An Analysis of the Compositional Technique and Structures Of Nikolai Kapustin’s Piano Sonata No. 6, Opus 62

Hyun Jung Im
AN ANALYSIS OF THE COMPOSITIONAL TECHNIQUE AND STRUCTURES OF
NIKOLAI KAPUSTIN’S PIANO SONATA NO. 6, OPUS 62

By

Hyun Jung Im

Bachelor of Music
Sookmyung Women’s University, 2011

Master of Music
Texas State University, 2016

Submitted in Partial Fulfillment of the Requirements
For the Degree of Doctor of Musical Arts in
Music Performance
School of Music
University of South Carolina

2022

Accepted by:

Charles Fugo, Major Professor
Phillip Bush, Committee Member
Peter Hoyt, Committee Member
Scott Price, Committee Member

Tracey L. Weldon, Interim Vice Provost and Dean of the Graduate School
ACKNOWLEDGEMENTS

It has been a blessing in my life to have Dr. Charles Fugo as my teacher, advisor, mentor, and committee chair. Without his guidance and unconditional support, I would not have been able to achieve what I have achieved so far. His insightful advice and incredible perseverance helped me in every step of completing this study.

I would also like to express appreciation to the other members of the committee, Professor Phillip Bush, Dr. Peter Hoyt, and Dr. Scott Price, for their insight, patience, and suggestions on this challenging project.

I am also deeply grateful to my friends and colleagues in South Carolina who have encouraged and helped me. Especially Mr. Ron and Mrs. Linda Skipper, for I would not have been able to complete this journey without you. Te Wei Huang, your knowledge helped and guided me on the right path.

Lastly, I would like to express my sincere gratitude to my family, Nae-kyung Kim, In-tack Im, my brother Ki-hyeon Im, and my fiancé James Heesung Lee, who have supported me unconditionally. I love you beyond words.
ABSTRACT

The subject of this study is the Russian composer and pianist Nikolai Kapustin and an analysis of his Piano Sonata No. 6, Opus 62. Kapustin’s musical output includes 161 opus numbers, and the works are mainly in a hybrid style combining jazz and traditional Western music. The composition style of Kapustin is to take a jazz approach to harmony and rhythm within traditional forms. The uniqueness and creativity of Kapustin’s music led to its growing popularity, and this has been evident in several ways, including increased performances, recordings, and publications. Based on this fusion of jazz and traditional Western music, he composed 20 piano sonatas, but the sonatas are rarely researched, unlike his other popular works.

This study is an examination of the characteristics of the Piano Sonata No. 6, which was written in 1991. Also, this study will provide biographical information about Kapustin and an analysis of the Piano Sonata No. 6. There are four chapters: the first chapter includes the introduction, need for the study, purpose of the study, methodology, literature review, limitation of the study, and design and organization of the study; the second chapter focuses on Kapustin’s biography and his musical style; the third chapter examines the analysis of the Piano Sonata No. 6; and the final chapter is a conclusion.
# TABLE OF CONTENTS

Acknowledgements ........................................................................................................ iii

Abstract ......................................................................................................................... iv

List of Tables .................................................................................................................. vii

List of Examples .............................................................................................................. viii

Chapter 1. Introduction ........................................................................................................ 1

1. 2 Need for the Study .................................................................................................. 6

1. 3 Purpose of the Study .............................................................................................. 7

1. 4 Methodology ........................................................................................................... 7

1. 5 Literature Review .................................................................................................. 7

1. 6 Limitation of the Study ........................................................................................ 10

1. 7 Design and Organization of the Study ................................................................. 10

Chapter 2. Biography and Musical Style ........................................................................... 11

2. 1 Nikolai Kapustin’s Biography ............................................................................. 11

2. 2 Nikolai Kapustin’s Musical Style in the Piano Sonata No. 6, Opus 62 ........ 21
Chapter 3. Analysis of the Compositional Technique and Structure of Nikolai Kapustin’s Piano Sonata No. 6, Opus 62 .................................................................34

I. Allegro ma non troppo .....................................................................................36

II. Grave ........................................................................................................60

III. Vivace ......................................................................................................70

Chapter 4. Conclusion ................................................................................86

Bibliography ..................................................................................................88

Appendix A. List of Nikolai Kapustin’s 20 Piano Sonatas ............................92

Appendix B. Permission to Reprint ...............................................................93
LIST OF TABLES

Table 2. 1 The relationship of tritone substitution .................................................27

Table 3. 1 Kapustin, Sonata No. 6, the structure of the first movement ......................37

Table 3. 2 The structure of the second movement .....................................................60

Table 3. 3 The structure of the third movement .......................................................70

Table A. 1. List of Nikolai Kapustin’s 20 Piano Sonatas .............................................92
LIST OF EXAMPLES

Example 2. 1 C minor pentatonic scale .................................................................23
Example 2. 2 Minor blues scale .................................................................23
Example 2. 3 C Major blues scale .................................................................24
Example 2. 4 C minor blues scale .................................................................24
Example 2. 5 Seventh chords progression in circle of fifths .........................25
Example 2. 6 Voice leading of a simple progression of chords by circle of fifths ....25
Example 2. 7 Resolution of ii-V progression ..................................................26
Example 2. 8 Tritone substitution ....................................................................26
Example 2. 9 Enharmonic tritone substitution ................................................27
Example 2. 10 Adrienne Albert’s *Circadia* for Bassoon and Piano, I. *Cycles*, mm. 33-36 .................................................................28
Example 2. 11 Common swing marks ..............................................................29
Example 2. 12 Swing in the 3rd movement, Kapustin Piano Sonata No. 6, Op. 62, mm. 40-42 .................................................................29
Example 2. 13 Beethoven Piano Sonata No. 32, Op. 111, II. *Arietta*, mm. 51-53 ....30
Example 2. 14 Stride example ........................................................................31
Example 2. 15 Boogie-woogie in the 3rd movement, Kapustin Piano Sonata No. 6, Op. 62, mm. 37-39 

Example 3. 1 Kapustin, Sonata No. 6, first movement, m. 1, indicating motifs x, y, and z 

Example 3. 2 Kapustin, Sonata No. 6, first movement, mm. 1-4 (simplified) 

Example 3. 3 Kapustin, Sonata No. 6, first movement, m.1 (13th chord) 

Example 3. 4 Kapustin, Sonata No. 6, first movement, m. 4 (11th chord) 

Example 3. 5 Kapustin, Sonata No. 6, first movement, the beginning of the first subject, mm. 1-9 

Example 3. 6 Kapustin, Sonata No. 6, first movement, chain of circle of fifths, mm. 13-16 

Example 3. 7 Kapustin, Sonata No. 6, first movement, transition and motif z, mm. 16-18 

Example 3. 8 Kapustin, Sonata No. 6, first movement, second subject and motif z, mm. 19-22 

Example 3. 9 Kapustin, Sonata No. 6, first movement, B flat pedal point, and modulation centering E flat, mm. 23-25 

Example 3. 10 Kapustin, Sonata No. 6, first movement, the second part of the second subject, mm. 26-30 

Example 3. 11 Kapustin, Sonata No. 6, first movement, the ending of the second subject, mm. 31-39 

Example 3. 12 Kapustin, Sonata No. 6, first movement, F minor blues scale in the closing section, mm. 37-39 

Example 3. 13 F minor blues scale
Example 3. 14 Kapustin, Sonata No. 6, first movement, the end of the exposition, mm. 40-49 .................................................................47

Example 3. 15 Kapustin, Sonata No. 6, first movement, the beginning of the development, mm. 50-53 .................................................................................48

Example 3. 16 Kapustin, Sonata No. 6, first movement, motifs and modulations in the development, mm. 50-60 .................................................................................49

Example 3. 17 Kapustin, Sonata No. 6, first movement, sequence of thirds in the development, mm. 61-63 .........................................................................50

Example 3. 18 Simplified chords, mm. 61-63 .................................................................................50

Example 3. 19 Kapustin, Sonata No. 6, first movement, the development section, mm. 64-72 .................................................................................51

Example 3. 20 Kapustin, Sonata No. 6, first movement, the development section, mm. 72-78 .................................................................................52

Example 3. 21 Kapustin, Sonata No. 6, first movement, the end of the development section and the beginning of the recapitulation, mm. 78-85 .........................................................................53

Example 3. 22 Kapustin, Sonata No. 6, first movement, the first subject of the recapitulation in A-flat major, mm. 85-88 .................................................................................54

Example 3. 23 Kapustin, Sonata No. 6, first movement, the first subject of the recapitulation in D-flat major, mm. 92 to 100 .........................................................................55

Example 3. 24 Kapustin, Sonata No. 6, first movement, the end of the first subject, mm. 100-107 .................................................................................56

Example 3. 25 Kapustin, Sonata No. 6, first movement, transition, mm. 125-127 .........57

Example 3. 26 Kapustin, Sonata No. 6, first movement, coda, mm. 128-148 ..........59

Example 3. 27 Kapustin, Sonata No. 6, second movement, the beginning of the second movement, m. 1 .................................................................................60
Example 3. 28 Kapustin, Sonata No. 6, second movement, chord progression, mm. 1-6 .................................................................61

Example 3. 29 Kapustin, Sonata No. 6, second movement, motifs in the second movement, mm. 1-8 .................................................................62

Example 3. 30 Kapustin, Sonata No. 6, first movement, motif x, y, and z in the first movement, m. 1 ........................................................................62

Example 3. 31 Kapustin, Sonata No. 6, second movement, chromatic bass line of phrase a’ in the A section, mm. 7-14 .........................................................63

Example 3. 32 Kapustin, Sonata No. 6, second movement, contrary motion on outer lines of phrase a’ in the A section, mm. 7-11 ........................................64

Example 3. 33 Kapustin, Sonata No. 6, second movement, melodic fragment from the A section, mm. 1-3 ........................................................................65

Example 3. 34 Kapustin, Sonata No. 6, second movement, melodic fragment and sequence in the B section, mm. 15-19 .........................................................65

Example 3. 35 Kapustin, Sonata No. 6, second movement, the B section, mm. 15-23 ....66

Example 3. 36 Kapustin, Sonata No. 6, second movement, the end of the B section, mm. 24-27 .........................................................................................67

Example 3. 37 Kapustin, Sonata No. 6, second movement, the A’ section and Coda, mm. 27-45 .........................................................................................69

Example 3. 38 Kapustin, Sonata No. 6, third movement, motifs x and y from the introduction, mm. 1-4 .................................................................................71

Example 3. 39 Kapustin, Sonata No. 6, third movement, motif x and y of phrase a in the A section, mm. 5-8 .................................................................................72

Example 3. 40 Kapustin, Sonata No. 6, third movement, phrase b in the A section, mm. 9-12 .........................................................................................73
Example 3. 41 Kapustin, Sonata No. 6, third movement, phrase A’ and B’ in the A section, mm. 13-23 ...........................................74

Example 3. 42 Transitional modulation .....................................................................75

Example 3. 43 Kapustin, Sonata No. 6, third movement, transition between the A and B sections, mm. 24-27 ........................................................................76

Example 3. 44 Kapustin, Sonata No. 6, third movement, phrase C and the beginning of Phrase D in the B section, mm. 28-35 ........................................................................77

Example 3. 45 Kapustin, Sonata No. 6, third movement, the accompaniment motif in the first movement, mm. 48 ..............................................................................78

Example 3. 46 Kapustin, Sonata No. 6, third movement, boogie-woogie in Phrase D, using a F minor blues scale, mm. 36-39 ........................................................................78

Example 3. 47 Kapustin, Sonata No. 6, third movement, phrases D and C’ in the B section, mm. 40-49 ...............................................................................79

Example 3. 48 Kapustin, Sonata No. 6, third movement, the beginning of Phrase D’, mm. 62-65 ........................................................................................................80

Example 3. 49 Kapustin, Sonata No. 6, third movement, the end of Phrase D’, mm. 66-71 .............................................................................................................81

Example 3. 50 Kapustin, Sonata No. 6, third movement, the end of the B section, mm. 72-78 ............................................................................................................82

Example 3. 51 Kapustin, Sonata No. 6, third movement, transition to the A’ section, mm. 78-86 .............................................................................................................83

Example 3. 52 Kapustin, Sonata No. 6, third movement, the beginning of the A’ section, mm. 86-87 ........................................................................................................84

Example 3. 53 Kapustin, Sonata No. 6, third movement, transition and coda, mm. 105-112 .............................................................................................................85
CHAPTER 1. INTRODUCTION

1.1 INTRODUCTION

Nikolai Kapustin was born in 1937 and died in 2020, at the age of 82. His output included numerous piano works including sonatas, etudes, and concerti. In the period from 1984 to 2011, Kapustin composed 20 piano sonatas. On examination of these sonatas, the gradual evolution and mastery of his compositional technique becomes apparent. Although they are significant in his output, his piano sonatas have been underrated when compared to his other works such as Eight Concert Etudes for Piano, Op. 40 and Variations for Piano, Op. 41, which were written in 1984. These works were initially released to the public through media such as radio, TV, and magazines rather than through traditional concertizing, which may have had an effect on their popularity. Regardless of the popularity of his compositions, Kapustin walked his own path. He was prolific and left about a hundred and sixty compositions in various genres. Most of Kapustin’s compositions are for piano, either solo or ensemble. In addition to the sonatas, there are six piano concerti, four sets of variations, two suites, inventions, etudes, preludes, bagatelles, impromptus, nocturnes, and other short compositions.

One of Kapustin’s early piano sonatas, the Piano Sonata No. 6, Op. 62 is often studied by pianists who have been recently exposed to his music. Although this sonata has technical demands and lyrical melodies based on three separate jazz types in
each movement, it has been regarded as a good introduction to Kapustin’s music. He uses lively tempi and brilliant passagework in the first movement, contrasting lyrical introspection in the second movement, and a boogie-woogie style in stride jazz for the third movement. In this sonata, a traditional fast-slow-fast formal movement sequence is employed.

The formal structure often referred to as standard sonata-form firmly developed in the eighteenth century. Composers such as Haydn, Mozart, and Beethoven wrote numerous sonatas. Composers of the following generations continued composing in sonata form, utilizing it as a tool for expression. Many nineteenth-century composers, including Beethoven, experimented with innovative techniques within the form. These innovations pushed the boundaries of pianistic challenges. In the twentieth century, the development of the piano sonata in Russia arose through the contributions of notable composers such as Scriabin, Rachmaninov, Medtner, and Prokofiev. They composed countless works for piano, not only piano sonatas, and they served as an influence for Kapustin.

The 10 piano sonatas by Alexander Scriabin (1872-1915) are significant works that feature late-Romanticism, ambiguous tonal structures, and his own harmonic device—the “mystic chord.” His first three sonatas which belong to the first period utilize Chopinesque harmony and texture. Scriabin utilizes more ambiguous tonal centers in Sonatas Nos. 4 and 5 which belong to his second period, causing the tonality to become less clear. The last five piano sonatas are built on octatonic scales and feature the mystic chord (C-F-sharp-B-flat-E-A-D). In the third period, most of the music is highly dissonant and close to atonal in style.
Sergei Rachmaninov (1873-1943) wrote only two piano sonatas. The quantity of the piano sonatas cannot trace the development of his style sufficiently. However, the sonatas represent the culmination of the romantic sonatas of Brahms, Liszt, and more specifically Tchaikovsky.

Nikolai Medtner (1880-1951) has increasingly been recognized as a significant Russian composer for the piano. His piano output includes 14 piano sonatas, three piano concerti, works for two pianos, and miniature works. The style of his piano sonatas shows similarities to Scriabin and Rachmaninov, but each sonata has a unique character. Medtner also wrote single-movement piano sonatas. For example, Sonata No. 7 ‘Night Wind’ is written in a single movement, similar to the Liszt B minor Sonata.

As with Scriabin, Sergei Prokofiev (1891-1953) was quite prolific in composing piano sonatas. In all, he wrote nine piano sonatas as well as an uncompleted tenth sonata. His early compositions feature indications of his future modernistic tendencies. Also, rhythmic energy and a sense of humor that appear in his later style are perceived in his early works. His compositional maturity can be seen in his late piano sonatas. Neo-classicism, counterpoint, motivic manipulation, and harsh dissonance are incorporated in the ‘War’ trilogy sonatas (No. 6, 7, and 8). Through these sonatas, Prokofiev also tried to convey a message of a renewal of revolutionary spirit for the Russian people. Overall, each sonata has its distinguished character and experimental techniques, such as using a fist on a keyboard in his Sonata No. 6.

A Russian composer of the twentieth century, Nikolai Kapustin was also interested in writing piano music, especially piano sonatas. While studying at the Moscow Tchaikovsky Conservatory, Kapustin studied traditional concert repertoire. He
originally intended to concertize but pursued a compositional career. Professional training at the conservatory enabled him to compose in many genres and use various traditional forms from the past. Most of Kapustin's works written before 2000 utilize traditional techniques. These works follow the standard forms of Western music found in concerti, sonatas, chamber music, and instrumental music. As with Scriabin, Chopin’s influence on the style of Kapustin is apparent, not only in his choice of musical genre (Intermezzo for piano and orchestra, Op. 13, Nocturne in G major for piano and orchestra, Op. 16, Scherzo for piano and orchestra, Op. 29, Ten Bagatelles for piano, Op. 59, and Berceuse for piano Op. 65) but also in his use of Chopinesque lyricism. He recalls that he enjoyed playing Chopin etudes in a slow tempo in an interview, stating, “It is pleasant to play my music until the point when you have to increase the tempo. The same thing is true with Chopin’s music. For example, with etudes, it is pleasant if you do not play too fast.”

Kapustin studied with Alexander Goldenweiser at the Moscow Conservatory. Goldenweiser was a colleague and friend of the significant Russian composers of the time including Scriabin, Rachmaninov, and Medtner. As a result of these connections, it would be only natural that Kapustin would also be associated with the Russian musical tradition. For example, Kapustin was strongly affected by Scriabin's motivic development and use of harmony. However, his harmony is more complex and delicate than Scriabin’s and it tends to resolve more readily. Kapustin’s music has also similarities to Prokofiev’s musical style: “Prokofiev used lyricism and emotional expressiveness tempered by

---

satirical elements in the use of traditional formal structures.” Kapustin’s music presents lyricism and expressiveness in jazz in traditional structures. However, there are significant differences between the two composers. Prokofiev frequently treated the keyboard as a percussive instrument, while Kapustin did not. Although there are wild and percussive sections in both the first and third movements of Kapustin’s Piano Sonata No. 6, it is, rather, a manifestation of the jazz idiom. Kapustin did not pursue percussiveness in his piano music, as is found in Prokofiev’s Toccata, Op. 11.

After studying at the Moscow Conservatory, Kapustin began experimenting with a hybrid style in jazz and traditional music. As a child, he was interested in improvising and composing, and as a result evolved into a self-taught jazz composer and pianist. After the reign of Stalin ended in 1953, more freedom of choice appeared in all aspects of Russian life. Interest in jazz grew enormously as a symbol of freedom. Many artists in Russia became interested in the jazz idiom and it ultimately influenced Kapustin to create a unique hybrid of traditional music and jazz elements. Kapustin wasn’t the first composer to combine these styles. Rachmaninoff was exposed to jazz musicians when he stayed in New York. He was inspired by jazz orchestras such as Paul Whiteman, Fletcher Henderson, and Duke Ellington. There is such a passage evoking jazz in Rachmaninoff’s *Rhapsody on a Theme of Paganini*, Op. 43 (rehearsal 28 in Variation X). Also, George Gershwin’s *Rhapsody in Blue* is a hybrid work with jazz elements inspired. Although some composers fuse jazz idioms and traditional Western musical vocabularies on their

---


3 Tyulkova, 13.
works, Kapustin’s style is distinguished from these composers. For example, Rachmaninoff followed the mainstream late Romantic style of music, represented by expressiveness, rich melodies, and orchestral effects. Kapustin’s work is an exclusive compositional style and is distinctly different from that of modern Russian composers; the jazz style permeates entire works. It can be said that he contributed a novel innovative compositional style in the history of music.

Kapustin’s music also implies the natural scenery of Russia as with other Russian composers. It can especially be seen in the slow movements of his piano sonatas. Kapustin clearly stated that his music has “Russian intonations, with something of the nature of Russia in it, a deeper quality … There is something from the Russian nature in my music.”

1.2 NEED FOR THE STUDY

Kapustin was known for having an introverted personality, and he rarely traveled abroad. His limited travels probably prevented his music from being more widely recognized, in contrast to other contemporary composers. For this reason, there are limited resources about him and his music, and the amount of research in Kapustin’s piano sonatas is notably sparse. On the other hand, interest in Kapustin’s music has steadily grown in the United States through performances, publications, and recordings over the past few years. However, his piano sonatas have not yet received noticeable attention and few comprehensive analytic efforts, although there has been some research conducted on his character pieces and other piano music, specifically the Eight Concert

---

4 Tyulkova, 27 and 72.
Etudes for piano, Op. 40 and the Theme and Variations, Op. 41. Therefore, this study may serve to broaden the knowledge of the composer and his piano music and specifically, one of his piano sonatas.

1.3 PURPOSE OF THE STUDY

The aim of this study is to analyze the compositional techniques and structure of Nikolai Kapustin Piano Sonata No. 6, Opus 62. The sixth sonata has three movements, and each movement features individual jazz styles. The study will clarify the jazz style of each movement of this sonata. It will be helpful for pianists and professionals seeking to comprehend Kapustin’s jazz language by providing an analysis of rhythm, melody, and compositional techniques. In addition, the author hopes that this study will expand the available scholarship pertaining to Kapustin’s music, as well as providing resources for future researchers, especially for pianists who are learning his piano sonatas.

1.4 METHODOLOGY

The study includes the analysis of harmony, rhythm, melody, and form. It also includes the language of jazz due to a synthesis of jazz and classical traits. Kapustin achieves this style through the use of jazz modes, chords, improvisation, and composition techniques. In order to evaluate his synthesis of jazz and classical traits, sources related to jazz will be researched.

1.5 LITERATURE REVIEW

There is, in general, a lack of research on the subject of Kapustin. The main reason for the lack of resources is that Kapustin’s music has been only known to the
public during the last 10 to 15 years. As such, the available literature is limited to Oxford Music Online, dissertations/theses, and online resources.

Oxford Music Online offers general information on composers, such as brief biographical sketches, as well as information on compositional styles. Only four articles on Kapustin appear in Oxford, either directly or indirectly mentioning the composer.

In the ProQuest database, there are approximately 300 resources including magazines, journals, news articles, and dissertations about the composer. During the past twelve months, approximately 20 writings on his musical works have been published. It also contains indirect resources, so few substantive papers can be used as direct resources.

Published by the International Piano Quarterly, an article by Harriet Smith, “Bridging the Divide: The Russian Composer Nikolai Kapustin,” contains an interview with Kapustin from 2000. In the interview, he talks about his education and inspirations from both concert music and jazz. He also mentioned that although classical music is the central element, jazz is incorporated to add another color to his music. This is a valuable resource for knowing his thoughts and tendencies in his composition styles.

One of the most useful sources is Jonathan Eugene Roberts’s “Classical Jazz: The Life and Musical Innovations in the Music of Nikolai Kapustin,” which was completed in 2013. The author provides an overview of the history of classical-jazz fusion and Kapustin’s compositional techniques. It features an analysis of two of his compositions: the well-known Piano Sonata No. 2, Op. 54 and Prelude and Fugue, Op. 82, No. 10. This
document also includes detailed historical background information about the development of jazz in Russia since the October Revolution in 1917.


An eclectic dissertation, Eun-Joung Kim’s “A Style and Performance Guide to Selected Piano Toccatas, 1957-2000,” was completed in 2013. The author mainly focuses on Kapustin’s Toccatina Op. 40, No. 3, but she suggests a performance guide of contemporary composers who were active in the second half of the 20th century, such as Sofia Gubaidulina, Robert Muczynski, and Emma Lou Diemer. Therefore, it would be a valuable resource in a discussion of performance practice as it relates to Kapustin’s Piano Sonata No. 6, op. 62.

Yana Tyulkova wrote “Classical and Jazz Influences in the Music of Nikolai Kapustin: Piano Sonata no. 3, Op. 55” in 2015. As Sonatas Nos. 3 and 6 were written simultaneously in 1990 and 1991, the dissertation will be helpful in observing characteristics common to the earlier sonatas. Also, the analytical techniques of the author’s dissertation will be helpful in approaching the work. The author interviewed Kapustin for the dissertation, in addition, she also published the interview as a part of a
separate book, *Conversations with Nikolai Kapustin*, in 2019. It is another useful source for this analytical research.

1.6 LIMITATION OF THE STUDY

This study will analyze the Kapustin Sonata No. 6 in regard to the jazz styles he used in each movement and methods for synthesizing the classical form and modern jazz idioms in this work. It will stress the influence of traditional and jazz styles in this work and include important historical background that may have influenced the work’s composition. Also, this study will analyze jazz scales, chords, and rhythm in this sonata. It will mention Kapustin’s other piano works only incidentally.

1.7 DESIGN AND ORGANIZATION OF THE STUDY

This research paper will consist of five chapters. Chapter One includes an introduction, need for the study, purpose of the study, methodology, review of literature, limitation of the study, and design and organization. Chapter Two covers the biography, background, and influences. It highlights Kapustin’s musical background, including where he studied and who influenced his musical style. In addition, this chapter discusses specific events and career choices that helped him to become a unique composer. In the same chapter, Kapustin’s musical style is described along with the important influences from the Russian jazz and classical music scene at the time. An analysis of the Piano Sonata No. 6 Op. 62 constitutes Chapter Three, and Chapter Four includes a summary of previous chapters and a conclusion.
CHAPTER 2. BIOGRAPHY AND MUSICAL STYLE

2.1 NIKOLAI KAPUSTIN’S BIOGRAPHY

Nikolai Kapustin was born in 1937 in Gorlovka, Ukraine, and died in July 2020 at the age of 82. He began playing the piano at age 7 and had lessons with Piotr Ivanovich Vinnichenko, a violinist who taught piano. At age 12, he studied piano in earnest with Lubov Frantsuzova, a pianist and student of Samuel Maykapar, a Russian composer and professor at the St. Petersburg Conservatory. Maykapar was a pupil of Theodor Leschetizky, who studied with Carl Czerny, who had studied with Beethoven. This distinguished lineage indicated that Kapustin had received training that was comparable to other concert artists of his era.

Kapustin’s training was different from the traditional music training in the Soviet Union at that time, consisting of seven years in music school, four years at a music college, and five years in a conservatory. Kapustin did not receive seven years of academic education, but his study with Frantsuzova enabled him to enter the preparatory school associated with the Moscow Conservatory in 1952.\(^5\) He was able to complete a sonata for piano in 1950 at the age of 13. It did not have an opus number and was not

officially published but fulfilled the requirements of traditional Western music and demonstrated Kapustin’s talent.

In 1952, Kapustin went to Moscow where he studied with Avrelian Rubakh at the Academic Moscow College, a division of the Moscow State Tchaikovsky Conservatory, presently known as the Moscow Conservatory. Rubakh was a student of Felix Blumenfeld, a professor at the Moscow Conservatory who had instructed many prominent and renowned students, Vladimir Horowitz being one of them. Rubakh approached his students with different perspectives and methods from other teachers. His diverse experiences, gained from holding several academic positions, helped him develop an open approach to instruction.

Rubakh was an editor of Muzgiz Publisher (also known as Gosudarstvennoye Muzykal'noye Izdatelstvo), a Soviet State Music Publishing House in Moscow, and an editor of Anthologies of Pedagogic Repertoire for Music Schools that published pedagogical suggestions for teachers. In addition, he was a composer who transcribed orchestral works for piano. He arranged Tchaikovsky’s Orchestral Suite No. 1, Op. 43 for two pianos, which was published in 1956. Considering the conditions in the Soviet Union at that time, Rubakh was an enlightened teacher who became a strong supporter of Kapustin.

In 1953, after Stalin’s death, Russia became open to cultures from other countries. Jazz was introduced and became a symbol of a new era of freedom. When Kapustin was exposed to jazz, he was fascinated by it and realized that his career would be as a crossover composer of traditional music and jazz. In an interview, he said, “I

---

Tyulkova, 12.
knew it was something for me. I understood that I had to combine the two music[sic]—I had that idea from my youth.” Jazz was disseminated by musicians who had traveled abroad, and the advent of jazz in the Soviet Union extensively influenced musicians and society.

During the years at the Moscow College, Kapustin had the setting of a significant artistic experience. He became close friends with Andrei Mikhalkov-Konchalovsky and Andrei’s family when he lived with them. Andrei’s father, Sergei Mikhalkov, was a famous author who wrote children's books and satirical fables. He was also the lyricist for the Soviet and Russian national anthems. Life with the Mikhalkov family exposed Kapustin to artistic thinking and literature. He wrote down jazz improvisations he heard on the radio and listened to jazz recordings. Andrei Konchalovsky became a well-known filmmaker and stage director. He worked in Hollywood and Russian cinema and won numerous accolades, including the Cannes Grand Prix Spécial du Jury, a FIPRESCI Award, two Silver Lions, three Golden Eagle Awards, and a Primetime Emmy Award.

In the summer of 1956, Kapustin graduated from the Academic Moscow College and entered the Moscow Conservatory. He studied with the legendary pianist Alexander Goldenweiser, a student of Franz Liszt and a cousin of Sergei Rachmaninoff. Goldenweiser, Rachmaninoff, and Alexander Scriabin were classmates at the Moscow Conservatory. In addition, Goldenweiser was an editor of Beethoven, Mozart, Schumann, and Liszt’s piano works. Owing to his reputation as a legendary pianist, many

---

composers dedicated works to Goldenweiser including Rachmaninoff (Suite No. 2, Op. 17) and Medtner (Lyric Fragments, Op. 23).

During his Moscow Conservatory years, Kapustin studied traditional Western music including many composers from the Renaissance to the late Romantic Period. Although he was not studying jazz, he was aware of the significance of jazz in the Soviet Union and did not stop his experimentation with the idiom. Originally, he pursued being a concert pianist but became more interested in composition and performing jazz. Eventually, he made his debut as a composer and a soloist with Concertino for Piano and Jazz Orchestra, Op. 1 at the 6th International Festival of Youth and Students in Moscow in 1957.

The festival was a historical event that celebrated Russia’s freedom from dictatorship and was sponsored by the post-war government. Over 30,000 musicians from around the world who wrote and performed jazz participated in the event. Jazz had been regarded as a part of capitalistic cultures during the Stalin era but was being turned into a symbol of freedom for a new generation. The concert Kapustin performed was a profound personal experience and had significant implications for society. At the festival, he learned much about the art of jazz improvisation.

Several musicians improvised with Kapustin. Gradually, he developed the skill through interaction with them. In an interview, he recalled that the festival “... was my first experience playing in a big band, and I understood that this is not a bad thing. I started to write for that orchestra.”

10 Tyulkova, 17.

The festival was a productive experience for his musical development and resulted in the prominent jazz element in his music.

10 Tyulkova, 17.
In 1961, at 23, Kapustin graduated from the Moscow Conservatory and is remembered as one of Goldenweiser’s last students. Goldenweiser died in November of that year. After graduation, Kapustin formed a jazz quintet with the musicians he had met at the festival and members of Yuri Saulsky’s Band, who had been invited to the festival. They performed in Moscow and did some touring. The group worked with many jazz musicians and played monthly at a premium restaurant called “National,” which was popular with Americans. The quintet received invitations from American customers to broadcast their music on the radio station called “Voice of America.” This offered an opportunity for Kapustin to become known in the United States.

During the 1960s, Alexander Tsfasman, the most popular and important jazz artist in the Soviet Union, had been a classmate of Kapustin’s teacher, Rubakh, at the Moscow Conservatory; both were students of Felix Blumenfeld. Tsfasman became Kapustin’s artistic mentor as Rubakh had been earlier. Kapustin and Tsfasman had many similarities as pianists, composers, arrangers, and Ukrainians. In addition, Tsfasman was an enthusiastic supporter of the younger generation of musicians. During Stalin’s regime, he helped fellow musicians and provided jam sessions at the end of concerts under the watchful Communist government.

From 1961 to 1972, Kapustin wrote works for orchestra and big bands, which, through composing for these instruments, helped to form his jazz style. During this time, he toured with Oleg Lundstrem’s jazz orchestra, the earliest and longest-lived big band in

---

11 Tyulkova, 16.
12 Anderson, 94.
14 See Appendix A, List of Nikolai Kapustin’s 20 Piano Sonatas
Russia.\textsuperscript{15} Lundstrem focused on American arrangements and original works in the style of Glenn Miller, Count Basie, and Duke Ellington.\textsuperscript{16} In an interview with Maga Antonina, Kapustin recalled that, “Eleven years of work with Lundstrem became my ‘Second Conservatory.’ … We wrote down all the big-band parts from the tape. We were big enthusiasts. … Mostly it was classical jazz – Count Basie, Duke Ellington.”\textsuperscript{17} Through the experience with Lundstrem’s orchestras, Kapustin learned orchestration techniques in both classical and jazz idioms.

While Kapustin was touring with the Oleg Lundstrem Big Band, he met Alla Baranovskaya in Siberia. They married in 1969 and had two sons. Having a family made it difficult for Kapustin to tour with the Lundstrem band, and he decided to settle in Moscow and work with the Boris Karamishev’s “Blue Screen” Orchestra in 1972. The orchestra broadcast live concerts on TV and radio and made recordings of Russian composers as well as Kapustin’s playing.\textsuperscript{18}

Kapustin worked for the State Symphonic Orchestra of Cinematography, currently known as the Russian State Symphony Cinema Orchestra, from 1977 to 1984. This orchestra and Kapustin made recordings for movies and other media, and his duties required playing with small and large ensembles. Kapustin mentioned in an interview that it was a means of an income rather than a musical opportunity.\textsuperscript{19} While working at the State Symphonic Orchestra, Kapustin performed his Concerto for Piano and Orchestra No. 2, Op. 14 in the Tchaikovsky Concert Hall in 1980. After the concert, he devoted

\textsuperscript{16} Wang, 12.
\textsuperscript{17} Maga Antonina, “Vse moi proizvedenia – s dzazovim akcentom: Beseda” [All of my work is marked with a jazz emphasis: A conversation], Muzikalnaya jizn, No. 10 (October 2008): 40.
\textsuperscript{18} Roberts, 22.
\textsuperscript{19} Ibid, 22.
himself to composing rather than performing, although he, on rare occasions, did appear with his cellist friend, Alexander Zagorinsky, during the late 1990s. In 1984, the year Kapustin retired from the State Symphonic Orchestra, he decided to focus on writing works for piano.

In 1983, one of Kapustin’s works had been published by the Music Publishing House in Moscow. The work is Toccatina, Op. 36 for piano solo, which was the first piano piece to be published. There is a short introduction about the work on a publishers’ website that states that “... it is a succinct and dizzying piece that may remind you of jazz and rock improvisation, but its construction and musical style are outside these boundaries.” Soundtracks of this piece, which is about three minutes long, may be found on YouTube in a performance from 1989 by Kapustin.


However, in 2008, Kapustin returned with the album “Kapustin Returns!”, his final official recording. His return is explained through an interview with Martin

---

20 Tyulkova, 19.
Anderson: “I don’t like to play on stage, but I do like to record…”24 The album was produced by the Japanese label Nippon Acoustic Records and includes 12 solo piano works, including his Two Etude-like Trinkets, Op. 122, “Blue Bossa,” “Paraphrase on Kenny Durham’s Tune,” Op. 123, and the Piano Sonata No. 16, Op. 131, which had been written in 2006. After this recording project, Kapustin did not release any new albums.

After 1980, Kapustin moved from music for piano and orchestra to piano works exclusively. During this time, he mostly focused his energies on composition rather than performing. In 1984, he started writing his piano sonatas. Starting with the Piano Sonata No. 1, Op. 39 (Sonata-Fantasy), he completed ten piano sonatas between 1984 to 1999.

In the 1990s, Kapustin was occupied in composing smaller-scaled ensemble works besides works for piano solo. He concentrated his effort on cello pieces during the late 1990s. From 1997 to 2002, Kapustin wrote 10 works for cello and piano, including Elegy for cello and piano, Op. 96, Burlesque for cello and piano, Op. 97, Nearly Waltz for cello and piano, Op. 98, and Duet for alto-saxophone and cello, Op. 99, under the influence of cellist Alexander Zagorinsky. Among Kapustin’s cello works, the Concerto for Cello and Orchestra, Op. 86 is played often and most popular. His string quartet, piano quintet, and various types of mixed ensembles were also composed during this period.

In May 2000, Kapustin and his wife Alla spent a week in England. They travelled by train, which took three days from Moscow to England. Kapustin attended the formation of “Kapustin’s Piano Society,” a group of people who appreciated his music

---

24 Anderson, 97.
organized by Jan Hoare, who had also run the Liszt Society from 1995 to 2008. During his week in England, he attended a concert at which Marc-Andre Hamelin played his Piano Sonata No. 2, Op. 54 in its Western premiere. The concert was a part of “Hamelin weekend” at Blackheath Concert Hall in southeast London.

Kapustin was interviewed by English newspapers and had interviews with Martin Anderson, Leslie De’Ath, and Harriet Smith. Their articles were published by *Fanfare* and *International Piano Quarterly* in 2000 and remain valuable resources. Kapustin decided to write a dedication piece as an appreciation for his reception in London, the Piano Sonata No. 11, Op. 101. He gave the sonata a subtitle “Twickenham,” which is a town located in southwest London.

Several dedicatory concerts honoring Kapustin were presented in Russia. On December 11th, 2007, there was a dedication concert in Gnesina College in Moscow, a celebration of Kapustin’s 70th birthday. The concert was divided into two parts, with chamber music followed by orchestral works. A second concert took place in the Chamber Hall of Moscow Philharmonic Society in March 2009, with a third dedication concert held in the Arkhipov’s Musical Salon in Moscow in December 2011.

During the rest of his life, Kapustin lived in Moscow with his wife. He did not like traveling and never left Moscow except for trips to their summer house located 60 miles south of the city. He continued to compose, ultimately reaching Op. 161. Alla recalls in an interview with Yana Tyulkova in 2013 that “Kolia is composing all the time.”

---

26 Ibid, 21.
Most of his compositions are for solo piano or with piano. There are six piano concerti and some additional early works for piano and orchestra. The large-scale piano works include 20 sonatas, Eight Etudes, Op. 40, 24 Preludes, Op. 53, Ten Bagatelles, Op. 59, 24 Preludes and Fugues, Op. 82, and orchestral and chamber music. Kapustin lived in his own musical world, isolated from the outside.

An excellent pianist, Kapustin left recordings of his own works which provide a firsthand reference for interpreting his music. In addition, many prominent pianists, including Steven Osborne, Nikolai Petrov, and Marc-André Hamelin, have recorded his works, including the Eight Concert Etudes, Op. 40, Variations for piano, Op. 41, and 24 Preludes, Op. 53.

Kapustin’s music does not follow modern trends in music for the 21st century. He refused to be classified as a particular type of composer, and he wanted his music to be accessible to everyone and fit into any environment. According to Leslie De’Ath’s article in 2002, “He does not inhabit the world of new ‘serious’ music, nor that of jazz, traditional or otherwise.” Kapustin composed at his friends’ requests rather than writing to fulfill commissions. Most of his works sophisticatedly infused jazz-derived harmony into the form and structure of traditional Western music. He, however, remained traditional in his use of opus numbers, generic titles, and standard combinations of instruments, such as sonatas, concertos, preludes and fugues, variations, string quartet or piano quintet.

---

27 De’Ath, “Nikolai Kapustin.”
2. 2 NIKOLAI KAPUSTIN’S MUSICAL STYLE IN THE PIANO SONATA NO. 6, OPUS 62

For a better understanding of the music of Kapustin, it is essential to know its features. First, his music is essentially in a traditional style with its forms and structures that followed styles originating in eighteenth-century Western music and by earlier Russian composers. Secondly, the style includes jazz idioms. The idea of the combination of jazz idioms and traditional style was not original and had been employed by several composers at the beginning of the 20th century, including Eric Satie, Maurice Ravel, Darius Milhaud, and George Gershwin. Their attempts were relatively modest and experimental and did not seek to maintain the style as a firm identity. In the 20th century, Claude Bolling, French jazz pianist and composer, and Friedrich Gulda, an Austrian classical and jazz pianist, integrated jazz into their music in a style approaching Kapustin’s.28

There are fundamental differences between jazz pianists’ and Kapustin’s music. In the case of Bolling and Gulda, their music is improvisational and only some of their works are written out. Kapustin’s music is in traditional genres and forms which include inner elements of jazz. He meticulously wrote every note in detail but in a manner that sounds improvised. Kapustin did not want anyone to embellish or ornament in jazz style, which differentiates him from the jazz musician. In general, jazz musicians are expected to be creative in providing variety beyond the given sheet music. Kapustin preferred providing as much information as possible in the score, in the tradition of earlier composers. His requirement of adherence to the notes on the page identifies him as a

28 Tyulkova, 23.
traditional, not a jazz, composer. In an interview with Anderson, Kapustin indirectly pointed out that he was traditional in his composing when he said:

There is no need to improvise with my music, although it is jazz…. I am not interested in improvisation – and what is a jazz musician without improvisation? But I am not interested, because it’s not perfect…. My improvisation is written, of course, and they became much better. 29

He further solidified his identity by expressing his views on the differences between jazz composers and traditional composers, stating that jazz is free and open with broad contrasts within a single work depending on the skill of the performer and the reaction of the audience. Traditional Western works are written with detailed precision, and performers must interpret the composer's intentions.

Kapustin received traditional training from the Russian schools, which helped him understand different genres of music. His education helped him extend his compositional techniques to jazz and intermingle it with traditional forms. The concept of writing in the jazz idiom came to him when he was composing piano solo works.

In 1984, Kapustin retired from the State Symphonic Orchestra of Cinematography. After abandoning symphonic composition, he composed in his major and favorite genre, solo piano, as a freelance composer. What is more noticeable in his music for solo piano is the mingling of complex rhythms and challenging improvisatory passages that require virtuosic technique as well as the technique combined with a jazz idiom. He wrote 20 piano sonatas using various compositional ideas in diverse formats ranging from one to four movements. The long melodic passages recall sonatas by Chopin, Liszt, Schumann, and Rachmaninoff. The jazz elements contribute to an incisive,

---

29 Anderson, 96.
percussive style with sophisticated syncopations, accents, and various articulations that are reminiscent of the style of Prokofiev.30

This study explores seven jazz features found in the three movements: scales – blues scale, voice leading with ii-V progression, tritone substitution, tuplets, rhythms - swing and syncopation, stride, and boogie-woogie. The final portion of this chapter will summarize the content.

1. Scales – Blues Scale

The blues scale is used in jazz, rock, and country music and is regarded as an important jazz element for improvisation. It consists of a minor pentatonic scale plus a chromatic note called a “blue note” that is added on the fourth (4# or 5♭). This is defined as a minor blues scale (Examples 2.1 and 2.2).

Example 2.1 C minor pentatonic scale

Example 2.2 Minor blues scale

Melodic passages and dramatic effects are created by the blues scale. According to Dan Greenblatt, the author of The Blues Scales, there are two types of blues scales, major and minor. A major blues scale has the scale progression 1, 2, 3♭, 3, 5, 6 while a

---

minor blues scale has 1, 3♭, 4, 5♭, 5, 7♭.\(^{31}\) In the major blues scale, the blue note is a flat third (3♭) whereas minor scales have an added fourth or a flat fifth (4# or 5♭). Blues scales are used in many genres of music and are based on the tonality rather than an individual harmony (Examples 2. 3 and 2. 4).\(^{32}\)

![Blue note]

Example 2. 3 C Major blues scale

![Blue note]

Example 2. 4 C minor blues scale

2. Voice Leading with ii-V Progression

Chord progressions in jazz rarely move in parallel motion. The circle of fifths is a frequent progression in jazz, and it organizes pitches in a sequence of perfect fifths.\(^{33}\) The progression generates common tones between adjacent chords. Using the common tones, a player can modulate to or from keys with optional inverted chords. The principle of exploiting common tones is called voice leading.\(^{34}\) During a modulatory passage, chords generally create a ii-V progression which commonly used in general. Example 2. 5 shows

---


\(^{34}\) Jaffe, *Jazz harmony*, 28.
the diatonic seventh chords of a C major scale and common tones between adjacent chords.

Example 2. 5 Seventh chords progression in circle of fifths

Voice leading creates color tones and improvised melodic passages. The example below shows the variations of a simple voice leading along with inverted chords (Example 2. 6).

Example 2. 6 Voice leading of a simple progression of chords by circle of fifths
The ii–V progression tends to resolve to I as shown below (Example 2.7).

3. Tritone Substitution

A tritone is an interval known as a diminished fifth or augmented fourth. In general, a tritone substitution is applied to dominant seventh chords, which consist of a major third and two successive minor thirds. A dominant seventh chord is resolved down a fifth to either a major chord or a minor chord. A tritone substitution occurs when a player substitutes a dominant seventh chord for another dominant seventh chord that is a tritone away from it\(^\text{35}\) (Example 2.8).

When a tritone substitution occurs, the relationship between each dominant seventh chord is consistent with the table below (Table 2. 1).

Table 2. 1 The relationship of tritone substitution

<table>
<thead>
<tr>
<th></th>
<th>7</th>
<th>7</th>
<th>Enharmonic equivalent to 3</th>
</tr>
</thead>
<tbody>
<tr>
<td>7</td>
<td>7</td>
<td></td>
<td>Tritone</td>
</tr>
<tr>
<td>5</td>
<td>5</td>
<td></td>
<td>Enharmonic equivalent to 7</td>
</tr>
<tr>
<td>3</td>
<td>3</td>
<td></td>
<td>Tritone</td>
</tr>
<tr>
<td>1</td>
<td>1</td>
<td></td>
<td>Dominant 7th</td>
</tr>
</tbody>
</table>

Also, a tritone substitution is extensively used as an enharmonic chord. For example, a D7 can have G#7 and Ab7 as the tritone substitutions (Example 2. 9).

As the resolution of a dominant seventh chord, a tritone substitution has the same resolution chord as a dominant seventh chord. The role of the substitution chords is to create color and exotic sounds. In addition, they help to create tension and pull toward the next chord in the progression.\(^{36}\) With the use of the ii-V progression, tritone substitutions are used by jazz musicians and regarded as an important improvisational and jazz composition device.

---

\(^{36}\) Chase, *What is a Tritone Substitution?*
4. Tuplets

A tuplet is a generic term that describes a grouping of notes that would not normally occur in a beat. For example, there are triplets, quintuplets, sextuplets, septuplets, and even such groupings as quattuordecuplets (14 notes). The mixture of tuplets frequently occurs in Kapustin’s music, in common with many contemporary works. Tuplets create rhythmic contrast by combining with other straight notes. Recurring tuplet figurations cause a long hemiola phrase which is irregular and spontaneous and serves as an improvisational device in jazz (Example 2. 10).

Example 2. 10 Adrienne Albert’s *Circadia* for Bassoon and Piano, I. *Cycles*, mm. 33-36

5. Rhythms - Swing and Syncopation

Swing is a style of jazz that developed in the United States in the mid-20th century. It has an emphasis on the off-beat or weaker beat and is referred to as swung note(s) or a swung rhythm. In an actual performance, a performer creates dynamic rhythms that alternately lengthen and shorten first and second consecutive notes. Swing is

---

commonly marked, as in the example below (Example 2.11). These types of music are assumed to be performed with a swing rhythm. Genres that frequently include swing are swing jazz, ragtime, blues, and jazz. In contrast between other jazz composers, Kapustin indicates every swing rhythm with consecutive triplets in the music score rather than making a swing mark at the top of the score. In the third movement of his Piano Sonata No. 6, Kapustin makes swing a rhythmic motif and uses it throughout the movement (Example 2.12).

Example 2.11 Common swing marks

Example 2.12 Swing in the 3rd movement, Kapustin Piano Sonata No. 6, Op. 62, mm. 40-42
Syncopation is placed on weak beats with accents between regular beats rather than on those on the beat. Each note is articulated on a weak beat (or between two beats) and tied over to the next beat.\(^{38}\) Syncopated notes occur contrary to the regular pulse established in the music and are called cross-accents, agogic accents, or cross-rhythm. They disrupt the regular rhythmic flow giving a feeling of irregular and off-beat rhythm. Syncopation is not exclusive to jazz and is also found in traditional Western music (Example 2. 13).

![Example 2. 13 Beethoven Piano Sonata No. 32, Op. 111, II. Arietta, mm. 51-53](image)

Swing and syncopation are the most important rhythmic elements in jazz. Kapustin used them effectively in his compositions.

---

\(^{38}\) Grove Music Online, s.v. “Syncopation,” accessed January 13, 2022
https://doi.org/10.1093/gmo/9781561592630.article.27263
6. Stride

Stride is a style of solo jazz piano that is derived from ragtime. It adapts the left-hand patterns of rag time to form a distinctive stride bass.\(^{39}\) Stride has a four-beat pulse in fast tempi, alternating a bass note (or octave, major seventh or major tenth interval) on the first and third beats and a chord on the second and fourth beats. Stride stands out in solo jazz piano due to its powerful and driving acoustic effect.

Typically, the bass note has a root or 5\(^{th}\), a walking bassline that takes stepwise motion, and is played as a single pitch, octave, or tenth. The chord is a triad or 7\(^{th}\) chord in any inversion, some fragment of the chord, a substitution chord, one other of the usual harmonic techniques found in jazz.\(^{40}\) Kapustin adopted stride as one of the rhythmic elements in the third movement of the Piano Sonata No. 6. Example 2. 14 shows stride as notated on traditional staves.\(^{41}\)

\[\text{Example 2. 14 Stride example}\]

\(^{39}\) Grove dictionary, “Stride,” accessed January 13, 2022
https://doi.org/10.1093/gmo/9781561592630.article.26955


\(^{41}\) “Stride Piano Play along chord progression,” 8notes.com, https://www.8notes.com/playalong/stride_piano.asp
7. Boogie-woogie

Boogie-woogie is a style of jazz blues characterized by the use of driving ostinato in the bass on the left hand. To capture the essence of the boogie sound, it is necessary to adopt a heavily percussive style of blues piano in the left hand, while the right-hand plays melodic passages. A boogie-woogie performance provides the music with a strong rhythmic impetus, with a driving pattern of repeating ostinato bass. Kapustin utilized this figuration in jazz rock style, especially in the 3rd movement of his Piano Sonata No. 6, in which he combined boogie-woogie with other jazz features (Example 2.15).

Example 2.15 Boogie-woogie in the 3rd movement, Kapustin Piano Sonata No. 6, Op. 62, mm. 37-39

---

42 Grove dictionary, “Boogie-woogie (i),” accessed January 13, 2022
https://doi.org/10.1093/gmo/9781561592630.article.A2228520

https://www.britannica.com/art/boogie-woogie
8. Summary of Kapustin’s Musical Style in Piano Sonata No. 6, Opus 62

Kapustin’s music reflects a characteristic tendency to deliver improvised sound effects, like jazz, through composed music. His compositional style shows the influence of modern jazz and earned him a reputation as a cross-over composer. The elements described above are not a comprehensive list of Kapustin’s jazz vocabulary but include the most popular jazz techniques and devices found in his music, especially in the Piano Sonata No. 6, Op. 62.
CHAPTER 3. ANALYSIS OF THE COMPOSITIONAL TECHNIQUE AND STRUCTURE OF THE PIANO SONATA NO. 6, OPUS 62

Nikolai Kapustin’s Piano Sonata No. 6, Op. 62 was composed in 1991 and is one of the shortest of his 20 piano sonatas. Sonata No. 6 consists of three movements that are in a fast-slow-fast tempo sequence as is found in traditional Western sonata form. The first movement is in sonata-allegro form and has similar characteristics of a traditional first movement, such as a moderately fast tempo of Allegro ma non troppo, clear subjects, motives, and three sections with key relationships that do not, however, follow the traditional form. In the first movement, chromaticism and blues scales dominate general harmonic progressions rather than clear tonality. The second movement is based on ternary form (ABA) in a slow tempo (Grave), where a quarter is equal to 44 in 4/4 meter. The last movement is the most virtuosic, energetic (Vivace), and is in boogie-woogie style.

Sonata No. 6 has cross-rhythms, advanced harmonies, shifting moods, and jazz vamps and tropes.\footnote{Andrew Eales, “Discovering the Piano Music of Nikolai Kapustin,” Pianodao, April 24, 2018, https://pianodao.com/2018/04/24/discovering-the-piano-music-of-nikolai-kapustin/} Although the musical text is precisely written in detail, the effect is that of the improvisation of a skillful jazz pianist. The complexity of the sonata requires
advanced keyboard skills, especially in regard to the understanding of rhythm and harmony. Kapustin uses a motivic development technique derived from his earlier piano sonatas Nos. 3, 4, and 5. The rhythmic elements are a pivotal point. Kapustin places various types of tuplets, syncopations, and stride throughout the work. These rhythmic elements play a role in energizing Kapustin's compositional technique, which uses a small number of motifs in varied ways, a factor that enhances the jazz flavor.

The average duration of performances of the Sonata No. 6 is approximately 13 minutes in published recordings. Aside from a CD by Kapustin, two notable pianists have recorded the work, Marc-André Hamelin and Hanna Shybayeva (Shybayeva released two recordings). The CDs were released, respectively, in 2001, 2004, 2016, and 2017. Schott Music has published Kapustin’s works, including the Piano Sonata No. 6.

After writing 20 piano sonatas from 1984 to 2011, Kapustin wrote no more in this genre. According to an interview with Tyulkova, he felt 20 sonatas were enough and did not want to follow in the path of Schubert (22 sonatas), Beethoven (32 sonatas), and Scarlatti (555 sonatas). There are only three analyses of his piano sonatas aside from this study. Nos. 1, 2, and 3 have been researched by Kit Loong Yee (2014), Jonathan Roberts (2013), and Yana Tyulkova (2015) respectively.

---

45 Tyulkova, 31.
I. Allegro ma non troppo

The first movement of Sonata No. 6 has 148 measures with a duration of 6:12. It is divided into the three large sections (Exposition, Development, and Recapitulation) traditionally found in standard first movements.

Kapustin utilizes a short motivic idea to this movement along with chromaticism, augmented chords, and blues scales. He uses the ii-V progression, tritone substitution, several type of tuples, and many swingy and syncopated rhythms. The exposition, which lasts from measures 1 to 49, has a first subject, transition, second subject, and closing section. The main key is D-flat in the first subject, which gradually moves to F by the second subject. The development lasts from measures 50 to 84. This section requires advanced techniques such as complicated rhythms, sixteenth notes in rapid passages, extended trills, and sudden dynamic contrasts. Kapustin deliberately extends the first subject in the recapitulation. He interpolates it twice in different keys in the beginning of this section to humorous and witty effect. Table 3. 1 shows the structure of the first movement.
Table 3.1 Kapustin, Sonata No. 6, the structure of the first movement

|               | Exposition     | mm. 1-49 | First subject | mm. 1-18 | Second subject | mm. 19-49 | Transition | mm. 17-18 | A           | mm. 1-8     | A’          | mm. 9-16 | Transition | mm. 37-38 | Closing | mm. 39-49 |
|---------------|----------------|----------|---------------|----------|---------------|----------|------------|-----------|-------------|------------|------------|-----------|-----------|-----------|----------|
|               | Development    | mm. 50-84|               |          |               |          |            |           |             |            |            |           |           |           |          |
|               | Recapitulation | mm. 85-148| First subject | mm. 85-106| Second subject | mm. 107-127| Transition | mm. 102-106| B           | mm. 19-25  | B’          | mm. 26-36 | Transition | mm. 124-127|          |
|               |                |          |               |          |               |          |            |           |             |            |            |           |           |           |          |
|               |                |          |               |          |               |          |            |           |             |            |            |           |           |           |          |
|               |                |          |               |          |               |          |            |           |             |            |            |           |           |           |          |
|               |                |          |               |          |               |          |            |           |             |            |            |           |           |           |          |
|               |                |          |               |          |               |          |            |           |             |            |            |           |           |           |          |

As seen in Example 3.1, Kapustin states three melodic motifs in the first measure. Motif x has an arpeggio contour; y has stepwise motion and z ascends by a third and then moves down stepwise.

Example 3.1 Kapustin, Sonata No. 6, first movement, m. 1, indicating motifs x, y, and z

37
The first subject begins on the tonic and moves stepwise to the dominant. The dominant chords on each measure are placed on an upbeat with a staccatissimo. These chords provide a light and unexpected rhythmical element (Example 3.2).

```
Db: I\textsuperscript{13} \quad V\textsuperscript{b9} \quad I\textsuperscript{13} \quad V\textsuperscript{b9} \quad I\textsuperscript{13} \quad V\textsuperscript{b9} \quad vi^{11}
```

Example 3.2 Kapustin, Sonata No. 6, first movement, mm. 1-4
Kapustin adds consecutive thirds to the original chord and changes the pitch order. The first chord, including the right hand arpeggio, is a 13th chord. Likewise, the vi chord in m. 4 is a 11th chord (Examples 3. 3 and 3. 4). These extended tertian chords are frequently found in Kapustin’s music and throughout the movements of Sonata No. 6.

Measure 5 to 8 feature the use of motif y. The extended line begins on C in the right hand and moves downward to the first note of motif x, the F, from measure 6 to 9. The bass line motion, Bb-Eb-Ab-Db, from measures 6 to 9, forms a sequence based on the circle of fifths, a compositional trait frequently found in Kapustin. Some of this progression forms a chain of harmonic progression ii-V and has a consecutive secondary function on m. 6. In addition, tritone substitution, also known as an augmented chord, appears at measure 5 as another jazz element. The short stride in the left hand from measures 5 to 8 provides stability along with the inverted motif y (Example 3. 5).
Example 3. 5 Kapustin, Sonata No. 6, first movement, the beginning of the first subject, mm. 1-9
Measures 9 to 12 are contextually a repetition of the first four measures and may be regarded as the first subject prime. The chain of circle of fifths from measures 13 to 15 on the bass line leads to a transition (Example 3. 6). There is no difference in rhythm between the first subject and its repetition.

Example 3. 6 Kapustin, Sonata No. 6, first movement, chain of circle of fifths, mm. 13-16

In the transition, from measures 16 to 19, the harmony hovers around the dominant of F minor. The melodic contour foreshadows the main motive in the second subject. This passage is a transition to the entry of the second subject, which is based on F minor. The motif z smoothly connects the end of the transition and the beginning of the second subject (Example 3. 7).

Example 3. 7 Kapustin, Sonata No. 6, first movement, transition and motif z, mm. 16-18
The motif of the second subject is derived from the first subject. As Example 3.1 shows, the motifs are used throughout the second subject. Through intricate harmonic design, Kapustin creates a chromatically descending line in the bass from measures 19 to 22. The bass line has a persistent dotted rhythm. It creates a swing effect along with the combination of triplets and dotted rhythm in the right hand (Example 3. 8).

Example 3. 8 Kapustin, Sonata No. 6, first movement, second subject and motif z, mm. 19-22
The remaining chords move chromatically. B-flat plays the role of a pedal point from measures 23 to 25, emphasizing its dominant function, which leads to another dominant chord, E-flat. In measure 25, the appearance of the E-flat foreshadows the shift in tonality from minor to major. Kapustin maintains dotted rhythm in both hands. The swing rhythm persists until the beginning of the returning second subject (Example 3.9).

Example 3.9 Kapustin, Sonata No. 6, first movement, B flat pedal point, and modulation centering E flat, mm. 23-25
The second part of the second subject (B’) still consists of motif z in inversion.

The descending bass from measures 28 to 30 shows another chromatic line starting from B-flat to D. The rhythmic figure is similar to the previous part (Example 3. 10).

Example 3. 10 Kapustin, Sonata No. 6, first movement, the second part of the second subject, mm. 26-30
At measure 31, Kapustin wrote consecutive dominant 7ths, resulting in a chain of secondary chords. The bass notes, A-D-G-C-F-B-flat, form a circle of fifths. After the progression, another chain of fifths, again starts with A, then modulates to the final key, F Major. It is one of the complicated rhythmic sections in the first movement where Kapustin emphasizes syncopations with accents. This element of syncopation provides increased intensity, forming the climax of the exposition (Example 3.11).

Example 3.11 Kapustin, Sonata No. 6, first movement, the ending of the second subject, mm. 31-39
The closing section, which maintains the tonality of the exposition, starts at measure 39 with an increase of energy and rapid figuration. The pitch collections in the right hand are derived from the F minor blues scale, which is F-Ab-Bb-B♭-C-Eb (Examples 3.12 and 3.13).

Example 3.12 Kapustin, Sonata No. 6, first movement, F minor blues scale in the closing section, mm. 37-39

Example 3.13 F minor blues scale

There is multi-voiced chromatic motion in the lower voices. Through prolonged stepwise motion, the tonality changes from F at measure 39 and eventually returns to F, the final goal, at measure 48. The consecutive descending figure beginning at measure 40 can be regarded as a sequence of substitute dominant 7th chords. This section works as the climax of the exposition. Kapustin combines the rhythmic motifs that appeared in the previous section, including dotted rhythm in swing, triplets, syncopations, and strides (Example 3.14).
Example 3. Kapustin, Sonata No. 6, first movement, the end of the exposition, mm. 40-49
The development usually contains rich harmonic progressions, modulations, and variations of motifs. Based on blues scales, the short descending passage in measure 50 leads to motif x in the left hand while motif y echoes in the right hand. The rhythm at the beginning of the development, if less complex than in the previous section, is still intricate and creates an effect of improvisation (Example 3. 15).

Example 3. 15 Kapustin, Sonata No. 6, first movement, the beginning of the development, mm. 50-53

In the following passages, there is a great deal of variety in terms of modulations and motif designs. After the restatement of motifs x and y, the focus is shifted to motif z, which appears in the left hand at measure 55. The pattern of consecutive fifths is still present in the development section. Although the exposition begins in the key of D-flat major, the opening theme is in F. With the emphasis on F at the end of the closing section, Kapustin can move from F major to D-flat major smoothly in measure 58 by means of common tone modulation. The D-flat pedal point in bass strongly suggests the
returning key from measure 59. From measures 55 to 58, the melody is in the left hand, while the right hand has percussive figuration. The melody gradually moves to the right hand beginning at measure 59 (Example 3. 16).

As seen in Example 3. 16, in measure 54, the progression of C dimø7-FMn7-Bb strongly suggests the tonic key B-flat. However, the tonic center is not yet fully established. In measure 56, the chord progression of D-G-C forms an inverted motif x, and then the last chord, C, dominates measure 57. Finally, the tonic center, D-flat, is

Example 3. 16 Kapustin, Sonata No. 6, first movement, motifs and modulations in the development, mm. 50-60
established in measure 59 after another chord progression of E-flat-A-flat-D-flat in measure 58.

If the chord progression from measures 54 to 59 is seen as three groups, C-F-B-flat, D-G-C, and E-flat-A-flat-D-flat, it becomes clear that they are a sequence of dominant functions, V/V-V-I. Since D-G-C progression is actually a major second higher than C-F-B-flat and a minor second lower than E-flat-A-flat-D-flat, the passage implies an ascending stepwise line, C-D-E-flat.

Unlike any other chord progression in this movement, the next passage is based on a sequence of thirds (Example 3. 17). Example 3. 18 shows a simplification of the chords from measures 61 to 63.

Example 3. 17 Kapustin, Sonata No. 6, first movement, sequence of thirds in the development, mm. 61-63

Example 3. 18 Simplified chords, mm. 61-63
Two sequences involving the circle of fifths, C-sharp-F-sharp-B and C-F-B-flat, then lead to another phrase which begins with motif z. B-flat serves as a pedal point for two measures and moves stepwise chromatically down to Eb in measure 72. From measure 66, contrary to the previous sections, Kapustin emphasizes melodic elements which foreshows the climax of the development. The collaboration of triplets, sextuplets, septuplets, and a long trill evokes a dreamy and calm atmosphere and gives the effect of improvisation (Example 3. 19).

Example 3. 19 Kapustin, Sonata No. 6, first movement, the development section, mm. 64-72

51
Likewise, motif z appears in the main melody in the right hand while the materials of the first subject, motifs x and y, are recalled in the left hand. The chromatic line continues its descent until B-flat, and then emphasizes the chord progression, C-B-flat, reminiscent of the harmonic progression of the opening. At measure 74, the character becomes energetic and restless, forming the climax of the development (Example 3. 20).

Example 3. 20 Kapustin, Sonata No. 6, first movement, the development section, mm. 72-78
E-flat chords in measures 78 and 79 foreshadow the arrival of a new key, A-flat.

The bass line continues its descent to the last note, F-sharp in measure 84 of the development. The reiteration of motif x indicates the return to the first subject in measure 80 (Example 3. 21).

Example 3. 21 Kapustin, Sonata No. 6, first movement, the end of the development section and the beginning of the recapitulation, mm. 78-85
In most cases, the key of the recapitulation of sonata form is the same as that of the exposition. However, in this piece, the recapitulation begins in A-flat major, the dominant key of the exposition. F-sharp can be enharmonically spelled as G-flat (measure 85). Kapustin utilizes this enharmonic spelling frequently and also applies it when modulations occur (Example 3. 22).

Example 3. 22 Kapustin, Sonata No. 6, first movement, the first subject of the recapitulation in A-flat major, mm. 85-88
The tonal center returns to D-flat major in measure 94 (Example 3. 23).

![Example 3. 23 Kapustin, Sonata No. 6, first movement, the first subject of the recapitulation in D-flat major, mm. 92 to 100]

The general harmonic progression and rhythmic figuration of the first and second subjects and transitions in the recapitulation are similar to those in the exposition. In measure 100, a consecutive chain of secondary 7th chords starts with A and arrives at B-flat through a circle of fifths in measure 102. The prolonged pitch G-sharp serves as the dominant, establishing the new tonal center of the second subject in measure 107 (Example 3. 24).
Example 3. 24 Kapustin, Sonata No. 6, first movement, the end of the first subject, mm. 100-107
A short transition, recalling the dreamy section in the development, appears before the coda. It emphasizes the melodic element rather than the rhythmic (Example 3. 25).

Example 3. 25 Kapustin, Sonata No. 6, first movement, transition, mm. 125-127

The coda, which begins with animated scalar passages, recalls the closing of the exposition. The harmonic progression of this section is based on a circle of fifths, which enhances the fluidity of the musical impulse. However, Kapustin intensifies the rhythmic elements in this section. For example, hemiola frequently occurs in the first half of the coda. The outer and inner voices have different pulses, and they create rhythmic dynamism along with the stride. In the second half of the coda, Kapustin reiterates the motif x several times and ends with a restatement of the first subject in D-flat, full of energy (Example 3. 26).
Example 3. 26 Kapustin, Sonata No. 6, first movement, coda, mm. 128-148
II. Grave

The second movement of Sonata No. 6 is in ternary form (ABA) in A minor and is 45 measures in length. Kapustin’s performance has a duration of 4:07. The durations for other pianists’ performances are Hamelin’s 4:36 and Shybayeva’s 3:51. Table 3.2 shows the movement’s structure and tonality.

Table 3.2 The structure of the second movement

<table>
<thead>
<tr>
<th>A</th>
<th>B</th>
<th>A’</th>
</tr>
</thead>
<tbody>
<tr>
<td>mm. 1-13</td>
<td>mm. 14-27</td>
<td>mm. 27-45</td>
</tr>
<tr>
<td>phrase a</td>
<td>phrase a’</td>
<td>phrase a</td>
</tr>
<tr>
<td>mm. 1-7</td>
<td>mm. 7-14</td>
<td>mm. 27-32</td>
</tr>
<tr>
<td></td>
<td></td>
<td>mm. 33-39</td>
</tr>
<tr>
<td></td>
<td></td>
<td>mm. 39-45</td>
</tr>
</tbody>
</table>

The tonality of the movement: **A minor**

The opening A section begins with a suspended chord in which the left hand sustains the pedal note, low A, while the right hand begins with $G^{Mn7}$ and resolves to an A minor chord (Example 3.27).

![Grave (♩ = 44)](image)

Example 3.27 Kapustin, Sonata No. 6, second movement, the beginning of the second movement, m. 1
The tonality departs from A minor at measure 3 by means of a common chord modulation. The dominant chord in measure 2 is also the SV7 (tritone substitution) of E-flat major. The tritone substitution contributes to the modulation from A minor to E-flat major. Although the new key does not serve as a principal key, it supports forming a chromatic bass line and then returns to the tonic, an A minor 9th chord in measure 5. Also, it serves to create a melancholy mood through an obvious contrast between the tonic in A minor and the dominant, A-flat, in the new key (Example 3. 28).

Example 3. 28 Kapustin, Sonata No. 6, second movement, chord progression, mm. 1-6
The motifs in the second movement, to an extent, are borrowed from the first movement. For instance, the arpeggio motion followed by a descending line in measure 3 is reminiscent of motif x of the first movement. In measure 2, a three-note motif is also similar to motif z in the first movement. Also, the stepwise motion from measures 6 and 7 is a reminder of motif y. An arpeggio in the top voice in measure 6 is the inversion of motif x (Example 3.29). Example 3.30 shows the motifs in the first movement. Kapustin uses suspensions in this movement to create constant flow within a slow tempo.

Example 3.29 Kapustin, Sonata No. 6, second movement, motifs in the second movement, mm. 1-8

Example 3.30 Kapustin, Sonata No. 6, first movement, motif x, y, and z in the first movement, m. 1
As seen in Example 3.29, phrase a is reiterated at measure 7. However, the bass, instead of ascending by a fourth as measure 3, descends to E and returns to the tonic at measure 11. Finally, a circle of fifths, G-C-F, establishes a short cadence as closure for the A section at measure 14 (Example 3.31).

Example 3.31 Kapustin, Sonata No. 6, second movement, chromatic bass line of phrase a’ in the A section, mm. 7-14
The B section draws heavily on motifs from the A section. As seen in Example 3.31, in measure 14, a succession of descending chords moves in a stepwise manner in the right hand. The chords are derived from the D-flat mixolydian chords in measure 13 accompanied by an ascending bass line. This contrary motion is also similar to the movement between motif x and the bass in the A section, as seen in measures 7 to 11 (Example 3.32).

Example 3.32 Kapustin, Sonata No. 6, second movement, contrary motion on outer lines of phrase a’ in the A section, mm. 7-11

In measure 14, there is more intricate rhythmic activity as the B section begins. Kapustin uses various types of rhythmic figures and suspensions in order to create musical tension. For a contrast to the rhythmic tension, Kapustin adds a lyrical passage based on the melody that is derived from the intro of the A section (Example 3.33). He also quotes the motif z of the first movement and utilizes it as a part of the lyrical passage.
in the second movement. In measure 18, the right hand melody appears as the inverted motif $x$, which is subtly differentiated from measure 16 (Example 3.34).

![Example 3.33 Kapustin, Sonata No. 6, second movement, melodic fragment from the A section, mm. 1-3](image)

Kapustin uses direct modulation to change keys at measure 15 with stepwise motion in the bass line, which makes the modulation smoother. The bass note ascends to F-sharp in measure 16 and descends to an E major chord in measure 17. The F-sharp 11 chord is the sixth of A minor/major by means of tritone substitution. The E major chord

![Example 3.34 Kapustin, Sonata No. 6, second movement, melodic fragment and sequence in the B section, mm. 15-19](image)
in measure 17 works as a resolution of the tritone substitution. After arriving at A minor in measure 18, the chords again descend chromatically by a chain of tritone substitutions, returning to E. A short cycle of fifths leads to a temporary tonal center, G, but soon modulates to E-flat by means of the chromatic motive borrowed from the beginning of the B section (Example 3.35).

Example 3.35 Kapustin, Sonata No. 6, second movement, the B section, mm. 15-23
After a chromatic chordal ascending line in measure 24, Kapustin reuses the same motif of measure 22 and measures 25 and 26 as a link to the return of the A section. The bass line, starting with A-flat in measure 23, forms a prolonged ascending line leading to the tonic center (A), marking the return of the A section, along with an ascending chromatic bass line in measure 26 (Example 3.36).

Example 3.36 Kapustin, Sonata No. 6, second movement, the end of the B section, mm. 24-27

The first restatement of the A’ section remains the same as the A section. However, Phrase A’ modulates to G major chord through a circle of fifths (E-A-D-G). The coda recalls the motif of the B section. The ascending bass line, beginning with G in measure 39, leads to B, the secondary chord of E. By means of chord progression V/V-V-I, the movement reaches its final cadence, confirming the tonality of A minor.
Dotted rhythms and suspensions in combination are prevalent at the beginning of this section. The frequency of dotted rhythms decreases towards the second half, and there is a sense of spaciousness through use of a wide range (Example 3.37).
Example 3.7 Kapustin, Sonata No. 6, second movement, the A’ section and Coda, mm. 27-45
III. *Vivace*

The third movement of Sonata No. 6 is in ternary form with a short introduction, and it consists of three sections with each section having a small subordinate group. The total number of measures is 112 with an average performance time of 3 minutes. Table 3. 3 indicates the structure of this movement.

Table 3. 3 The structure of the third movement

<table>
<thead>
<tr>
<th>Introduction</th>
<th>mm. 1-4</th>
</tr>
</thead>
<tbody>
<tr>
<td><strong>A section</strong></td>
<td></td>
</tr>
<tr>
<td>Phrase A</td>
<td>mm. 5-8</td>
</tr>
<tr>
<td>Phrase B</td>
<td>mm. 9-12</td>
</tr>
<tr>
<td>Phrase A’</td>
<td>mm. 13-16</td>
</tr>
<tr>
<td>Phrase B’</td>
<td>mm. 17-23</td>
</tr>
<tr>
<td>transition</td>
<td>mm. 24-27</td>
</tr>
<tr>
<td><strong>B section</strong></td>
<td></td>
</tr>
<tr>
<td>Phrase C</td>
<td>mm. 28-35</td>
</tr>
<tr>
<td>Phrase D</td>
<td>mm. 36-48</td>
</tr>
<tr>
<td>Phrase C’</td>
<td>mm. 49-61</td>
</tr>
<tr>
<td>Phrase D’</td>
<td>mm. 62-77</td>
</tr>
<tr>
<td>transition</td>
<td>mm. 78-85</td>
</tr>
<tr>
<td><strong>A’ section</strong></td>
<td></td>
</tr>
<tr>
<td>Phrase A</td>
<td>mm. 86-89</td>
</tr>
<tr>
<td>Phrase B</td>
<td>mm. 90-93</td>
</tr>
<tr>
<td>Phrase A’</td>
<td>mm. 94-97</td>
</tr>
<tr>
<td>Phrase B’</td>
<td>mm. 98-104</td>
</tr>
<tr>
<td>transition</td>
<td>mm. 105-108</td>
</tr>
<tr>
<td>Coda</td>
<td>mm. 108-112</td>
</tr>
</tbody>
</table>

The third movement begins with a short introduction of four measures. As seen in Table 3. 3, the A section begins at measure 5 and is divided into five subordinate groups: Phrase A, Phrase B, Phrase A’, Phrase B’, and transition. The B section is constructed
similarly: Phrase C, Phrase D, Phrase C’, Phrase D’, and a transition. The returning A section has the same structure as the A section with a coda added at the end.

The introduction contains the motivic material of the third movement. There are two motifs: a melodic motif, x, a descending chromatic figure in the right hand, and a rhythmic motif, y, a percussive triplet figure in the left hand (Example 3. 38).

Example 3. 38 Kapustin, Sonata No. 6, third movement, motifs x and y from the introduction, mm. 1-4
Motif x is obscured by the right hand triplet figuration. The tonal center of the opening is unclear until the beginning of the A section, with the establishment of the key of D-flat major in measure 5. The pitch collection of Phrase A’s opening is based on the B-flat minor blues scale: B-flat-D-flat-E-flat-E-F-A-flat. Kapustin reiterates motif y in measure 6 and extends it in measure 8 (Example 3. 39).

Example 3. 39 Kapustin, Sonata No. 6, third movement, motif x and y of phrase a in the A section, mm. 5-8
The chord progression remains static for the first four bars of Phrase B and then departs from the tonal center in Phrase B by means of a circle of fifths, starting at C in measure 9 and leading to A-flat in measure 12, the dominant of D-flat. Also, stride occurs intermittently in measures 9 and 11 (Example 3.40).

Example 3.40 Kapustin, Sonata No. 6, third movement, phrase b in the A section, mm. 9-12

Phrase A appears in measure 13, and the chord progression of Phrase B is altered in measure 18, where a C major chord leads to one in B major instead of F major. Phrase B has two circle of fifths sequence in the bass: the first sequence, B-E-A, occurs in measures 18-19, and the second, E-flat-A-flat-D-flat-G-flat, begins in measures 19-21. From measures 21 to 22, the ascending bass line harmony moves chromatically from G to Bb. The bass line arrives at E-flat in measure 23 through a V - I progression. Kapustin
reaches the tonic, D-flat, by means of a chromatically descending line in measures 23-24 (Example 3. 41).

Example 3. 41 Kapustin, Sonata No. 6, third movement, phrase A’ and B’ in the A section, mm. 13-23
The harmonic sequence in measures 18 to 21, shown in Example 3.41, occurs extremely rarely in the literature. It is termed a transitional modulation and involves extended chromatic ii-V progressions (substitute dominants) that are used sequentially to create a sense of harmonic stability without real tonality\(^{46}\) (Example 3.42).

\begin{figure}
\centering
\includegraphics[width=\textwidth]{transitional_modulation.png}
\caption{Transitional modulation (through harmonic sequence)}
\end{figure}

In a direct modulation, there is no perceived shared harmony between the two adjacent keys.

\begin{figure}
\centering
\includegraphics[width=\textwidth]{direct_modulation.png}
\caption{Example 3.42 Transitional modulation}
\end{figure}

\(^{46}\) Jaffe, \textit{Jazz harmony}, 117.
The transition to the B section is in D-flat. Kapustin maintains D-flat as a pedal point through this section and uses the opening introductory material (mm. 1-4) as a transition (mm. 24-27). In measure 27, the chords foreshadow the cluster motifs of the B section (Example 3.43).

Example 3.43 Kapustin, Sonata No. 6, third movement, transition between the A and B sections, mm. 24-27

Although it is obvious that the tonic center of the B section is in F, the key is obscured owing to the chromatic bass line. However, an F blues scale is clearly implied. The appearance of A-flat (enharmonically G-sharp) in measures 28 and 29 could be interpreted as the blue note of a F major blues scale (F-G-A-flat-A-C-D-F), adding a blues flavor to the passage. In this case, the scale is a major blues scale. The modulation of the B section is a combination of chromatic motion and a circle of fifths. The inner tones of the chords of the right hand also move chromatically from measures 33 to 35.
Kapustin adds a walking bass line in Phrase C preceding the boogie-woogie pattern in Phrase D. The walking bass line outlines general chord progressions with an interesting melodic line that provides a counter-melody in Phrase C (Example 3. 4).

Example 3. 44 Kapustin, Sonata No. 6, third movement, phrase C and the beginning of Phrase D in the B section, mm. 28-35
Again, Kapustin designates another blues scale in Phrase D, but this time it is an F minor blues scale (F-A-flat-B-flat-B-C-E-flat) from measures 36 to 49. The left hand boogie-woogie figure in Phrase D is derived from measure 48 of the first movement (Examples 3. 45 and 3. 46).

Example 3. 45 Kapustin, Sonata No. 6, third movement, the accompaniment motif in the first movement, mm. 48

Example 3. 46 Kapustin, Sonata No. 6, third movement, boogie-woogie in Phrase D, using a F minor blues scale, mm. 36-39
The modulation to Phrase D utilizes a combination of chromatic motion and the circle of fifths. The chord in the right hand has a chromatic progression as in Phrase C. After a four-bar phrase based on a F blues scale from measures 36 to 39, the rapid chord shift imparts an energetic character in terms of harmonic progression. Also, Kapustin applies motif y in both hands, intensifying the swingy pulse and jazz flavor (Example 3.47).

Example 3. 47 Kapustin, Sonata No. 6, third movement, phrases D and C’ in the B section, mm. 40-49
The restatement of Phrase C in the B section, from measure 49 to 61, is similar to its counterpart in its rich harmonic tensions and rhythmical energy. Likewise, Phrase C’ connects with the restatement of Phrase D. Phrase D’ starts from measures 62 to 71. In general, Phrase D’ shares similar characteristics with that of its counterpart with increased rhythmic intensity. Interestingly, this time it begins with a B-flat blues minor scale (B-flat-D-flat-E-flat-F-A-flat), in contrast with Phrase D, which was in an F minor blues scale (Example 3.48).

Example 3.48 Kapustin, Sonata No. 6, third movement, the beginning of Phrase D’, mm. 62-65

The bass line descends chromatically to C during measures 66 and 67. The bass line, F-G-C, resembles a IV-V-I progression from measures 68 to 71, which gives the impression of an authentic cadence in C major. It seems that Kapustin is trying to establish a temporary tonal center because this harmonic progression is repeated four
times. It could be regarded as the closing of the middle section, which contains Phrases C, D, C’, and D’. In Phrase D’, the rhythmic density is more intense and prolonged than in Phrase D (Example 3. 49).

Example 3. 49 Kapustin, Sonata No. 6, third movement, the end of Phrase D’, mm. 66-71

The A section then appears with the motif x in measure 72. Kapustin uses it to create a chromatic sequence to anticipate the return of the A section. In general, motif x dominates this short section from measures 72 to 78. A short circle of fifths progression
leads to the tonic of the A section from measures 76 to 78. Also, Kapustin modifies motif y to appear as a suspension, which escalates tension in the rhythm (Example 3.50).

Example 3.50 Kapustin, Sonata No. 6, third movement, the end of the B section, mm. 72-78

Although the bass line of the transition is active, it is still plausible that the entire section is based on A-flat and, the A’ section begins with the tonic of A-flat major. Also, the rhythmic motif y dominates the transition section. In contrast to the introduction, motifs x and y appear in the left hand (Example 3.51).
Example 3. 51 Kapustin, Sonata No. 6, third movement, transition to the A’ section, mm. 78-86
The restatement of the A section (A’ section) is similar to its counterpart in terms of harmonic and rhythmic progression and motif design. The chromatically descending lines embedded in the inner voices add more fluidity to the passage (Example 3. 52).

Example 3. 52 Kapustin, Sonata No. 6, third movement, the beginning of the A’ section, mm. 86-87

The A’ section, which leads to the transition, is derived from the introduction and coda. The melodic motif x and rhythmic motif y appear in the transition, as shown in the A section. In the coda, the rhythmic intensity amplifies a dramatic sound effect through a chromatic descending bass line in swing rhythm. The arpeggiated chord evokes an improvisational sound effect in measure 111, and then the movement ends in D-flat, the tonic of the A section (Example 3. 53).
Example 3. 53 Kapustin, Sonata No. 6, third movement, transition and coda, mm. 105-112
CHAPTER 4. CONCLUSION

Based on the analysis and discussion in this study, it is clear that Nikolai Kapustin’s creativity and sense of synthesis add a freshness to piano literature and history. His music has inspired performers and listeners by harmoniously combining newly emerging jazz styles of the late 19th century with elements of traditional Western music.

The characteristics of Kapustin’s music include the combining of jazz idioms with traditional musical vocabulary. Using traditional jazz pianism as a basis, he employed wide and varied styles of jazz in his Piano Sonata No. 6, Op. 62, using strong beats and fast passages of swing, stride, and boogie-woogie coordinated with slow and lyrical movement. The combination of rhythmic and melodic elements are comprehensively reconciled. Passages that sound like improvised music are composed and written following the dictates of traditional composition. Jazz and traditional music materials are combined and enhanced through the use of sophisticated chords and rhythmic language in a virtuosic keyboard setting.

Kapustin was trained in traditional Western music. He used the foundation of his traditional training and extended it to jazz, which he taught to himself. Piano Sonata No. 6, Op. 62 is a valuable addition to piano literature. As much as his other music, such as his etudes and variations, has been played and loved by many people, it is expected that
his other piano sonatas will also receive attention and inspire further in-depth research by future scholars.
BIBLIOGRAPHY

Encyclopedias


Dissertations and Theses


Books


**Periodicals**


**Websites**


**Music Score**

APPENDIX A

Table A. 1. List of Nikolai Kapustin’s 20 Piano Sonatas

<table>
<thead>
<tr>
<th>Sonata Number</th>
<th>Opus Number</th>
<th>Composed Year</th>
<th>Number of Movements</th>
<th>Subtitle</th>
</tr>
</thead>
<tbody>
<tr>
<td>Sonata No. 1</td>
<td>Op. 39</td>
<td>1984</td>
<td>4</td>
<td>Sonata Fantasia</td>
</tr>
<tr>
<td>Sonata No. 2</td>
<td>Op. 54</td>
<td>1989</td>
<td>4</td>
<td></td>
</tr>
<tr>
<td>Sonata No. 3</td>
<td>Op. 55</td>
<td>1990</td>
<td>1</td>
<td></td>
</tr>
<tr>
<td>Sonata No. 4</td>
<td>Op. 60</td>
<td>1991</td>
<td>3</td>
<td></td>
</tr>
<tr>
<td>Sonata No. 5</td>
<td>Op. 61</td>
<td>1991</td>
<td>3</td>
<td></td>
</tr>
<tr>
<td>Sonata No. 6</td>
<td>Op. 62</td>
<td>1991</td>
<td>3</td>
<td></td>
</tr>
<tr>
<td>Sonata No. 7</td>
<td>Op. 64</td>
<td>1991</td>
<td>4</td>
<td></td>
</tr>
<tr>
<td>Sonata No. 8</td>
<td>Op. 77</td>
<td>1995</td>
<td>1</td>
<td></td>
</tr>
<tr>
<td>Sonata No. 9</td>
<td>Op. 78</td>
<td>1995</td>
<td>3</td>
<td></td>
</tr>
<tr>
<td>Sonata No. 10</td>
<td>Op. 81</td>
<td>1996</td>
<td>3</td>
<td></td>
</tr>
<tr>
<td>Sonata No. 11</td>
<td>Op. 101</td>
<td>2000</td>
<td>3</td>
<td>Twickenham</td>
</tr>
<tr>
<td>Sonata No. 12</td>
<td>Op. 102</td>
<td>2001</td>
<td>2</td>
<td></td>
</tr>
<tr>
<td>Sonata No. 13</td>
<td>Op. 110</td>
<td>2003</td>
<td>4</td>
<td></td>
</tr>
<tr>
<td>Sonata No. 14</td>
<td>Op. 120</td>
<td>2004</td>
<td>3</td>
<td></td>
</tr>
<tr>
<td>Sonata No. 15</td>
<td>Op. 127</td>
<td>2005</td>
<td>1</td>
<td>Fantasia quasi sonata</td>
</tr>
<tr>
<td>Sonata No. 16</td>
<td>Op. 131</td>
<td>2006</td>
<td>3</td>
<td></td>
</tr>
<tr>
<td>Sonata No. 17</td>
<td>Op. 134</td>
<td>2008</td>
<td>3</td>
<td></td>
</tr>
<tr>
<td>Sonata No. 18</td>
<td>Op. 135</td>
<td>2008</td>
<td>3</td>
<td></td>
</tr>
<tr>
<td>Sonata No. 19</td>
<td>Op. 143</td>
<td>2011</td>
<td>4</td>
<td></td>
</tr>
<tr>
<td>Sonata No. 20</td>
<td>Op. 144</td>
<td>2011</td>
<td>3</td>
<td></td>
</tr>
</tbody>
</table>
Dear Hyun Jung Im:

In accordance with your request of November 16, 2021, we hereby grant a non-exclusive license for you to use the above-mentioned work and excerpts from the work in your doctoral dissertation, provided the conditions listed below are satisfied:

1. Under each excerpt and/or in the prefatory or appendix acknowledgements, the following copyright information must appear:

   Kapustin PIANO SONATA NO. 6  
   Copyright © Schott Music, Mainz, Germany

   All Rights Reserved.  
   Used by permission of European American Music Distributors Company, sole U.S. and Canadian agent for Schott Music, Mainz, Germany

2. This permission is valid providing your doctoral dissertation is completed within one (1) year of the date of this letter.

3. This usage is restricted to your doctoral dissertation, which is not to be sold or distributed in any manner whatsoever without the consent of the publisher and is not to be reproduced except for the archives of University of South Carolina and by University Microfilms International/ProQuest.

4. There will be no fee for this permission.

Sincerely yours,
Caroline Kane
DEGREE RECITAL PROGRAMS
presents

HYUNJUNG IM, piano

in

DOCTORAL RECITAL

Monday, December 4, 2017
4:30 PM Recital Hall

Fantasy and Fugue in A Minor, BWV 944     J.S. Bach
                                           (1685-1750)

Gaspard de la Nuit     Maurice Ravel
Ondine
Le Gibet
Scarbo

Piano Concerto in F-Sharp Minor, Opus 20  Alexander Scriabin
                                           (1871-1915)
I. Allegro
II. Andante
III. Allegro Moderato

Inhye Cho, piano

Ms. Im is a student of Dr. Marina Lomazov. This recital is presented in partial fulfillment of the requirements for the Doctor of Musical Arts degree in Performance.
presents

HYUNJUNG IM, piano

in

DOCTORAL CHAMBER RECITAL

with
Isabel Ong, violin
Chin-Wei Chang, viola
Pai Liu, cello

Tuesday, April 24, 2018
6:00 PM • Recital Hall

Piano Quartet in E-Flat Major, Op. 47
I. Sostenuto assai - Allegro ma non troppo
II. Scherzo: molto vivace
III. Andante cantabile
IV. Vivace

Robert Schumann
(1810-1856)

Piano Quartet No. 3 in C minor, Op. 60
I. Allegro non troppo
II. Scherzo: Allegro
III. Andante
IV. Finale. Allegro comodo

Johannes Brahms
(1833-1897)

This program was coached by Dr. Daniel Sweaney.

Ms. Im is a student of Dr. Marina Lomazov.
This recital is presented in partial fulfillment of the requirements for the Doctor of Musical Arts degree in Performance.
presents

HYUNJUNG IM, piano

in

DOCTORAL RECITAL

Friday, March 8, 2019
7:30 • Recital Hall

Keyboard Sonata R.88 in D-Flat Major         Antonio Soler
Keyboard Sonata R.34 in E Major              (1729-1783)

Seven Bagatelles, Opas 33
1. Andante grazioso quasi allegretto
2. Scherzo - Allegro
3. Allegretto
4. Andante
5. Allegro ma non troppo
6. Allegretto quasi andante
7. Presto

Seven Bagatelles, Opas 33
Ludwig van Beethoven
(1770-1827)

Prelude and Fugue in E Minor, Opus 35 No. 1  Felix Mendelssohn
(1809-1847)

Piano Sonata No. 6, Opus 62
I. Allegro ma non troppo
II. Grave
III. Vivace

Nikolai Kapustin
(b. 1937)

Miss Im is a student of Dr. Marina Lomazov and
Dr. Matthew Manwaring. This recital is presented in partial fulfillment
of the requirements for the Doctor of Musical Arts degree in
Performance.
UNIVERSITY OF SOUTH CAROLINA
School of Music

presents

HYUNJUNG IM, piano
in
DOCTORAL RECITAL

Monday, April 27, 2020
4:30PM • Recital Hall

Piano Sonata No. 6 in D Major, K. 284/205b
I. Allegro
II. Rondeau en polonaise
III. Tema con variazione

W. A. Mozart
(1756-1791)

Étude in E-flat Major, Op. 10, No. 11

Frédéric Chopin
(1810-1849)

Transcendental Étude No. 12, ‘Chasse-neige’

Franz Liszt
(1811-1886)

Étude No. 8, ‘pour les agréments’

Claude Debussy
(1862-1918)

Étude-Tableaux in E-flat minor, Op. 35, No. 5

Sergei Rachmaninoff
(1873-1943)

Étude in B-flat minor, Op. 4, No. 3

Karol Szymanowski
(1882-1937)

Miss Im is a student of Dr. Joseph Rackers. This recital is presented in partial fulfillment of the requirements for the Doctor of Musical Arts degree in Performance.