that incorporates the lessons taught in Ab is the true dissolution of the world of fantasy: this is the path toward maturity. As trickery and isolation must be synthesized, the close relationship between them is made clear by the repeated use of Ab (G#) as the III# of E major (cf. Ex.5-9) and E (Fb) as the bVI of Ab.¹ As both the lessons of Ab and the punishments of E are aspects of the total growth process, Verdi synthesizes them at

¹ For an example of E as bVI/Ab, see the internal structure of III,ii ul "Fenton's sonnet" (Chap.III).

key points of the drama. From the beginning, Verdi incorporates Ab into the return from E to C. This may be interpreted as showing that the total growth process is steadily at work. Note the initial return from E minor (pp. 2-3) to C major (4/I,1). The V^7 of C is preceded by a passing Ab in the bass (3/III,2). This seems inconsequential at the time; but we note that the beginning of Dr. Cajus's growth, as revealed by his sarcasm, is temporally linked to the appearance of Ab. Before Dr. Cajus leaves, Ab appears again, as the bass tone of a passing chord within motion from E back to C (15/IV,1).

The importance of the integration of Ab into the descending fifth motion from E to C is made clear by its use in III,ii u1-3.¹ Following the descending fifths E-A-D of III,i, Fenton, Nannetta and Alice are presented in Ab (III,ii u1-2). Then, accepting that love has transformed him into a beast, Falstaff brings this Ab to C (u3). Thus the opera's four principal teachers are intimately bound by tonal means as their common Ab moves to the final extended C major prolongation of the opera (III,ii u3-11).

The three last tonicizations of the opera are E, Ab and C. They reflect the emotional changes that occur when laughter at Ford (E major, state of fusion) turns to his acceptance of his daughter's marriage (Ab, lesson) and, finally, the fugue (C major, frame).²

¹
Cf. Ex.5-16, no.4 and Ex.4-54.

²
Cf. Ex.4-51.

G. The Dramatic Function of C#/Db
(Commentary on Example 5-19)

The use of Db/C# is highly specific; as a tonicization, it refers to Falstaff's power (Ex.5-19, a-d). This power may be: (a) a property of his stomach, (c) something that he is afraid of losing, (d) something that he must relinquish, or (b) something that Ford fears.

Usually Db/C# is part of an A major prolongation, either complete (c: I-III [Db/C#] -V-I) or incomplete (d: III [Db/C#] -V-I). The use of Db/C# in "Falstaff's stomach" (a) is similar to its use in an incomplete prolongation; the music moves from Db/C# to a $\sqrt[4]{3}$ of A, to A major.¹ The close relationship of Db/C# to A reveals the function of Db/C# as a part of the descriptive elaboration of the state of imaginative power or fusion.

When Db/C# is not used as a part of an A major prolongation, it is likely to be closely attached to the state of entrapment represented by E, a fifth above. The motion from E major to C# first occurs (5/I,1-2) as Falstaff flaunts his power over Cajus. Falstaff agrees with the Doctor, that his claims are true; Falstaff acted purposely. Here C# has a passing function between E and A.

An anticipation of the use of C# to represent Falstaff's power occurs within the E minor prolongation of both the sketch and the final version at m. 8 (cf. Ex.5-2). When Cajus enters, upset by Falstaff's power, C# appears in the bass (a half-diminished chord). Ignoring Cajus and calling for more Sherry, Falstaff begins to sing on the pitch, C# (m. 9).

¹
24/III,1 - 25/I,1.

Example 5-19

The Dramatic Function of Db Major

A. Complete tonal-dramatic units

Ref.	Act, pt.	Unit	Content	Initial location	Significant activity
a	I,1	3	Falstaff's stomach		

B. One of a group of tonal centers forming a unit

b	I,ii	4	Men's exposition	78/ I,1	Bardolpho and Pistola tell Ford Falstaff's plot
---	------	---	------------------	---------	---

C. Other uses (nonstructural)

c	III,i	1	Falstaff's dejection	299/III,1	Falstaff claims that when he dies true virility will disappear
d	III,ii	7	Falstaff repents	382/II ,2	Falstaff is forced to repent

Later in the opera, the motion E-C# again initiates the display of Falstaff's power (76/II,2). As Ford, too terrified to understand, asks his companions to repeat Falstaff's plans, the motion E-C# anticipates the following tonicization of Db (Ex.5-19,b). Earlier, when Falstaff began to count the innkeeper's bill, the same motion (E-C#) initiated the Knight's fear that he would lose his power (18/III,2 - IV,1).

We have seen that Falstaff brings the Ab which had begun with "Fenton's sonnet" (III,ii u1) to the final C major prolongation (III,ii u3-11). But, there is also an earlier association between Falstaff, Nannetta, and Fenton that may now be explained. When the C#/Db consistently associated with Falstaff's power, moves to Eb, it may introduce Nannetta and Fenton. Here, Db functions as part of a IV-V-I progression in Ab major (94/II,2 - 95/I,1). This is logical: Falstaff brings the opera's fun and games to life: therefore, he also brings Nannetta and Fenton, as a married couple, into existence.

Fenton's Bocca bacciata is always stated on a Db sonority, within an Ab major/minor prolongation (pp. 87, 99, 335):

Fenton:	Bocca bacciata non perde ventura	A kissed mouth doesn't lose luck
Nannetta:	Anzi rinnova come fa la luna	Rather it's renewed, as the moon is

When these words are sung, the Db (C#) is always preceded by an Fb (E), which acts as the bVI, passing between I (Ab) and IV (Db). Thus, there are two renewals come la luna: that of Falstaff and his trickery,¹ and that of Nannetta and Fenton with their lesson of love.

¹ Falstaff is called a "plump full moon" (paffuto plenilunio) by Bardolpho (p. 107).

Verdi's supple enharmonic use of C#Db and E/Fb is one more technique whereby he suggests that the Ab of isolation and the E of trickery are opposite sides of the same coin, of a fantasy of oral fusion.

Ab [±] :	Ab(I)	-	Fb(bVI)	-	Db(IV)	-	Eb(V)	-	Ab (I)
E:			E(I)	-	C#(VI)	-	A(IV)	-	B(V) - E(I)

H. The Dramatic Functions of F and Eb

F major frequently portrays dramatic development and tonal delay; often, it depicts the unfolding of a conflict conceived in E major. Extending the state of oral fusion, F major accompanies a postponement in the return to reality.

Tonally, F following E delays the return from E to C (Example 5-20, a-d)¹ Used in this manner, F provides a tonal location which introduces interactions that will later prove the mastery of one person over the other. The return from F to the reality frame of C begins with the motion F-Eb. In Eb, (Example 5-21) a loss of power becomes final and is made explicit.

¹
Ex. 5-20, a; cf. Exs. 4-2, 3.
Ex. 5-20, b-d; cf. Ex. 4-37

Example 5-20

The Dramatic Function of F Major

A. Complete tonal-dramatic units

Ref.	Act, pt.	Unit	Content	Initial Location	Significant Activity
a	I,i	2	Falstaff's tavern life		
b	II,i	1	Bardolpho and Pistola repent		
c		2	Quickly ensnares Falstaff		

B. One of a group of tonal centers forming a unit

d	II,i	7	Falstaff's acceptance	176/ I ,1	Falstaff delights at the prospect of cuckolding Ford
---	------	---	-----------------------	-----------	--

C. Other uses (nonstructural)

e	II,ii	3	Falstaff/Alice duet	218/ I,1	Falstaff and Alice exchange pleasantries
f	III,i	3	Legend of Herne's oak	318/ I,4	Alice warns Ford to avoid jealousy

Example 5-21

The Dramatic Function of Eb

A. Complete tonal-dramatic units

Ref.	Act, pt.	Unit	Content	Initial Location	Significant Activity
a*	II,i	8	Jealousy tirade		
b		9	Falstaff and "Fontana" depart		
c	II,ii	6	Nannetta/Fenton duet III		

B. One of a group of tonal centers forming a unit

d	II,i	6	Power temptation	169/ II,2	"Fontana" says that his own hopes will be enhanced by Falstaff's success with Alice
e		7	Falstaff's acceptance	170/ I ,1	Falstaff accepts "Fontana's" sack of gold

* The asterisk (*) indicates the use of the minor mode or a high degree of modal mixture.

to C via G. It is a motion within C major-minor.¹

EXAMPLE 5-22

The diagram shows a musical staff with a treble clef. The notes are G4, F4, G4, and E4. Above the staff, two brackets labeled "II,i" span units 7-9 and units 1-2. Below the staff, Roman numerals are placed: ♭III under G4, V under F4, and I under E4. A bracket labeled "c⁺" spans from ♭III to I. A slur with a "+3^d" above it covers the interval from G4 to E4.

F leading to Eb may continue to Ab. People rendered powerless are often ready to accept a lesson. There is general laughter at Ford (E major; p.414) after the marriage of Nannetta and Fenton. As Falstaff asks Ford who the scornato ("tricked one") has been, the state of fusion is briefly developed (F major; 415/III,4ff). Eb resolves to the Ab of final acceptance, as Alice proclaims that Cajus, Ford, and Falstaff are all scornati.² The return to C major for the final fugue is shown in Example 5-23.

¹Cf. Ex. 4-37.

²Cf. Ex. 4-45.

EXAMPLE 5-23

Act III, part ii

416	417	421
I,1	I,1	I,1
II,5		

From the last two examples it can be seen that Eb, always preceded by F, provides a convenient return to C major. This may be accomplished either by a harmonic descent from G (V) or by a voice-leading ascent from Ab (bVI).

A note on the unexplained uses of F and Eb

No attempt has been made to explain two small-scale uses of F major (Example 5-20, e-f). Depicting a moment of happiness (between Falstaff and Alice) that cannot be continued (e)¹ and a warning (f), these brief duets may possibly be considered as a dramatic development in the contests of control associated with F.

One use of Eb is related to tonal procedure rather than loss of power. In Nannetta and Fenton's third duet (Example 5-21,c), Eb

¹The reader will recall that Martin Chusid has found a correlation between the key of F major and "lovers' happiest moments." He also noted that in a case in which the romance is not permitted (that of Riccardo and Amelia in *Un Ballo in Maschera*), the "actual declarations of love follow the F major sections and are heard in other keys." Chusid, "F major," p.119. The same happens here: the moment that Falstaff is about to embrace Alice (220/I,1) and declare his love (220/II,2), the motion away from F (eventually, toward E) begins.

functions as the bIII of C, bounded by I and V. The Eb of this duet corresponds to the Ab of their earlier duets, enclosed by the I and V of E:¹

(duet)

Act I, part ii; E maj: I (E) - $\overset{\#}{\text{III}}$ (Ab) - V(B) - I(E)
M

Act II, part ii; C maj: I (C) - bIII (Eb) - V(G) - I(C)
M

Conclusion

In Falstaff, repeated associations between tonal areas, tonal motions, and the drama combine to create a coherent musical drama. Eighty-five tonicizations, in nine out of a possible twelve tonal centers, have been explicated.² Not all examples are equally convincing. Some may lend themselves to other interpretations, or may operate primarily within purely musical contexts. The clarity of a majority of those cases cited, however, is marked. This provides strong evidence that Verdi, in his last, "most realistic opera,"³ gave organic meaning to emotional inner events sensed by us all, through his treatment of musical unities.

¹Cf. Ex. 4-33.

²Because B, Bb, and F# appear only briefly, and never as the structural tonicization of a unit, they have been omitted from this discussion.

³Noske, "Ritual Scenes," p.439.

CHAPTER VI

SUMMARY AND CONCLUSION

Falstaff is a highly integrated work. Its most frequent motions are: by major thirds, such as the ascent from C to E which depicts entrapment; and by perfect fifths, such as the descending fifths which delineate the growth process. Both of these are evident in the background plan (cf. Ex. 4-54).

Because the large-scale motions are diatonic, though frequently enhanced by mode mixture, they may seem out of place in a late nineteenth-century context. Indeed, when Verdi finished Falstaff, Wagner had been dead ten years and the Prélude à "L'après-midi d'un faune" (1892-94) was shortly to receive its first performance. Verdi's preceding opera, Otello (1887), had been more chromatic. Further discussion, therefore, is necessary, in order to understand the progressive facets of Verdi's tonal procedures in this, his final opera.

A. The fifth-relationship and diatonic organization

I believe that there is a substantial reason for the composer's dependence on diatonic organization: In the final stage of his elimination of the number concept from his work, Verdi sought, instead, an inner form-creating device--triadic tonality. Dealing with episodes that were shorter and boundaries that were more flexible than before, he relied on traditional harmonic relationships to create organic coherence.

The fifth relationship and its harmonic expansions articulate large-scale musical space.¹ Frequently the fifth appears in the mid-ground or background, while the musical surface is enriched with major-third juxtapositions.² As the opera ties the descending fifth series to stages of human development, music and drama become intimately bound through gestures based on the broadest possible musical and emotional appeal.

The fugue is the final tonic statement. Its subject, in a sense, encapsulates the basic diatonic vocabulary (Example 6-1). The outline implies the harmonic motion: I-II-V-I; the ending, the tonic triad: sol-mi-do.

Example 6-1

The fugue subject

Tutto nel mondo è burla

Dramatic as well as harmonic materials are summarized in both the subject and the entire fugue. Whereas Tutto nel mondo è burla ("Everything in the world is jest") states a lesson to be learned, the

¹Expansions of the fifth relationship were described in the introduction to Chapter IV. See also, Exs. 4-16, 34, 37, 52, 53, 54.

²See Exs. 4-50, 51.

ending Tutti gabbati ("All are taken in"), encapsulates the unifying fantasy. As all who have been engulfed in their search for individual pleasures join in expressing a shared fate, all who have been contrasted in their music sing together as well: they are taken in by the contrapuntal context of the fugue. As the sharp differences between various keys resolve into a C major harmonic framework in the course of the opera, the C defining fugue acts in the tradition of voces aequales: it is the most apparent way whereby the sharp differences that exist between the characters at the beginning resolve at the end.

B. Other intervallic successions (non-leading tone motions).

Motion by thirds

A progressive feature of the fifth relationship in Falstaff is that it frequently disappears from the foreground and its specifically local drive is eliminated. Placing the V-I motion at more remote structural levels, Verdi often interpolates a more "floating" ascent of a major third. This less intensive connection enables him to achieve the final tonic with a common tone and avoid the forcible contrary motion, so much a part of the authentic cadence (Example 6-2).

Motion by thirds allows Verdi to "smooth over" seams between tonal areas. Two frequent motions are: C-E, and C-A (Example 6-3).¹ These can sustain a common tone in the top voice, and avoid both the leading-tone and contrary motion.

¹Cf. Exs. 4-4, 17, 31, and 52.

Example 6-2

Interpolation between V and I¹

Becomes:

Example 6-3

Motions which retain a common-tone in the top voice

C - E C - A

Verdi's predilection for the ascending major third and his sensitivity to the structural force of the fifth frequently lead to a traditional combination of the two motions: III may act as a filler between I and V.² The use of the repeated pattern, I-III-V, with its

¹Adapted from Example 4-50. Another division, in which the ascending major third precedes the semitone is illustrated in Ex. 4-7.

²Cf. Exs. 4-33 and 52; and 5-3. The motion I-III-V-I also exists within individual units, such as I,i ul and II,ii u8.

modal variants, is greater here than in any other Verdi opera.¹ In II,ii, for example, two tonal cycles exist side-by-side (Example 6-4). Mixture (first C minor, then C major) provides tonal variety for the second cycle, which itself encloses a similar cycle in E.

Example 6-4

The cycle: I-III-V-I in II,ii:

Unit 5 6 7 8

The musical notation shows a bass line with notes G₂, B^b₂, D₃, F₃, G₃, A₃, B₃, C₄. Below the notes are chord symbols: I, bIII, V, I, III_M, V, I. A bracket under the III_M chord contains the sub-cycle I-III[#]-V-I.

Ascending major thirds may act independently as voice leading, or embellishing, chords. Here Verdi avoids the structural fifth entirely and provides in its place a smoother, less intensive, connection.² Also, Verdi adopts the nineteenth-century technique of motion by equal intervals. This permits him to move from point to point, filling in tonal space, without reference to a consonant triadic outline (Examples 6-5, 6).

¹David Lawton has demonstrated that, beginning with *Nabucco* (1842), the repeated tonal cycle is a frequent Verdian device for creating large-scale tonal coherence. See "Tonality and Drama," Chap. II.

²Cf. Ex. 4-51.

creates, as it were, a suspension of tonal gravity.¹

An important progressive aspect of style in Falstaff is the use of non-triadic motions through equal intervals in order to articulate dramatic events.²

Other non-leading-tone motions

The driving force of the descending fifths (E-A-D-G-C) directed toward C major is so great that Verdi frequently is able to create a tonal short-cut (Example 6-7). Substituting a voice-leading chord for the dominant, he can still maintain an effective arrival on the tonic. The avoidance of the leading tone and the use of the common tone combine to create a smooth connection, which avoids the drive of the V-I cadence. The arrival on C is striking; it seems to come too soon. Yet, it is well-prepared by the preceding fifths.

Verdi achieves a striking effect when he uses a neighbor or other prolonging tone in the lowest voice. This frequently produces a "false" bass which soon resolves in an inner voice above. Just before "Falstaff at Midnight" (III, ii u3), Ab is prepared by its dominant (Example 6-8). V, however, does not resolve directly to I.

¹Counterpoint in Composition (New York: McGraw-Hill, 1969), p. 215. This discussion is in reference to an excerpt from the "Sanctus" of Schubert's Mass in E-flat. Another earlier example of this technique can be found in the development section of the first movement of Beethoven's Sonata in F minor, Op.57 ("Appassionata").

²See also examples 4-22 (B-G-Eb), 4-27 (D-B-G#-F-D), and 4-38 (Ab-E-C). Filling in the octave by equal intervals, such as the major third, is similar to motion within the augmented triad. However, in the augmented triad, the fifth is a contraction of space when it operates in the confines of traditional tonality. It substitutes for a passing tone between the perfect fifth and the major sixth. No such contractive purpose exists in these examples.

Example 6-7
Connections to C¹

(a) (b) (c)

N - I N - I⁶ Em - I

Example 6-8
Transfer of the neighbor tone in III,ii

Unit 2
340
III,2

Unit 3

(lower voice) (inner voice)

NEIGHBOR
(bVI)
Delayed
Resolution

Ab major:

¹Ex. 6-7 is adapted from Exs. 4-35, 47, and 51. Ex. 6-7(a) illustrates the familiar nineteenth century use of a leading-tone chord which is not used as such but, instead, has a surprise non-functional resolution.

Instead, the "false" bass moves to a deceptive cadence (on bVI); the true bass, which supports the V-I progression, is briefly absent. Soon the Fb, originally an upper neighbor to Eb, is transferred upwards. The delayed resolution from V(Eb) to I(Ab) occurs when Fb finally resolves to the inner voice fifth of the tonic triad.

Ambiguous functions of chords

Using traditional leading-tone chords such as the dominant and diminished sevenths of Example 6-7 (a,b) in a non-traditional way, Verdi eliminates their leading-tone associations. This familiar nineteenth century technique permits the retention of a chordal vocabulary while the tonal function of this vocabulary is in a state of flux.

Tonal anticipation is another device whereby Verdi creates musical unification and achieves smooth connections between discrete dramatic events. The composer frequently hints at a following structural sonority by first using the chord in a non-structural, or prolonging, capacity.¹

Smooth connections creating musical unification can also be seen in Verdi's frequent enharmonic reinterpretations, further evidence of the flexibility of the composer's tonal vocabulary.² For example, the initial episodes of Nanetta and Fenton (I,ii u5,7) are in Ab as the III/E. Within these episodes E appears as the bVI/Ab. By this turning of insides out, Nanetta and Fenton are tied in to the surrounding trickery, for which their words are so often a metaphor.

¹See Ex. 4-21.

²The only semitonal motion of structural importance is the F-E-Eb of II,i (cf. Exs. 4-24,25).

Conclusion

The bass graph technique has been used specifically to outline tonal direction. It has allowed us to discern foreground (tonal dramatic unit), middleground (part), and background (tonal gestures which serve to unite the parts) levels of tonal organization. An all-inclusive consideration of voice-leading such as can be accomplished by Shenkerian analysis would have revealed multi-faceted details of style. This would have clarified the tonal organization even further. Melodic considerations, such as Verdi's use of recurrent motives and themes, would also have provided important stylistic information. Certainly design frequently enhances the audibility of structure. However, my goal has been directed toward a very specific task: that of determining the basic tonal direction underlying the musical materials of the opera, and pointing out the relationship of this direction to the progress of the drama. The total consideration of musical structure is a formidable and difficult task for a work the size of Falstaff: it could not be realized in the scope of this study.

Since the determination of the tonal motion and the boundaries that are described thereby are dependent upon hearing, no interpretation can be called final. However, I have outlined a division which I feel is convincing, one which goes farther than previous studies of Falstaff in its attempt to relate directed tonal motion to underlying dramatic events.

GLOSSARY OF PSYCHOANALYTIC TERMINOLOGY :

Affect. "The subjective experience of emotion, in contrast to its behavioral signs."¹

Ego. "An organized portion of the total personality...Its primary function is the synthesizing and unifying of man's responses to the demands of inner and outer reality. Thus, the ego is the repository of consciousness, judgment, intelligence, affects, perception, motor control, defense mechanisms, and identifications with early objects."²

Fantasy. Wishful imaginative thinking rather than thoughts based on reality. May be conscious or unconscious.

Individuation. See Self-object differentiation.

Oral fusion. See Symbiosis.

Orality. "The cluster of drives associated with the lips, mouth, tongue, and nostrils, with eating, drinking, or breathing, or, in general, with the fondling, warmth, and total environment of maternal nurturing in the early months of life."³

¹
Holland, Dynamics, p. 361.

²
Ibid., p. 362

³
Ibid., p. 363.

Parent figure. "A person toward whom the subject has the emotions and attitudes appropriate to a parent."¹

Primary Process thinking. "Irrational and unrealistic though processes like those in dreams or psychoses. Ideas are associated without regard to logic, consistency, contrariety, or the limitations of space and time, usually by pictures rather than words."²

Re-engulfment. A person's return, in fantasy, to the symbiotic relationship he imagines he shared with his mother.

Regression. The return to an earlier stage of thinking (primary process; q.v.), feeling, or behaving. Normal people regress when they dream, become intoxicated, or are placed in an extremely stressful situation.

Secondary process thinking. "Rational and realistic thought processes like those used in problem-solving. A function of the conscious ego (q.v.) Cf. Primary process thinking."³

Self-object differentiation. The gradual dissolution of the symbiotic bond. As result, the child is "psychologically born," and comes to distinguish between his own attributes and those of his mother.

Symbiosis. This refers to the mother infant relationship, where the infant, with no ego of his own, is completely dependent on the

¹
Ibid., p. 363.

²
Ibid., p. 363.

³
Ibid., pp. 363-364.

nurturing mother for satisfaction of its needs and protection from reality. The mother, on her part, develops strong emotional ties to the infant. It is "the first important love relationship of an infant's life."¹

¹ Cameron, Personality, p. 53.

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