HUMOR IN INSTRUMENTAL MUSIC:
A DISCUSSION OF MUSICAL AFFECT, PSYCHOLOGICAL CONCEPTS OF HUMOR 
AND IDENTIFICATION OF MUSICAL HUMOR

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Introduction

This dissertation is concerned with humor in music as it relates to affective response to music and to psychological concepts of humor. In order to develop the discussion, an examination of literature containing information about affective musical response and psychological humor concepts will be presented. Evidence of humor techniques found in musical compositions will be examined to determine if and how musical humor relates to psychological concepts of humor.

Humor, that is intentional humor, not accidental or mood humor, can be found in many different kinds of music. Humor, as it relates to music can be extrinsic or intrinsic. Extrinsic humor is considered to be that which is caused by characteristics which are extraneous to the music, such as a story or program, unusual instruments, costumes, non-musical sounds, or idiosyncratic association. Intrinsic humor is that which is composed into the music, such as formal, harmonic, or melodic errors; exaggeration of compositional or instrumental characteristics; or quotes of other compositions. Both of these forms of musical humor will be examined.

Music to be examined is strictly instrumental music in order to avoid any complications resulting from words or verbal humor. Music, including scores and recordings, from the mainstream of common practice, primarily Baroque through Post-Romantic periods, is selected for examination because of its probable availability and familiarity to the reader.
Organization of the Dissertation

Chapter I contains a discussion of the affective qualities of music presented in an historical overview. The literature containing discussions of affective response to music is presented in chronological order for the purpose of demonstrating the longevity of the concept of affective response to music, and also to show the changes in meaning of the concept. Philosophers, music theorists, aestheticians and psychologists have all contributed to this literature. The response to humor in music is considered in light of the examination of affective response to music.

Chapter II presents a discussion of psychological concepts of humor which can be applied to musical situations. A brief historical review of various psychological concepts is presented to demonstrate the variety of the concepts, with particular attention to those which may be applicable to musical humor. Only those concepts which are considered to be especially adaptable to musical humor will be examined. The psychological concepts of humor identified in this chapter are summarized in a chart containing an outline organization of the concepts compared to those psychologists who were included in the discussion.

In Chapter III those psychological concepts of humor discussed in Chapter II which are considered essential to the discussion of humor in music are presented and related to musical examples. Chapter III begins with an examination of articles and discussions of musical humor by musicians. This is followed by examples of musical humor,
selected by the author and discussed according to psychological concepts of humor. This chapter concludes with a discussion of the problems of the creation of musical humor, determining where and how it happens in the music, and the apprehension of it or response to it by an audience.

Chapter IV contains a detailed description of the humor characteristics and techniques found in Mozart's Musical Joke. These characteristics and techniques, including formal and harmonic deviations, are discussed in regard to psychological concepts of humor. Mozart's Divertimento No. 10 (K. 247) is used as a standard from which the Musical Joke deviates.

Chapter V is a summary of the material examined in the earlier chapters. This chapter includes a chart which presents the psychological concepts of humor outlined in the chart from Chapter II and relates them to musical techniques or characteristics which have been discussed in Chapters III and IV. Problems which arise while examining musical humor, affective response to music, and psychological concepts of humor are discussed, with suggestions for empirical investigations into this topic.
Chapter I

Historical Review of Music Affect

To open the discussion of musical humor, it seems appropriate to consider musical humor as an affective state caused by music. A discussion of music causing an affective state, that is being able to cause some specific emotional, physical, or intellectual response is presented in this chapter.

Musical humor has been sparsely dealt with by music historians, theorists, and psychologists. Current music theoretical works have nothing significant to say concerning this aspect or, for that matter, any affective quality of music. Considering musical humor as an affective state, causing an emotional and/or intellectual reaction in the listeners, is an approach which can be dealt with by a selective historical review of the musical effects of music.

This chapter contains an historical overview of affective response to music. The literature will be discussed in chronological order and will include information from various disciplines as philosophy, music theory, music psychology, and aesthetics.

Music has been found to have been considered as capable of causing some affective states at least as long ago as Plato's time. Various modes, rhythms, instruments, and voices were all thought to have an effect upon the characters of the listeners. According to information in the Republic:

Mixed or tenor Lydian and bass Lydian are harmonies expressive of
sorrow and are not useful to society [p.103].

The Ionian and Lydian are soft or drinking harmonies, and are also not desireable to a society [p.104].

The Dorian and Phrygian modes are of military use, and are desireable to a society [p.104].

Plato urged that no panharmonic scales or multiplicity of notes be used. Simple rhythms were preferred to help instill a "rightly and nobly ordered mind (Jowett, n. d.[p. 107]). Instrumental music was not generally acceptable except for shepherds' pipes and a few stringed instruments. These requirements or admonitions were necessary to the Greek Doctrine of Ethos which asserted that simplicity in music caused temperance in the soul.

This reference to Plato is important not only for the purpose of pointing out the antiquity of the idea of affective music, but also because of the return to his concept during the late 16th century by the Italians during the time of the Camerata.

Renaissance Period

One of the first music theorists to discuss music and its effects is Tinctoris, in the latter part of the 15th century. He included a list of many effects of music in his 11th treatise, Complexus Viginti Effectum, c. 1474-1484 (Coussemaeker, 1963, p. 195. As this was the Renaissance period, most of these effects concern the glorification of God, a particularly popular mannerism of the arts at the time. Some of the effects listed by Tinctoris are:¹

¹This translation, and those which occur below are the author's unless otherwise indicated.
1. *Musica Deum delectat.* (Music pleases God)

3. *Musica gaudia beatorum amplificat.* (Music increases the joys of loving.)

6. *Musica animos ad pietatem excitat.* (Music arouses the soul to the love of God.)

7. *Musica tristitiam depellit.* (Music dispels sadness.)

13. *Music homines letificat.* (Music makes all men happy.)

18. *Musica jocunditatem convivii augmentat.* (Music augments the pleasure of eating,) and

19. *Musica peritos in ea glorificat.* (Music glorifies those skilled in it.)

A mixture of character building qualities plus those of instilling attitudes of pleasure seem to be Tinctoris' concept of the effects of music. Contrary to Greek ethos concepts, no mention is made of particular modes creating certain effects, only the general effect of music with perhaps some differentiation of vocal and instrumental musical effects.

In contrast, a contemporary of Tinctoris, Bartolome Ramos, related the first four church modes to the humors in *Musica Pratica,* 1482 (Serauky, 1949-51, p. 116). His emphasis appears to be the effect upon the physical humors, phlegma (phlegm), colera (gall), sanguis (blood), and melancholia (melancholy), rather than upon creating a pleasurable attitude or building character. Both Ramos and Tinctoris got their basic foundation from Greek doctrine, but each went into an area of usage of that doctrine which serves his own purpose.

Tinctoris was concerned with various musical effects upon mental states
or increasing intensity of experiences, while Ramos dealt with certain
modes and their effects on physical states.

In 1558 Zarlino discussed a few musical effects in *Institutionae
harmoniche*. In his opinion, intervals without half tones created a
happy effect, and intervals with half tones, a sad or tragic effect.

He intended the shifting of interval for a special meaning in it-
self, with and without halftones: the intervals without halftones
(whole tone, major 3rd, major 6th and major 13th), for the happy
effect, the intervals with half tones, on the other hand, (minor
3rd, minor 6th, minor 13th) for the sad effect.²

This statement was the earliest one found which suggested composition-
al technique for the purpose of creating certain effects.

The Camerata and the Baroque Period

During the late 16th century a group of musicians who wished to
re-establish the simplicity of the Greek doctrine of ethos began a
movement in music which was later to become the Baroque era's "doctrine
of affections." Galilei, one of the members of this group, called the
Camerata, and which included Mei, Peri, and Caccini, left specific
directions in the cadences to be used in vocal music to create effects
governed by the affections of the text. (Palisca, 1956, p. 94).

According to Galilei, an archaic final cadence conveys a happy,
peaceful, cheerful effect; semitones in outer voices of the cadence
convey an "effeminate and lascivious" effect; and closing with a minor
triad conveys a doleful effect. Mei, in letters to Galilei, spoke of
the range of the melody in monody and the appropriateness of a high or
low range to display various affections. It is interesting to note

²Translated from MGG (Serauky, 1949-51, p.115).
that Mei also spoke of effects of rhythms, e.g., "... a rhythm intermediate between rapid and slow shows a poised spirit, while a rapid one manifests excitement, and a slow one sluggishness and laziness" (Valisca, 1956, p. 46).

Rhythmic effects had been an important aspect of Greek music, or so these gentlemen supposed, and thus they were attempting to return to that style. Although they had no examples of Greek music, text descriptions as Plato's Republic helped them to determine that rhythm was an important aspect of Greek music.

Lang commented that, at the time of the Camerata, musical thought was mainly concerned with "rendering and translating into music the temper, disposition, or frame of mind, passions, and mental reactions characteristic of man" (Lang, 1941 [p. 43]).

Kircher, early in the baroque era, catalogued styles to disclose the interdependence of style and the doctrine of affections. His explanation for the existence of different styles of music was translated by Lang from Musurgia Universalis (1650) as follows:

Melancholy people like grave, solid, and sad harmony; sanguine persons prefer the hyporchematic style (dance music) because it agitates the blood; choleric people like agitated harmonies because of the vehemence of their swollen gall; martially inclined men are partial to trumpets and drums and reject all delicate and pure music; phlegmatic persons lean toward women's voices because their high-pitched voice has a benevolent effect on phlegmatic humor [p. 436].

The affective state at this time in history was thought to be inherent in the listener and in his preference and temperament rather than within the music which might create a certain spiritual, mental or physical attitude by means of mode, or rhythm of the music. One of
the most comprehensive accounts of the doctrine of affects late in
the Baroque era is that of Johann Mattheson in Der vollkommene
Cappellmeister, 1739 (Lenneberg, 1958, p. 48). Although he was primarily
interested in vocal effects, he also listed rules for instruments to
create various effects. Among the effects for instruments alone were
pleasantry, flirtatiousness, and frivolity. His extensive list of
rules for composing affective music includes melodic invention,
A representative selection of quotes from Lenneberg's translation of
Mattheson's work follows:

56. Since, for example, joy is an expansion of our vital spirits,
it follows sensibly and naturally that this affect is best
expressed by large and expanded intervals [p. 51-52].

66. Sadness is a quite important affect. In sacred works, where
this emotion is most moving and beneficial, it rules all
these: penance, remorse, sorrow, dejection, complaint, and
the recognition of our misery. Under these circumstances
sorrow is better than laughter (Eccl. 7) . . . . a good
reason why most people prefer to hear sad rather than happy
music, namely, "almost everybody is unhappy." [p. 54].

80. Despair, which is the extreme to which cruel fear can drive
us, requires . . . . the strangest extremes of sound for its
natural expression. It can thus lead to very unusual
passages and to the strangest, wildly disordered sequences
of notes [p. 56].

Mattheson discussed various species of melody such as the minuet,
gigue, polonaise, gavotte, and courante. An example of what he said
concerning the courante follows:

123. . . . The passion or affect to be expressed by the courante
is sweet hope. The melody contains much that is courageous,
yearning, and happy, all the elements that together make up
hope [p. 65].
124. ... let us select an old well-known melody. ... [p. 66].

125. \[ \text{Musical notation} \]

126. Up to the first half of the third measure, marked by a cross, there is something courageous in the melody. ... [p. 66].

Mattheson's list is perhaps the most complete set of instructions for affective composing available in musical theoretical literature.

Mattheson's list of important emotions to be considered by a composer omits humor or the comic. The list consists of: love, desire, sadness, pride, haughtiness, arrogance, humility, patience, stubbornness, anger, heat, revenge, rage, fury, jealousy, hope, fear, dejection, horror, despair, and pity (Lenneberg, 1958, pp. 51-52).

As the Baroque era drew to a close, more and more emphasis was placed upon instrumental music and its place in the doctrine of affections. It appeared as though emphasis on vocal music and the Greek ethos had finally begun to be balanced by the increasing popularity of instrumental music. During this period the affective usages were interchanged between vocal and instrumental idioms became mixed freely. This interchange of techniques makes it equally possible for instrumental as well as vocal music to create an affective state.

At the end of the Baroque era small ensemble suites were very popular. These suites contained much emphasis on embellishments and ornamentation and stylistic techniques. Many of these pieces were trio and solo sonatas, or clavecin suites which were precursors of character pieces because they were designed to express a single mood (Apel, 1969, p. 147). They often dealt with a subject relating to nature as in Rameau's La Poule, or any topic which might have interest-
ed the composer. Battle discourses, elections, and even a gall bladder operation (Bukofzer, 1947, p. 248) are a few of the subjects chosen. These pieces were early program music, perhaps not intended to create any emotional effect within listeners, but primarily to entertain by a brief representation of one particular idea or happening. The programmatic titles served the same function as that of a general marking for the composition (Crocker, 1966, pp. 315-316).

Classic and Romantic Periods

During the Classic era (ca. 1750-1800), although theorists as Tartini (1754), Rameau, (1752), Vogler (1776) appeared to be primarily concerned with theoretical elements such as counterpoint, harmony, chord construction and progressions, instrumental techniques and acoustics, the influence of the doctrine of affections persisted well into the period. As the period progressed, an attempt to return to Greek classic style became more and more popular as it did in other art forms such as painting and architecture. Because of a lack of relics of Greek music, composers had to accomplish their return by trying to restore balance and order to music, and by no longer trying to imitate nature as had been done in the late Baroque, (Pauly, 1965, p. 19).

Gottfried Weber, in The Theory of Musical Composition, 1817-1821, discussed the ability of musical sound to express feelings, but not thoughts, ideas, things or events. Throughout the period interest in moods, feelings, and effects can be found in several comprehensive performance manuals. German composers, primarily C. P. E. Bach and
Quantz, developed a style known as *empfindsamer Stil*, or sensitive style, which included subtle nuances and shadings, and the expression of a variety of sentiments within one movement. These composers tried to create an expression of true and natural feelings with a constant change of expression within a movement (Pauly, 1965, p. 23). *Empfindsamer Stil* contrasts with the "doctrine of affections" by that constant change within one movement. Both Bach (Mitchell, 1949) and Quantz (Reilly, 1966) published performance manuals of considerable importance.

C.P.E. Bach's *Essay on the true art of playing keyboard instruments, 1753-1762* (Mitchell, 1949) includes instructions concerning affect in his chapter of Performance. A representative selection of quotes follows:

13. A musician cannot move others unless he too is moved. He must of necessity feel all of the affects that he hopes to arouse in his audience, for the revealing of his own humor will stimulate a like humor in the listener. In languishing, sad passages, the performer must languish and grow sad. Thus will the expression of the piece be more clearly perceived by the audience. . . . It is principally in improvisation or fantasies that the keyboardist can best master the feelings of his audience. . . [p. 152].

14. . . . Nature has wisely provided music with every kind of appeal so that all might share in its enjoyment. It thus becomes the duty of the performer to satisfy to the least of his ability every last kind of listener. . . [p. 153].

16. Performers, as we have already learned, must try to capture the true content of a composition and express its appropriate affects. Composers, therefore, act wisely who in notating their works include terms, in addition to tempo indications, which help to clarify the meaning of a piece. . . [p. 153-4].

28. . . . Passages in a piece in the major mode which are repeated in the minor may be broadened somewhat on their repetition in order to heighten the affect. On entering a fermata expressive of languidness, tenderness, or sadness, it is customary to broaden slightly. . . [p. 162].
29. . . . An exceptional turn of a melody which is designed to create a violent affect must be played loudly. . . [p. 163].

Quantz's instructions for performing to create an affective response are an important part of his manual. These instructions are found at many points throughout the manual. A representative selection of the instructions are as follows:

The embellishments or graces . . . serve, in accordance with the temper of the piece to excite cheer and gaiety, while simple appoggiatures, on the contrary, arouse tenderness and melancholy. Since music should now rouse the passions, now still them again, the utility and necessity of these graces in a plain and unadorned melody is self-evident [p. 98].

To play an Adagio well, you must enter as much as possible into a calm and almost melancholy mood, so that you execute what you have to play in the same state of mind as that in which the composer wrote it [p. 163].

To ingratiate yourself with your listeners, it is most advantageous to know their humours. A choleric person may be satisfied with majestic and serious pieces; one inclined to melancholy with thoughtful, chromatic pieces and those set in minor keys; and a gay, wide-awake person with gay and jocular pieces [p. 201].

With increasing interest in instrumental music, composers of the German symphony (ca. 1800) began to explore methods of expressing themselves in addition to moving the audience, (Crocker, 1966, p. 359). As composed music became more available to the general public, rather than being limited to the Church, nobility, or wealthy patrons, composers were faced with the problem of writing for the bourgeois man. At the same time that the shift in character of the audience occurred a great deal of emphasis was being placed upon the composer and his feelings. As theorists such as Rameau (1752), Tartini (1754), Vogler (1776), and Hauptman (1853) became more involved with acoustical properties, sound generation, key relationships and even metaphysical
aspects of music, composers became more and more involved in exploring the vast possibilities of mixtures of sounds, keys, and instrumentation. Composers often used the technique of combining a programmatic idea with their music, perhaps to make it even easier for an audience to interpret the composers' feelings. According to Crocker (1966):

... the new concert life gave the composer a more profound problem. No longer knowing his audience as a specific group of persons, the thoughtful composer tended to think of them in ideal terms of universal humanity, or else relied more and more on his own musical instinct (rather than on what had been commonly understood features of style) in making his musical judgments... for a while, especially the later 1800's composers interpreted the past in unusually personal ways [p. 360].

Some examples of programmatic titles chosen by composers for their compositions are:

Haydn — The Creation, The Seasons.

Beethoven — Sinfonia pastorale (Sixth Symphony) Individual movements were identified as 1) Awakening of joyful feeling on arrival in the country, 2) Scene by the brook, 3) Peasants' merrymaking, 4) Storm, 5) Song of Thanksgiving.

Schubert — Death and the Maiden (String quartet in D minor)

Berlioz — Symphonic fantastique, Episode in the Life of an Artist

Hanslick's The Beautiful in Music (1891) which represented the author's preference for the purely objective aesthetic purpose of music, included a section on the effects of music. In this section he asserted that music does not reflect the feelings of the composer but only the purely musical features of a composition. Hanslick credited the performer with creating any emotional feeling from a composition,
(Hanslick, 1891, pp. 76-77). He argued that because of specific information of a psychological or physiological nature, he could not agree that music could create feelings other than an auditory response of the nervous system, or of nervous excitement, and this response cannot be considered an aesthetic one. The physiological responses to music, according to Hanslick, do not explain the feelings supposedly produced by music.

Theorists of the Romantic era were concerned with tonality (Fetis, 1844), philosophical method (Hauptmann, 1853), and physical and physiologic sensations (Helmholtz, 1877).

In Helmholtz's *Sensations of Tone* (1877) there is some information concerning effects of music. When speaking of the motion created by melodic progression (Ellis, 1954) he said,

\[
\ldots \text{melodic progression can become the expression of the most diverse conditions of human disposition, not precisely of human feelings, but at least of that state of sensitiveness which is produced by feelings. . . thought may move fast or slowly, may wander . . . aimlessly in anxious excitement, or may keep a determinate aim distinctly . . . in view. . . . All this may be imitated and expressed by the melodic motion of the tones, and the listener may thus receive a more perfect and impressive image of the "tune" of another person's mind [p. 250].}
\]

Although Helmholtz stated:

\[
\ldots \text{music expresses the kind of mental transition which is due to feeling [p. 250].}
\]

he followed with the comment that:

\[
\ldots \text{music does not represent feelings and situations, but only frames of mind, which the hearer is unable to describe except by adducing such outward circumstances as he has himself noticed when experiencing the corresponding mental states [p. 251].}
\]

Helmholtz gave no specific directions for composing to arouse feelings,
other than his emphasis on the importance of melodic and harmonic motion.

To follow the interest in the effects of music, those music theorists such as Helmholtz and Stumpf (*Tonpsychologie*, 1890) who were interested in the psychological aspects of music appear to be the ones who dealt with the topic of effects to any great extent. They "acknowledged music as the language of sentiment and endeavored to explain it by the study of the impressions it creates in the human soul," (p. 978). While these theorists dealt with various aspects such as mathematics and physiology, aestheticians such as Herbart, Fechner and Vischer "attempted to deduce the essence of music from its external characteristics . . ." (Lang, 1941 [p. 977]).

Helmholtz's treatises dealing with sensations, optical, as well as acoustical, were important in the early history of psychological thought, (Boring, 1950, p. 304). As the discipline of psychology developed, psychological aspects were projected into theoretical discussions of music. Carl Stumpf's *Tonpsychologie* (1883-1890) includes the theory that acoustic-psychological bases were included in the scientific system of music theory, rather than the physiological bases which Helmholtz considered.

**Twentieth Century**

During the early 20th century psychology became more and more popular and many musical scholars began to examine music and its effects from a psychological viewpoint.

Farnsworth, in *The Social Psychology of Music* (1969) listed the following texts as examples of psychological views of music which
have influenced psychological research in music: Pratt's *The Meaning of Music* (1931); Max Meyer's *The Musicians' Arithmetic* (1929); Diserens and Fine's *A Psychology of Music* (1937); Schoen's *The Psychology of Music* (1940); and Lundin's *An Objective Psychology of Music* (1956). Although discussions of experimental work are presented, only that which is considered pertinent to humor as an affective response will be considered here. A brief review of each of these authors' works will be sufficient, for the purpose of discussing affective response to music.

C. C. Pratt, in *The Meaning of Music* (1931), although not primarily concerned with the problem of arousal of emotions by music, discussed meaning in music. He said, "... meanings characterize experiences which reveal qualities extraneous to their intrinsic nature [p.11]." Later in the text he followed with,

At the level of experience itself everything is meaningful in the sense that all things possess their own significant characteristics [p.14],

An interpretation of these statements might be that music, although it has meaningful characteristics of its own, may also create a response which contains extraneous meanings. This view results in a combination of referential and non-referential response to music. Pratt's discussion of aesthetic response to music included a discourse on movement in music which is similar to Helmholtz's views of melodic movement. (see above, p. 15). Pratt believed that the progression of tones sets up an auditory expectation. This response might range from detached contemplation, to involved bodily movement or a representation of it. His concluding statement sums up his feelings concerning music
and emotion:

It is perhaps unfortunate, for a theoretical understanding of music, that these characters of tonal movement, because of their formal affinity to bodily movements, are so frequently described by words which also denote moods and emotions, for these auditory characters are not emotions at all. They merely sound the way moods feel [p.203].

Meyer's The Musician's Arithmetic (1929) is primarily a work discussing new arithmetical methods of composing and constructing instruments. Psychological aspects Meyer discussed are primarily those dealing with hearing—ratios, ambiguities of sounds (p.20,23), interpretations of scales (p. 41), the effect of rising and falling inflection (p. 126); and the psychology of the leading note (p. 127). Meyer said very little about affective music in this work. He discussed music as language and said:

Its chief difference from language is the restriction which unconquerable physiological conditions place upon its meaning [p. 7].

He commented further that:

Verbal phrases may convey from one person to another either the meaning of things, . . ., or abstractly the meaning of the mutual relations between things, or indeed both. But music, with the insignificant exception of a few imitations of the voices of nature, a thunderstorm, rain, ocean wave, song birds, a pump, marching soldiers, etc., can convey only abstract relatives: speed, hesitation, power, weakness, mutual agreement, unfitness, success, doubt, etc. But the names of the inanimate objects or the living persons whose speed or power or success is described can not be conveyed by music [p. 7].

Meyer did not list any examples for either of his descriptions of music, imitations or relatives. It would be helpful to know what musical compositions he was describing when he made this statement, because little concrete musical evidence exists.
Diserens and Fine were primarily interested in the effects of music upon organisms. They reviewed early experimental work of Coutz and Charpentier (1874, cardio-vascular reactions to auditory stimuli on dogs); Dougie (1880, blood circulation on dogs and rabbits); Lombard, (1887, knee jerk reinforcement caused by music); Tanzi (1891, reaction time to major and minor chords); Tarchanoff (1895, melodic influence on muscular activity of humans); Binet and Courtet (1895, musical stimulation on respiration and circulation); and Vaschide and Lahy (1902, circulation and respiration). Music was found to cause some change in behavior in this experimental work.

Diserens and Fine ran their own experiment testing the influence of music upon human behavior (Cincinnati College of Music, n.d.) and offered these general conclusions:

Music tends to reduce or delay fatigue and consequently increases muscular endurance. Music has no definite effect on precision or accuracy of movement, if the rhythm is not adapted to the rhythm of the work. It reduced accuracy in typewriting and handwriting, the result being shown in an increased number of errors. Music speeds up such voluntary activities as typewriting and handwriting. It also accelerates respiration. Music increases the extent of muscular reflexes employed in writing, drawing, etc. Music reduces normal suggestibility, except in the case of direct suggestion involving color in which case suggestibility is increased. . . [pp. 273-274].

Diserens and Fine suggested studying voluntary as well as involuntary reactions to music. This type of study might help to determine how culture and environment can affect response to music. They stated:

Music is not only a sensory stimulus, but a complete cultural stimulus, which has been gradually elaborated throughout the entire evolution of the race [p. 339].

Mursell's *The Psychology of Music* (1940) includes a discussion of individual differences in listening. Mursell listed some aspects of
the listener which may affect how he responds as: 1) mood or set 
enforced by music, "Characteristic and appropriate mood responses to 
music do not depend upon intelligence or upon musical training. They 
result from the direct effects of tones as such [p. 206]." 2) The flow 
of association and/or imagery arousal, 3) Visual experience" ... in 
a great deal of listening the chance to watch the performer or to ob-
serve the source of sound plays a very considerable part, and at times 
it may even become a dominating factor in the experience [p. 210]."
From this list, 2 and 3 may be considered extrinsic to what is direct-
ly composed into the music.

Some intrinsic factors which affect listeners are (Mursell, 1940): 
1) organization of tonal content in terms of volume and timbre, 2) 
melody, 3) rhythm, 4) harmonic content, and 5) architectonic design. 
Mursell concluded through his study of response to these intrinsic 
factors that:

... the ultimate reason why such [sound] patterns are, for us, 
fraught with compelling emotional appeal, is that we ... are 
physically stirred by sound. ... [p. 21].

One might ask the question "which is a cause and which is an effect, 
or do feeling changes cause physical stirrings or vice versa?"
Mursell's view is an interesting change from the usual one of emotional 
and physical response occurring apparently simultaneously as discussed 
above. Mursell reiterated throughout his text the idea that

... the psychological function of music [or of art, p. 7] is 
precisely to objectify, embody, and convey emotional values by 
means of tonal-rhythmic design [p. 44].

In Seashore's Psychology of Music (1938) another aspect of the
function of psychology in regard to music is presented. Seashore stated,

The central problem in the psychology of music is the description and explanation of the musical creation -- the actual music -- regarded on the one hand as the expression of musical feeling and on the other as the stimulus for arousing musical feeling [p. 25].

This statement is one of the most explicit in expressing the problem of attempting to create music sensitively, and attempting to create sensations in listeners with music.

Seashore, in his text, dealt primarily with the trained musician and his responses and performance rather than that of the general public. He did discuss individual differences in regard to arousal of feelings,

What a listener shall hear in music depends upon what he is, or is capable of putting into it, that is, hearing into it [P. 169]. Seashore apparently thought that arousal of feelings was the most important aspect of music. He said,

Music is essentially a play upon feeling with feeling, It is appreciated only insofar as it arouses feeling and can be expressed only in active feeling [p. 9].

Schoen, in Psychology of Music: a Survey for Teacher and Musician (1940) presented a very thorough survey of research studies in psychology of music. He discussed music having the power to depict ideas, objects or situations as an ancient concept, however indefinite such an idea might be. He reviewed experimental work dealing with effects. His summary stated:

The experimental literature on the feeling effects of music deals with its influence on moods, the feeling value of melody, harmony, pitch, tempo and major and minor modes, the physiological phenomena in musical stimulation, and its value as medicine [p.89].
However, he stated earlier in the chapter on experiments that:

Experimental results certainly point clearly to the conclusion that verbal ideas do not determine the substance of musical effects for the composer, nor does the music have much to do with the sort of ideas a listener finds in it . . . . He puts them into the music [p. 86].

Schoen did indicate that program notes and title can help establish a train of imagery for the listener (p. 86), a point which is important for responding to humor in music. Certain expectations, aroused by such cues, help to establish appropriate mood responses.

Lundin in An Objective Psychology of Music, 1967, reported various kind of psychological evidence demonstrating affective reactions to musical stimuli in Chapter 9, "The affective response to music [p. 129]." According to Lundin, "an effective response is one in which the stimulus has made some definite change in the organism [p. 130]." The varieties of affective reactions which are discussed are: physiological response, including respiratory (Gamble and Foster, 1960, Wile, 1912; Ellis and Brighous, 1954), blood pressure changes (Ellis and Brighous, 1954), heart rate changes (Wechsler, 1925; Schoen and Gatewood, 1927) galvanic skin responses (Dreher, 1947; Zimny and Weidenfeller, 1963; Schoen and Gatewood, 1927) and verbal responses such as adjective selection (Capurso, 1952; Hevner, 1935, 1936). These studies showed that affective responses did exist. Programmatic music without knowledge of title was found to be easier for subjects to ascribe feelings to than non-programmatic (Hampton, 1945, p. 142). Such characteristics as major and minor modes, pitch and tempo, melody, harmony and rhythm have been examined for their affective nature. Major and minor effects, such as happy-sad, were dealt with by
Helmholtz (1912), Gurney (1880), Britain (1911), Henlein (1928) and Hevner (1935). The effect of pitch and tempo on emotional response was studied by Hevner (1937) and Rigg (1940). The effects of melody, harmony and rhythm were studied by Hevner (1936). Repetition and familiarity of musical selections upon emotional response was covered by Gilliland and Moore (1927), Washburn, Child and Abel (1927), Verveer (1933), Krugman (1943), and Mull (1957). Experimenters discussed by Lundin seem in agreement that past experience and other extra-musical attributes may be responsible for affective reaction, thus making it difficult to ascribe particular effects to the music alone.

A text which included music and feeling without stressing the experimental point of view if L. B. Meyer's *Emotion and Meaning in Music* (1956). He presented psychological descriptions of emotional reactions and related them to music. His explanation, "Emotion or affect is aroused when a tendency to respond is arrested or inhibited [p. 14]", is related to musical experience by a discussion of expectation and learning, and their affect upon perception. He developed a "law of good continuation" which he described:

A shape or pattern will, other things being equal, tend to be continued in its initial mode of operation. . . . the perception of a line or motion initiates a mental process . . . which . . . tends to be perpetuated and continued [p. 92].

Meyer offered many musical examples of the "law of good continuation" of melody, rhythm, meter; perceptual aspects such as completion and closure, including structure; saturation, which produces expectation of change in melody, harmony, and rhythm; and the weakening of shape
which can produce a strong desire for clarification and improvement
(p. 161). Meyer's text concluded with a discussion of image processes,
connotations, and moods and how they relate to an affective experience.
According to Meyer all of these aspects color and modify affective
experiences. He rejected those opinions which question connotative
and mood responses to music by stating" . . . all significant responses
to music, the affective aesthetic as well as the designative and
connotative, vary with our experience and impressibility [p. 270]."
He felt that the difficulty of discussing such response lies in the
absence of a specific referential framework between music and human
experiences. In summary, it appears that Meyer believed that there is
an affective response to music and that it is dependent upon learning,
expectations, perceptions, image processes, connotations, and moods,
as well as patterns found in the construction of the music.

Farnsworth's (1969) chapter entitled "Language aspects of Music"
presents the problem of whether music can cause an emotional reaction
or whether it can be only subjectively considered as descriptive of
some emotion. He discussed the necessity for composers to want to
communicate their thoughts and emotions if music is to be considered
language. He included brief discussions of embodied meaning or the
grammar of music and such designative meanings of music as mode and
key effects [p. 72] major and minor modes [p. 73], loudness, pitch level,
tempo and temperament of listener [p. 75], color tone linkage or
chromesthetic reaction to music [p. 77], and music as the "language of
the emotions [ p. 78-79]." This last section was concluded with the
statement that:
The mood elicited by the music will depend not only on the tonal configurations the listener hears but also on a variety of factors external to the music itself. . . . Although musical compositions can quite properly be placed into mood categories, they will not invariably arouse the moods in terms of which they have been described [p. 80].

Farnsworth (1969) presented a discussion of the use of adjective lists by such investigators as Schoen and Gatewood (1927), and Mull (1949), pointing out the agreement found among listeners describing the character of much Western music (Farnsworth, 1969, p. 80). He discussed the value of Hevner's checklist of adjectives for classifying moods found in music. Experiments using this checklist showed responses to be consistent, (see checklist below, p. 29). Farnsworth included his revision of the Hevner checklist (below, p. 29) which he thought contained more mood consistency within the adjective clusters. It is interesting to note that Hevner included humorous in her 5th cluster (below, p. 29) and it seems that it might have applied to the 6th cluster as well. However, Farnsworth, in his revision omitted humorousness entirely, and did not replace it with any synonym such as witty, satirical, comic, or travesty.

Farnsworth summarized the language aspects of music with the following comments:

. . . it is clear that the 'messages' of music are more in the affective than the cognitive realm [p. 94-95].

Everyone can appreciate the grammar, the melodic and harmonic rules of the school to which the music of his immediate interest belongs. But he is not listening to a language in the fullest sense of that term [p. 96].

As an example of some experimental work, one can look at Hevner's (1936) "The affective value of pitch and tempo in music" which demon-
strates interest of psychologists in music and its effects. Included in the article are her summary and discussion of six studies on expressiveness in music. She conducted 6 experiments to determine affective value of major versus minor mode; ascending versus descending melody; firm versus flowing rhythms; modern, dissonant harmonies versus classical consonance; tempo (fast versus slow); and pitch (high versus low). Nevner devised an adjective check list which she described as follows:

... The list of adjectives which the observers used for checking their responses to the music included sixty-one words, with the several words denoting one general feeling tone grouped together. These eight groups were posed around a circle so that the closely related affective states should be adjacent to each other and the most widely different states at opposite sides of the circle. These clusters of adjectives were arranged as follows: Group 1, dignified, spiritual, solemn, sober, and serious; Group 2, sad, pathetic, mournful, melancholy, depressing, gloomy, heavy, and tragic; Group 3, sentimental, longing, romantic, plaintive, dreamy, and tender; Group 4, calm, serene, soothing, lyrical, poetic, leisurely, and gentle; Group 5, delicate, light, graceful, sparkling, playful, jovial, humorous, whimsical, fanciful, quaint, and sprightly; Group 6, merry, bright, vivacious, cheerful, happy, gay, joyous, and carefree; Group 7, soaring, triumphant, elated, exciting, impetuous, restless, stirring, spirited, and dramatic; Group 8, forceful, vigorous, martial, ponderous, emphatic, majestic, and exalting. The directions to the observers were printed at the top of each list: "Check all the adjectives that seem appropriate to the music. Check as few or as many as you like." Every 0 had a fresh copy of the list for every composition. [p. 622].
The last experiments of this set of six dealt with the effects of pitch and speed. She discovered that a slow tempo (63-80 beats per minute) fell into the dignified-calm, serene category; and a fast tempo (102-152 beats per minute) fell into the happy-gay, exciting-restless categories. A high pitched composition fell into the sprightly-humorous category, while the low pitched fell into the sad, vigorous-majestic and dignified-serious categories. She felt that these last two experiments dealing with pitch and tempo to be of considerable value and stated,

In relation to the other four variables that were previously investigated in this series of experiments major-minor, ascending-descending melody, rhythm, dissonance-consonance, pitch and tempo show themselves to be of the greatest importance in carrying the expressiveness in music [p. 625].

Another example of experimental work in the affective qualities of music can be seen in Rigg's (1937) "An experiment to determine how accurately college students can interpret the intended meanings of musical compositions." Rigg's experiment using adjective lists showed that students could determine sadness and joy, but finer dis-
crimininations were not very successful. Training, including years of public and private music education, appeared to have little effect upon discriminations. Rigg pointed out that expression of such feelings which might be identified as representing a farewell scene, or an early morning sunrise are a result of association and not inherent in the music.

In a later article, "The mood effects of music: A comparison of data from four investigators," (1964) Rigg claimed that music does possess mood effects which have been studied by measuring physiological reactions. However, he felt that the verbal report technique is more satisfactory, especially when subjects respond to the question: "what mood does this music express?" [p. 427], indicating no necessary change of the observer's mood, but simply an objective description of the mood expressed.

Rigg described Kevner's adjective clock and adjective checklist, including changes made by Farnsworth (Rigg, 1964, pp. 97, 98).
### Hevner Adjective Check List

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MODIFIED ADJECTIVE CHECK LIST Farnsworth, 1954

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Other investigators dealing with meaning of, or affective response to, music by using verbal reports or checklists were Hevner (1935), Rigg (1937), and Gundlach (1932). These investigators' findings agreed basically that the effect of tempo or speed, was considered the most important feature in determining mood effects—slow speed tends toward sorrow and fast in the direction of joy. Other effects studied were dynamics—loud music determined as happy, exciting, or triumphant, soft determined as sad, serious, peaceful, or delicate; pitch level—high determined as happy, low as dignified, serious, sad or tragic; melodic range—wide range determined and happy, whimsical or uneasy, narrow as dignified, sad, sentimental, tranquil, delicate or triumphant; major and minor—major considered in the direction of happy with some exceptions, minor in the direction of sad; harmonies—
simple harmony determined as happy, graceful, and serene, dissonant, and complex harmony as sad, tragic, or exciting; and rhythm—irregular rhythm considered as tragic or amusing, regular rhythm as dignified, serious, sad, peaceful and happy. It is interesting to note that the only category which includes any humor reference is that of irregular rhythm. There was some disagreement concerning the response of trained versus untrained subjects, with the trained only very slightly better at determining correct mood responses, according to composers’ intentions, than the untrained. Rigg concluded with the comment:

... it can be said that the mood effects of music are well established and that there is a high level of agreement with regard to the features that are responsible [p. 437].

Another investigation, "Basal emotional patterns expressible in music" (1942) by Campbell agreed with Rigg’s that "Even though the actual emotions are not experienced when listening to music, the emotional characteristics which the music portrays, may, however be recognized... [p. 1]." Campbell proposed various emotional categories and patterns using a checklist of adjectives to determine presence of emotional characteristics of selected compositions. Although she attempted detailed emotional descriptions, the results showed most agreement on such larger aspects of emotion as happy-sad.

C. C. Pratt, in a recent review article, "Aesthetics," (1960) discussed the role of emotion in art and the problems associated with it. He held that perception of form in the fine arts may be one of the primary functions of aesthetic appreciation.

For a long time the classification of music gave trouble, but its wanderings are now about over, for although its signs succeed one another in time, the predominance of form is nearly
beyond all dispute. A good many authorities would, in fact, assign to musical form a higher and more important place than to any other kind of form [fnt. p. 75-76].

He presented the question of the origin of mood and emotional qualities ascribed to works of art:

Until recent decades the answer . . . seemed simple enough in theory, even if difficult to demonstrate by fact. Moods and emotions are subjective states and therefore cannot exist in the objective—e.g., phenomenally external—areas of auditory and visual perception. To say that art embodies emotion is merely a manner of speaking. Psychologically the statement makes no sense. To call a melody sad is a judgment that involves an erroneous ascription to the tones of a quality which has its origin elsewhere. The melody cannot be sad. The sadness must be in the listener.

A contemporary, Norton, in "Expression theory as a metalanguage," (1972) discussed the philosophic view of emotional expressions of music. He presented the problem of obscurity and difficulty in defining aesthetic philosophy as it relates to emotionalism in music. He attempted to define an expression theory from a musician's point of view by presenting two aspects: The first that music represents the emotions of a composer, and the second, that music reflects emotion to the listener. He rejected these ideas by saying, "Music sounds as emotions feel but it is not emotion itself [p. 87]."

According to Norton:

The expression theory [music is expressive of emotions] works simply because people have agreed that tones arranged into melodic/rhythmic/harmonic shapes (A) can and do refer to emotions (B) which people have or have had [p. 88].

He completed this theory by commenting that the listener is not the medium between A and B, but sound is.

Norton prefers a phenomenological approach which will describe what music is or what one feels about it and how it makes one feel.
According to him, because music is a behavioral process, it does reflect life and therefore is often associated with emotion and feeling. However, he felt that this is not all that music has to offer and that the emotive aspect has been over-used in describing and discussing music. He concluded by admitting that although music can be cognized as emotive, the important issue is sensibility and understanding in describing the essence of music.

Norton's discussion reiterated the problems in considering the affective aspect of music. Although he rejected the idea of music creating an emotional state or of reflecting a composer's emotional state, he admitted that its sound can be recognized as emotive in at least some respects. His opinions, recent as they may be, do not differ to any great extent from those of Halslick over a century ago.

The preceding selections of relatively recent material concerned with affective response to music reflects current thought as affected by psychology and experimental methods. There appears to be some agreement that music can express some general kind of emotional state, whether or not the composer may have intended it, and whether or not it causes some overt emotional response in the listener.

Summary

This chapter presented a few of the beliefs and opinions about affective music gathered from a variety of disciplines. Music theorists, philosophers, composers, and psychologists have dealt with the phenomenon of the response to affective music. Plato's urgings to accept only those modes and rhythms which built good character, and Tinctoris'
list of effects combining character building qualities and enhancing
tagitudes can be considered admonitions to use music for creating
pecified responses. Ramos presented a related aspect, and yet
different, with his correlation of modes to physical states of well
being. Zarlino offered a description of particular melodic intervals
causing happy or sad effects and thus included an early suggestion for
composing for effect. Galilei, Mei, and Caccini, as members of the
Camerata, also gave instructions for composing for particular effects—
both character building and physical state.

Kircher and Mattheson, in considering the doctrine of affections,
discussed physical states and offered many rules for composing for
emotional effects for both vocal and instrumental music. Bach and
Quantz listed specific performance techniques to be used to help
create affects as a part of Empfindsam Stil. Composers of the late
Baroque used programmatic titles to help convey the effect their
composition contained.

Instrumental music, as it became increasingly popular during the
Classic and Romantic periods, began to be identified in some cases
with a programmatic or descriptive title. Composers often tried to
express their own feelings through their music.

Philosophers such as Hanslick (1854), Meyer (1956), and Norton
(1972) all seemed to agree that feelings produced by music were not
necessarily inherent in the music but depended upon prior experience,
expectations, mood, and setting as well.

Early psychologists, Helmholtz and Stumpf, dealt with physiologi-
cal responses to auditory stimuli, and included information about
music and the response to it. Psychologists of the 20th century, Pratt, M. Meyer, Diserens & Fine, Mursell, Seashore, Schoen, Lundin, Nevner, Farnsworth, and Rigg presented information about experimental evidence or non-evidence of affective response to music. Their experimental work showed that music can and does cause some affective response depending upon the presentation and the audience. However, 20th century music theorists do not place any emphasis upon composing or performing for any affective purpose.

This historical overview dealing with the effects of music demonstrates the continuing interest in the mood or emotional properties of music. It now seems useful for the purposes of this study to investigate psychological discussions of humor to determine whether and how they can be related to the discussion of affective response to music.
Chapter II

Discussion of Psychological Concepts of Humor

Chapter II contains a presentation of psychological concepts of humor as conceptualized by 20th Century psychologists. The relationships among these concepts and their possible applications to humor in music are examined in order to seek a theoretical basis for the investigation of musical humor.

Humor Defined

At this point various definitions of humor, the comic, laughter, and wit will be presented. Dictionary definitions follow:

humor 1. The quality of being laughable or comical; funniness: He saw the humor of the situation. 2. Something designed to induce laughter or amusement. 3. The ability to perceive, enjoy, or express what is comical or funny: a sense of humor. . . (Morris, 1969, p. 641).

humor 1. An expression, verbal or otherwise, that portrays a situation with a mixture of sympathy and amusement. 2. A mood, emotional attitude, or tendency to respond favorably or unfavorably to other persons: catch him in a good humor. (English and English, 1958, p. 244).

comedy 1. A play, motion picture, or other work that is humorous in its treatment of theme and character. . . 4. The art or technique of composing comedy. 5. A comic element of literature of life. (Morris, 1969, p. 266).

comic. . . 3. Amusing; humorous. . 4. Anything that provokes humor in art or life. (ibid.)

humor . . 3a. That quality which appeals to a sense of the ludicrous or absurdly incongruous. b. the mental faculty of discovering, expressing or appreciating the ludicrous or absurdly incongruous. . . (Webster, 1965, p. 405).

laugh v. 1. to express emotion, typically mirth, by a series of inarticulate sounds, characteristically with the mouth open in a wide smile. 2. to produce sounds or cried resembling laughter.
2. to manifest or resemble the manifestation of joy in any way, to drive, induce, or effect with or by laughter. 

laugh

at. 1. to exhibit amusement at 2. to poke fun at; ridicule; divide. 3. to refuse to consider seriously. 

n. 1. a burst or sound of laughter 2. . Something amusing, improbably, or ridiculous. . to enjoy vindication. (Morris, 1969, p. 740).

wit. . . b. the ability to relate seemingly disparate things so as to illuminate or amuse. c. . . (2) a facetious or satirical retort or comment. Syn.: - Humor, implies an ability to perceive the ludicrous, the comical, and the absurd in human life and to express these. . (Webster, 1965, p. 1025).

It can be seen that the definitions cover many aspects, from a simple physiological reaction to a complex cognitive reaction. These varied definitions demonstrate the multiplicity of components which are considered a part of humor. Further demonstrations of this multiplicity can be seen in the following psychological discussions.

Psychologists' Discussions

Psychologists have discussed humor from varying points of view. Many of these discussions relate to response to humor, and some deal with what makes an object or work of art humorous, or the character of humor.

Early psychological discussions of humor are those of Freud (1905), Martin (1905), Kallen (1911), McComas (1923), Carpenter (1925), Diderot (1926), Landis and Ross (1933), Perl (1933) and Murray (1934). Their more pertinent ideas are covered briefly below.

Freud's Jokes and Their Relation to the Unconscious (1905) is an early psychological discussion of humor. Several attributes which Freud discussed in relation to appreciation of humor were: association, as in the use of "the same or a similar word from one circle of ideas to another, remote one [p. 120]" and the more remote the association
the greater the appreciation; recognition, or the rediscovery of the familiar which might be related to the joy in power, or "... a joy in the overcoming of a difficulty [p. 121]"; and "liberated nonsense" or absurdity techniques which are related to pleasure in nonsense and release from intellectual inhibition. Freud's theory concerning these attributes is that they result in an "economy in psychical expenditure [pp. 120, 127]" on the part of the observer. It is Freud's theory that the "economy in psychical expenditure" results in pleasure, that is, the short circuit in cognitive perception of a joke which occurs with these types of humor is the element which creates a pleasurable reaction.

Freud's discussion of the comic opens with the statement that "The comic arises in the first instance as an unintended discovery derived from human social relations [p. 189]." This results in what he termed the "comic of situation" and the possibilities of making people comic by such methods as mimicry, disguise, unmasking, caricature, parody and travesty. He also pointed out the possible aggressive and hostile purposes of making someone seem less than he is by putting him in a comic situation.

Other facts discussed by Freud as humorous are too large an expenditure of movement—as the extravagant gestures of a clown, which results in a type of comparison made by the viewer between himself and the comic object. He elaborated this idea with a theory of "ideational mimetics" which deals with expressing the largeness or smallness of contents of ideas by means of varying expenditure, so that a comparison to the expenditures of others may appear humorous, if they are much
larger or much smaller than the patterns of the viewer (p. 190-192). The concept of a smaller expenditure of movement may arise when one observes someone else's intellectual and mental characteristics as being less than his own, as in nonsense or stupidity. Speaking of estimating expenditures by empathy between the observer and the observed in a comic situation, Freud considered two types of reactions: one which results in a pleasurable feeling of superiority, and the other, by disregarding a comparison between self and other, results in no feeling of superiority. The comparison in the second instance is between two expenditures occurring in rapid succession, brought about by external influences (p. 196). Freud's thoughts concerning the superiority aspects appear to be generally not in favor of considering the feeling of superiority to be a part of appreciation of humor.

The feeling of superiority does not arise in the other person if he knows that one has only been pretending; and this affords fresh evidence of the fundamental independence of the comic from the feeling of superiority [p. 199].

Freud's ideas concerning making someone or something comic, provide several good definitions for the sometimes rather vague descriptions of various types of humor. "Caricature, parody, and travesty... are directed against people and objects which lay claim to authority and respect... [p. 200]." Caricature results by isolating a humorous trait from the general picture in a kind of falsification of reality. Parody and travesty result by replacing people's characters or their sayings with inferior ones. All three of these descriptions, caricature, parody, and travesty, create their effect by degradation,
which would appear to be related in some way to feelings of superiority, but Freud ignored this aspect and returned to his theory that the source of comic pleasure is in the comparison between two expenditures within the individual (p. 208).

Another form of humor resulting from degradation is that of comparing two objects which appear the same, one of them real or alive, and one unreal or mechanical. The reaction to such a situation, according to Freud, is disappointment caused by the lack of the expected need to make a new expenditure resulting in a sort of relief discharged by laughter.

To end Freud's discussion of humor, his list of conditions concerning comic pleasure follows:

(a) The most favourable condition for the production of comic pleasure is a generally cheerful mood in which one is inclined to laugh . . .
(b) A similarly favourable effect is produced by an expectation of the comic, by being attuned to comic pleasure. . . .
(c) Unfavourable conditions for the comic arise from the kind of mental activity with which a particular person is occupied at the moment. . . . what are quite specially unfavourable for the comic are all kinds of intellectual processes which are sufficiently remote from what is perceptual to bring ideational mimetics to a stop. . . .
(d) The opportunity for the release of comic pleasure disappears, too, if the attention is focused precisely on the comparison from which the comic may emerge. . . . The comic process will not bear being hypercathedected by attention; it must be able to take its course quite unobserved—in this respect, incidentally, just like jokes. . . .
(e) The comic is greatly interfered with if the situation from which it ought to develop gives rise at the same time to a release of strong effect. . . . It has been said that the comic feeling come easiest in more or less indifferent cases where the feelings and interests are not strongly involved.
(f) . . . the generating of comic pleasure can be encouraged by any other pleasureable accompanying circumstance as though by some sort of contagious effect. . . . [pp. 218-221]."

After summarizing and interpreting Freud's theories about humor,
certain basic ideas appear relevant to this study. Freud's discussion of association appears to involve perception and cognition on the part of the observer. Recognition of the familiar seems to deal primarily with cognition. Love of nonsense and/or absurdity techniques seem to fall into the area of play and the return to a childish appreciation or enjoyment. The necessity for some type of comparison to take place, whether it is that of psychical expenditures, empathy, or degradation, such as caricature, travesty, or parody, seems to imply the need for some previous knowledge on the part of the observer concerning the comic situation. An element of surprise appears also necessary according to his discussions of expectancy or anticipation being interrupted or thwarted, as in sudden release from tension.

Items (a) mood, (b) expectation, (c) mental activity, (d) focus of attention, and (f) accompanying circumstances, are particularly applicable to an audience or crowd situation.

Martin (1905) in "Psychology of aesthetics: experimental prospection in the field of the comic" looked primarily at response to humor and how it might be affected. Martin stated that humor appreciation may be caused by things unrelated to the actual joke (p. 35). Style of delivery and character of the performer, as well as audience disposition or expectation can be especially pertinent to appreciation. Martin also discussed the time-exposure element of humor, describing the decrease in enjoyment upon repetition of a humorous subject. The situation before a comic presentation causes a difference in reactions, also. Martin described what he believed to be some necessary components of a humorous situation such as exaggeration, or overemphasis on some
weakness; and the unexpected which could include such situations such as word play, or a sudden physical action. Newness, or a situation where unfamiliar material might be placed with familiar; suddenness or a situation which causes an abrupt change in the line of thought; incongruity, or situations where ordinarily unmatched thoughts are matched; and/or contrast, such as recognition of size differences or sudden switches in level of cognition, all were presented as essential items of his theory of the comic.

Kallen (1911) in "The aesthetic principle in comedy" said that a reason for the love of comic is something in the object which corresponds to one's own condition—an uncertainty, or a movement in character or form,(p. 137). According to Kallen, an essential condition for laughter or appreciation of humor is the actual apprehension of the concretely present laughable. He listed the causes of laughter as tickling, fear-emotion-intellectual tension, health, play-make believe, teasing, victory, exposure, novelties, whimsicalities, oddities, caricature, and grotesque symbolism. While considering the comic in art, he added:

Music . . . whose very essence is time, is not so often said to contain or to offer comic content (p. 140).

McComas, in "The origin of laughter" (1923) discussed causes of laughter also. He considered the propensity for laughter as an instinctive trait, which arises from an emotional state of well being, including feelings of self-assertion and companionship. According to McComas, the intellectual element in responding to humor necessitates an alert mind and a genial temperament.
In "Experiments on the comic," (1925) Carpenter presented some points which she considered to be essential to comic appreciation (p. 309). They were: 1) the comic situation should suggest a falsehood, 2) the comic is not perceived by some people as such if it is too deceptive, and 3) to perceive the comic an effort of judgment must be made. These points appear to be connected, for one must perceive the falsehood involved in the comic presentation to enjoy it, and if the falsehood is not perceived, the presentation does not appear comic.

Diserens, in "Recent theories of laughter," (1926) concluded that laughter is a primary activity of the protean theory aspect, that of readily taking on different shapes or forms. He also asserted that laughter is a complex form of behavior which is susceptible to conditioning. This concept could include cultural aspects, need for prior knowledge of the comic situation, crowd effect, and method of presentation. Diserens drew the conclusions that laughter is a biological mechanism of adjustment, a physiological safety valve, a psychological exhilarant and a regulator of social relations.

Landis and Ross (1933) discussed "Humor and its relation to other personality traits." Individual differences and the influence of past experiences are reflected in the way one responds to humorous situations, according to Landis and Ross. They listed seven categories of humor as: 1) quantity-exaggeration, 2) incongruity, 3) unexpected, 4) truth-exposure, 5) superiority, 6) repression, and 7) ridiculous, puns, etc. On close examination these categories overlap and each can be related to the other. For example, truth-exposure can be a part of feelings
of superiority, exaggeration, and even the ridiculous, depending on the circumstances of the comic situation.

In "Influence of social factors on the appreciation of humor," (1933), Perl spoke particularly of the social conditions which are present in appreciation of a humorous situation. She presented the idea that jokes presented to groups are funnier than those presented in private. She listed the social conditions which enhance crowd humor as: the effect of others laughing, the release of restrained impulses, and the feeling of moral sanction of that release by the crowd communication. Her discussion of humor as a form of communication can be found only on a relatively small scale, but it appears to be an interesting, important concept. Communication can occur not only from crowd member to crowd member, but from performer to crowd and vice versa. Perl included the concept that the visual presentation of the comic is funnier than the vocal.

In 1934 Murray wrote an article titled "The psychology of humor" in which he discussed the aggression-superiority concept of humor. It is his belief that a mirth evoking theme is one which has an unaffiliated or unrelated object appearing in a disparaging situation. This seems to be a one-sided view of humor, and yet all humorous or comic situations could be considered from this viewpoint. For example, pleasure in nonsense could make a listener feel superior in his own knowledge as well as superior to the joke teller. Any comic situation which makes someone or something seem less than he or it might, could result in a disparaging situation causing feelings of superiority.
By relating this varied group of early psychological discussion of humor to one another, one may begin to gather similar concepts or theories and arrange them into organized selections of common traits. The psychologists discussed two areas of humor basically, they are: the comic situation and what is present in it; and the observer and how and why he responds. Freud (1905) spoke primarily about the observer and what happens to him in order to respond. The concepts of association, recognition, pleasure in nonsense, psychical expenditure, cheerful mood, expectation, and pleasurable emotional circumstances deal with the observer and his response. Those of unintended discovery, comparison, and degradation might be applied to the content of the humorous situation itself.

Martin (1905), on the other hand, dealt mainly with those facets which must be present in the comic presentation. The effect of the unrelated, exposure-repetition, exaggeration, unexpected, newness, suddenness, and incongruity all appear to be part of what must be present in the humorous situation.

Kallen's (1911) concepts of the observer making a comparison to his own condition, and being able to apprehend the laughable, appear to include perception and cognition on the part of the observer. Those concepts which apply to the situation are: obvious contrasts, exaggeration, novelty, whimsicality, oddity, and symbolism.

McComas (1923) appears to consider the humorous reaction of the observer only. His ideas of feelings of well-being, self assertion, companionship, alertness, geniality, and instinctiveness all apply to
what happens or what is present within the observer.

Carpenter's (1925) concepts may apply to both the humorous situation and the observer, with more overlap than previously noted. Her belief that a falsehood must be present and perceived shows a necessary connection between observer and situation. Suddenness of the comic subject presentation is another necessary element of the humorous situation according to Carpenter. Effort and pleasure in the power of judgment, and a free emotional field are, in her opinion, necessary for observer response.

Diserens' (1926) concepts concerning humor all seem to apply to observers' reaction. He listed such aspects as conditioning, biological mechanism, physiological valve, psychological exhilarant, and social regulation as having an effect on the observer.

Landis and Ross (1933) discussed individual differences and influence of past experiences as being important to observer reaction. Necessary to the humorous situation is some form or combination of: exaggeration, incongruity, unexpectedness, exposure, superiority, repression, and the ridiculous.

Perl's (1933) discussion pertains primarily to what is present in the observer or crowd reaction with some overlap into the humorous situation itself. Social conditions, release, moral sanction of others laughing, and communication are all part of the effect of humor upon the crowd as it in turn affects the reaction of an individual. The reaction of the observer might also depend upon some of these conditions being present in the humorous situation, such as a socially related joke. Perl also considered the visual aspect an important
one to the humorous situation and to the viewer.

Murray (1934) listed a disparaging situation and/or unaffiliated object as being necessary to the humorous situation. In his opinion both the viewer and the situation contain some kind of aggression.

By combining similar expressions for the various early concepts of humor, a more compact view can be presented. These concepts have been organized and categorized into the following chart. Concepts and humor terms are presented in outline form at the left of the chart. Large concepts are identified with Roman numerals, subcategories are identified with capital letters, related terms are identified with arabic numbers, with explanatory phrases listed beneath by lower case letters. Psychologists are presented across the top of the chart moving in chronological order from left to right. Concepts, terms, and phrases which are discussed by each psychologist are marked with an X in a column below his or her name. It is obvious that there is much overlap and interrelatedness between the categories, but for the sake of order the terms are considered in this manner. The concepts can be looked at as a part of reaction to humor as well as having an effect on the reaction. This presentation of terms may now be related to current articles concerning humor.
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**Chart I**

Humor Concepts and Psychologists
In "Humor and laughter" by Flugel (1954), a review of many authors and an organization of their various theories were presented. He commented, however,

Where so many eminent minds have failed to agree, it would be presumptuous to suppose that any satisfactory explanation or classification of the causes and nature of humor can be easily achieved [p. 709].

In Flugel's attempt to classify and deal with humor he described cognitive, conative and affective aspects of mental processes. The discussion begins with feeling, to which he related pleasure, well-being, and surplus energy. Play and unrealism demonstrate the childlike aspect of humor, through temporary regression, and he added:

the humorous attitude at all levels is to relieve us from the burden of reality, and that its pleasure depends ... upon the satisfaction thus derived. (p. 713)

Flugel discussed conation next, emphasizing relief and release of energy caused by laughter, and presenting the view that any emotional tendency may be involved. These tendencies or varieties of emotions are listed and discussed as: superiority and aggression; sympathy and sorrow—laughter keeps up courage and often occurs on a narrow escape; anxiety and general distress—denial of reality, ignoring seriousness of situation; intro- and extrapolitive elements—self criticism which can result in achievement of sudden freedom over an oppressor; and sex and obscenity—relaxation of taboos, and use of symbolism to conceal tabooed meaning.

Cognition was presented next, leading from symbolism to condensation "in which there is a definite fusion of two or more elements into one end product [p. 722]." The humor in incongruity includes juxta-
position or "bringing together of elements which are . . . remote [p. 722]." Another aspect of cognition is harmless and tendentious humor which would result in sheer nonsense or crude expression without the cognitive element of condensation or incongruity. Other components of humor cognition include automatism and habit; allusion and topicality; and surprise and repetition, in which surprise or suddenness is necessary for a sudden insight. According to Flugel this necessary surprise is lost in repetition, hence the humorousness is lost.

Flugel included social factors and individual differences as his last, large category. Under this topic he listed mental attitude, set or mood, appropriateness; types, temperament - extra and introversion, and factor analyses of personality traits as related to a sense of humor; humor and intelligence for which there appears no high correlation despite the need for intellectual insight; sex differences, national differences; relation to art, particularly the art forms of caricature, farce, and burlesque; and social environment and social function which can be influenced through appropriateness, experience and training, and numbers of people in group situations. Appeal through the different senses was also included in this category.

Here Flugel stated "Humor makes its appeal almost exclusively through the senses of vision and hearing [p. 728]." He presented a short discussion of music and humor and said that music can have a humor of its own with a basis much the same as elsewhere, by including "a quick \textit{volte face} [double take, turn about] \text{(cognitive)} in conjunction with a nonpractical attitude. . . [p. 728]" plus the aspect of unfamiliarity. Flugel ended his brief discussion of music and humor with "Here is a
rich field as yet almost untouched by the psychologist . . . [p. 728]."

As Flugel attempted to categorize and organize ideas concerning humor he was faced with the difficulty of overlap and interrelatedness of his categories. The conative aspects of various emotional states must be considered as having some relation to the cognitive aspect and also as having an affect on cognition. Individual differences such as those of personality traits, prior experiences, training, sex, and intellect, to mention a few, are also interrelated with cognition.

An article by Levine entitled simply "Humor" appeared in 1964, Levine attempted to view humor from a behavioral attitude. He presented a theory of "effectance" or that element which motivates an organism to explore, play, and enjoy humor, and which could result in a general theory of superiority. However, he did not appear to agree with the theory of superiority. He also rejected the theory of sudden relief from tension as being a single humor theory. Levine believed that no one simple explanation of humor is possible, saying, "Humor plays a myriad of roles and functions [p. 3]." He proceeded to discuss the cognitive processes in humor appreciation detailing "the sudden discovery achieved by the reshuffling of . . . symbols into a surprisingly new relationship. . . ." and included devices such as allusion, incongruity, nonsense, condensation, play on words, and exaggeration which require cognitive functioning [p. 4].

After discussing cognitive-function, Levine then presented a theory of "regression in the service of the ego, [p. 5] which results from the "momentary freedom from the restraints of logical and realistic
thinking [p. 5]." He emphasized what he believed to be the importance of this theory and stated,

The notion of adaptive regression as a basic condition in humor and the creative process is proving to be fruitful to theory and research [p. 5].

He also discussed the allusion aspect of humor which gives license to share in disregard for reality and propriety, by alluding to a commonly tabooed subject.

Having proposed this theory, Levine presented two ways in which humor might give pleasure. These two ways of giving pleasure are: 1) by techniques which derive pleasure from mental processes, or cognition, and permit regression; and 2) by the purpose, either hostile or sexual, which reduces or releases anxiety associated with such prohibited wishes. He presented the idea that a group could possibly affect the second way of giving pleasure by creating a shared experience which facilitates regression and alleviates anxiety, by making it socially acceptable within that group.

Levine also discussed the development of the smile, laughter, communication, a sense of humor, and aggression. While speaking of humor as a social process, he said

Humor not only taps basic personality variables, as evidenced by the numerous studies with humor tests, but the popular humor of a people often expresses most clearly many of its concerns, conflicts, and aspirations [p. 14].

In concluding his discussion of group humor he spoke of the coherence created within a group sharing a humorous experience, saying that such sharing represents a pact between the participants to assume the humor illusion which in turn creates an entire code of interaction [p. 15].
Levine has attempted to present humor appreciation in relation to
cognition, regression, and release. Although he tried to discuss these
ideas separately, he either implied or actually pointed out the inter-
relatedness of these ideas. His discussion of group response to humor
presents some new ways of looking at this aspect - that the group can
develop into a small cohesive culture of its own. A close look at
this concept demonstrates how a humorous presentation might be con-
structed to create this group cohesiveness of response. Levine con-
sidered humor primarily from the observer viewpoint and yet presented
his idea so that what is necessary to a humorous presentation becomes
obvious. Levine's presentation offers some insight into methods for
constructing a humorous situation. A situation which involves cog-
nition such as allusion, incongruity, exaggeration, and symbols,
placed in a regressive state such a play or nonsense, and offering
release from reality could be considered a map for constructing a
humorous presentation. A map for constructing such a humorous
situation might include some situation which involves cognition such
as allusion, incongruity, exaggeration, and symbols placed in a
regression state such as play or nonsense which offers release from
reality.

Scheerer, in "An aspect of the psychology of humor" (1966) dis-
cussed approaches to humor and divided his basic approaches into two
types. One of these can be explained as subjective, containing
emotional content or motive, and the other as being more objective,
such as theories which make humor dependent on similarity or dissimilar-
ity of ideas. He spoke of the lack of inquiry by psychologists into
the cognitive functions involved in emotional reaction to humor and said,

We cannot divorce the cognitive from the emotional aspect because cognition has to precede the emotion, or ... there cannot be an emotion without concomitant cognition [p. 88].

He attempted to cover two parts of humor: what he called the formal aspect of thought processes involved in grasping humor, and the formal structure in the combination of meanings that have to exist to arouse humor, (p. 89). He discussed the question of past experience as it relates to the formal aspects of structure in humor. He proposed that although the fittingness or nonfittingness of meaning would depend upon certain relations between the contents of one's experience, the criterion of fitting and nonfitting could, on a wider scope, depend upon the relation of parts within their whole, (p. 90). By adding together the concept of experiencing simultaneity of two different aspects; fittingness and nonfittingness and the tension enjoyed by its intelligibility, plus discovery of coincidences, he developed the theory that

We may now understand the creation of humor as the enjoyment of discovering or of producing coincidences which in turn create non-threatening tensions [p. 97].

Scheerer closed his discussion with a brief description of the function humor serves for the ego, saying"... humor is the playful realization of a multiplicity of coincidences in meaning... [it] frees the ego from responsibility and the chains of reality [p. 97]."

Scheerer's article presents a compact, understandable view of humor. In it he distilled his information into a few basic ideas, and
presented the interrelation of cognition and emotion, pressing for more research in this area. He attempted to cover both the thought processes of the observer and the structure of the humorous situation, which in turn throws some light on the creative process involved in humor presentation. He capsulized the effect of prior experience and training, pointing out that although it does make a difference to response, the mechanics of the humorous situation are similar in any culture. His article is probably the most comprehensive and concise presentation of the psychology of humor of any of those which were reviewed.

Various kinds of laughter were discussed by Wieck in "Funny things" (1967). He presented three laughter situations, the first was shared laughter with no object—as in fun and play; the second was laughter at someone—as an object—or the relation between two egos; and the third, laughter at something as an object which involves jokes, nonsense, and the added dimension of meaning. He analyzed some implications of the second and third laughter situation; the second might involve a comparison between self and another, and the third could involve expectation, recognition, and incongruity. He further distinguished the three laughter situations by assigning feeling to the first, will (or ego sense) to the second, and intellect to the third, and proceeded to show how these three elements affect each other. He then presented a discussion of the aesthetic forms of these three laughter situations using theater as his medium. The first level he equated with any form of comedy whose aim is amusement, as a Marx
brothers film, with predominant feelings of freedom and play. The second level of laughter situation he ascribed to satire, which allows for elaboration through wit, as in Chaplin films. The third level which includes the meaning-criterion might include the theater of the absurd and also mixes levels 1 and 2.

In discussing the spectator's part in these three levels of aesthetic presentation, he added that the spectator must, on the first level, enter into the spirit of fun, and on the second and third levels he laughs with the creator. One might relate these levels with those of affection, conation, and cognition. Wieck apparently believed that intellect plays an important role in appreciating the aesthetic comic situation.

Reviewing the recent literature of Flugel, Levine, Scheerer, and Wieck, certain common aspects appear repeatedly. Emotions and feelings, or affection, conation, cognition, social factors and individual differences are discussed by all these men with varying emphasis on creation of humor and response to humor. The inter-relatedness and various levels of these aspects of humor are discussed and no single theory is attempted by any of these authors. They point out the multi-faceted properties of humor and the response to it.

When these more recent opinions are compared to the summary of the preceding authors, similarities of ideas are apparent (see chart, above, p. 48). Not much new information has been offered about the mechanics of humor, only new ways of looking at it. Differences in emphasis appear, particularly the more recent emphasis on the part
that cognition plays as contrasted to the biological relief emphasis of the earlier authors. The interrelatedness of the various aspects of humor is given more attention by the recent authors, with more emphasis on personality variables and social functions.

This presentation of the psychological concepts of humor offers the multi-faceted, interrelated, complex theories which are available. From these discussions a workable combination of concepts of humor for use in viewing humor in music can be extracted. This extraction, plus articles discussing humor and music will be presented in the next chapter.
Chapter III
Psychological Concepts of Humor as They Relate to Examples of Musical Humor

Having discussed the evidence that music can be considered capable of having some effect upon human emotional reactions, and having presented a variety of psychological concepts of humor, those psychological concepts of humor which may be particularly applicable to music will be examined.

Guidelines for Reading Examples

Musical examples will be presented to illustrate certain psychologically humorous aspects. These examples are usually excerpts from compositions and are identified by composer and title so that the complete work can be found. Each example's measures are numbered consecutively from the beginning of the composition or movement so that location in the complete score is possible. Items discussed as humorous are identified by measure number, by the line of score, either by instrument or right and left hand of piano scores, and when necessary by page number within the dissertation.

Discussions by Music Scholars

The available literature by music scholars which included humor and music will be presented first so that the techniques and choices of these scholars may be examined. Their information is then correlated with psychological aspects.
Gilbert (1926)

Gilbert (1926) discussed humorous aspects found in music and related them to some psychological elements. He did not identify the psychological views that he used, but he did offer the information he collected from psychologists:

Psychologists tell us that our sense of the comic is aroused by unexpected, incongruous happenings; by unusual and sudden interruptions of the natural or customary order of things [p. 41].

Gilbert discussed different kinds of visual and verbal humor, pratfalls and puns, and pointed out the relatedness of tragedy and humor. Shock and incongruity are part of both tragedy and comedy and it is the degree in which these occur that determine their identity.

He delineated the following various occurrences in music which cause it to be humorous. The incongruous element of a sudden fortissimo which rudely interrupts a quiet melody as in Haydn's "Surprise" Symphony (Ex. 1) causes shock and surprise, according to Gilbert. A detailed discussion of this Haydn example is presented later in this chapter (p. 96, Ex. 47).

Example 1  "Surprise Symphony No. 44" 2nd. mvt, Haydn.

Rhythmic eccentricity, or "any arrangement of accents which contradicts and violated the apparently natural one" also produces a
contrast to the expected [p.44]. For an illustration of such rhythmic eccentricity Gilbert included Debussy’s "Golliwog’s Cake Walk" (Ex. 2) which makes use of "ragtime." Gilbert describes such humor as sidestepping of the usual or customary rhythmic treatment. Although he did not say specifically how this occurred in the "Cake-Walk," perhaps the off-beats of the right hand (Ex. 2, m.1-4) and the syncopation of the right hand in m. 5-8 can be pointed at as an example of such rhythmic eccentricity.

Example 2 "Golliwog’s Cake-Walk" from the Children’s Corner, Debussy.

Another aspect discussed by Gilbert is travesty. The example he presented for demonstrating this element was Wagner’s Der Meistersinger (Ex. 3). He contrasted the beginning of the Prelude with a later section (m. 122) which is a diminution of the opening. Gilbert pointed out the instrumental change of the melody from the string section to the wind section, as well as that of diminution which helped to convey the travesty situation. A more detailed description of this example is presented on p.111, Ex. 61 of this chapter, (with full score).
Example 3  Prelude to "Der Meistersinger von Nuremburg" opening piano reduction, Wagner.

Example 4  Excerpt from Till Eulenspiegel, R. Strauss

Prelude to "Der Meistersinger", Wagner.

Another brief example presented by Gilbert is R. Strauss's Till Eulenspiegel. He described the Till motive (Ex. 4) as "a true musical joke with all the witty sparkle of unexpectedness and intervallic incongruity [p.49]."
To conclude his discussion of humor in music Gilbert stated: "[it] arises from a juxtaposition of two elements which do not naturally or customarily go together; such as sudden and unexpected rhythmic effects, unusual harmonizations, queer intervallic successions, freak orchestrations, etc. [p. 50]."

Gilbert has attempted to relate psychological aspects of humor to musical humor and has offered a few examples for demonstration. He also discussed a few musical techniques involved in creating such humor such as loud interruptions, rhythmic eccentricity, side stepping of usual or customary rhythmic treatment, travesty by diminution, unexpectedness and intervallic incongruity, and unusual harmonizations. He did not, however, offer any empirical evidence that what he determined as humorous might also be humorous to other people. He neglected to go into detail with his examples and did not show specifically how the humorous element was present in the musical example.

Cazden (1954)

Cazden, in his article "Humor in the music of Stravinsky and Prokofiev" (1954) described the humor in Stravinsky's music as consisting of joining primitivist and constructivist elements and using them to comment on nostalgic elements, a travesty of old or distant societies [pp. 54, 55]. He listed:

cynicism,

subtle distortion and derision of values,

twisting and degradation of popular motifs,

private jokes for musicians such as

ragging of the classics
raising technical passage work to the role of musical substance playing tricks
avoidance of normal character of instruments and voices.
Cazden, at this point, did not identify specific compositions, but alluded to the chamber pieces written by Stravinsky while he was associated with Paris aesthetes in the 1920's and 30's.

The two pieces of Stravinsky's that Cazden did discuss were The Five Fingers (for piano) a selection may be seen in Example 5, and the slow movement, Tema con Variazioni, of the Octet for Wind Instruments as seen in Examples 6-22. The humor in Five Fingers, which Cazden felt was a parody of the mechanical figuration of old fashioned exercises, is constructed by over-simple Holdings of minute and empty figures, distortions of song or dance patterns, machine-like dynamics, carefully placed wrong notes, capricious interruptions and unexpected cadences.

Because Cazden did not include score examples or measure numbers to identify these techniques and did not explain how they were constructed, we can only guess where he thought these things occur in the following example (5).

Over-simple handling of minute and empty figures can be found in the left hand repetition occurring in m. 1-6. Distortion of song or dance patterns can be found at m. 10 where the 2/4 time is changed to 6/4 for one measure. There are no dynamic markings in the score of this example so machine-like dynamics cannot be detected. A carefully placed wrong note can be seen at m. 8, 9 where the left hand plays a c# (m. 8) which is not a part of the row in m. 1. A capricious interruption can be the silent beat at m. 10 where the time signature changes.
The cadence which occurs at m. 9 can be an unexpected cadence. The cadence here appears to be more of a rhythmic one than a harmonic one, because the pattern established in the left hand is altered and the right hand slows and plays a VI – I progression.

Example 5  The Five-Fingers  Stravinsky
Cazden's discussion of the humor in the "Tema con Variazione" from the Octet is very detailed, but again without musical examples to show where and how the humorous elements take place. By closely examining what Cazden said while checking the score, an attempt can be made to demonstrate what he discussed.

According to Cazden, the Octet slow movement humor is found in the mock pathos of the theme which is largely confined within the range of a Major third, (Ex. 6)  

Example 6

in the off-beat accompaniment of staccato chords which occur in the bassoons, trumpets, trombones, and bass; m. 1-4) Ex. 7

Example 7

and foreshortening of the opening phrase (m. 8-10, trumpets, m. 11-12, trombone I, m. 12). Note the change from the first 4/4 at m. 3 to 3/4 at m. 10, Ex. 8

Example 8
Variation A consists of rushing, "laughing" ascending and descending scale figures of the two bassoons, (Ex. 9, m. 14-15; 18-19).

Example 9

Variation B is a parody of a military march with a "tailgate" trombone effect, (Ex. 10, m. 32-33; trombone glissando descending),

Example 10

Street band cliches, which may be the staccato accompaniment pattern with solo trumpet on melody as found in Ex. 11 (m. 28-29)

Example 11

or the "tumpity tum tum (p. 65) fill-in of the bassoons found in Example 12, m. 34,
Example 12

blues breaks (Ex. 13, m. 47-52 trumpet) "tune and 'straight man' underpinning in two trumpets, while the rest of the band takes over the rhythm." (p. 65);

Example 13

imitation fanfares (Ex. 14, bassoons at m. 53-54)

Example 14

and ending with an unexpected cadence (Ex. 15, m. 55)
flute
clarinet
bassoons
trumpets

Example 15
Variation C is a light waltz with "um-pah-pah" in the brasses (Ex. 16, m. 56)

Example 16
and a slightly drunken tune. (Ex. 17, m. 56, flutes)

Example 17
Variation D is a horse-opera take-off on bandstand overtures with a chattering background, (Ex. 19, m. 108-114),

Example 18
cafe-song transmutation of the opening theme (Ex. 19, m. 116 trumpets)

Example 19
with slapstick ending which includes fast wind up figures and a sudden
cadence; (Ex. 20, m.158-160), trumpets
\[ \text{158 159 160} \]

Example 20

followed by a resumption of the chatter background which disintegrates
into pieces and ends with a music hall stop and off-beat chord. (Ex. 21,
\[ \text{m. 186-198} \]) (p. 64-66)

Example 21

Cazden (1954) called these techniques the sophisticated, cynical
humor of Stravinsky. Since Cazden spoke neither of analysis of the
music, the composer's intention, nor whether an audience reacts to
Stravinsky's music as if it were humorous, it is difficult to accept
that all of these techniques are humorous. The techniques could just
be Stravinsky's usual style of composing. The detailed description of this movement of the Octet by Cazden does demonstrate the multiplicity of techniques used by Stravinsky. It also seems possible that an un-sophisticated audience would have difficulty hearing these humorous techniques as humorous.

Cazden (1954) was more explicit when he discussed Prokofiev's humorous traits and gave the "doggedly percussive rhythms, wry shifts of level among static keys, audacious challenge, keen folk humor, merciless caricature of meanness, grotesque and raucous jest, bare funny sounds, devilish fiddling, dashing, marches, carefree delight, tongue-in-cheek revival of courtly ceremony, boisterous and gay whimsy . . . [p. 59]" as some of the humorous elements in Prokofiev's music. He gave no examples for this list of humorous elements.

Cazden (1954) appeared to appreciate what he felt to be Prokofiev's expression of humor much more than that of Stravinsky. Cazden examined Prokofiev's First Violin Concerto (1916-17), Second movement (Ex. 23-32), and presented the following elements as humorous:

A thematic idea built on a broken octave (Ex. 22, m. 1-2);

\[\text{Example 22} \quad \text{Violin solo}\]

swift rising scales (m. 4-5 vln solo) followed by a downward whistle (flute, m. 5, Ex. 23, m. 3-5);
Example 23  **First Violin Concerto**  Prokofiev

violin "contortions" consisting of plucked tones (Ex. 27, m. 11);

violin

Example 24

devil's fiddling (Ex. 26, m. 12-15);

violin

Example 26

wild leaps (Ex. 27, m. 15-16);

violin

Example 27

and off-key sections (Ex. 28, m. 19-20), as related to the opening key of C.

violin

Example 28  **First Violin Concerto**  Prokofiev

Cazdan attributed the quality of impudence to the techniques offered above. Basically the comic elements pointed out by Cazden in the Prokofiev music consist of wild, wide leaps; (Ex. 29, m. 20)
Example 29  **First Violin Concerto**  Prokofiev

harmonic shifts (Ex. 30, m. 14-16) everything up one step between 15-16.

Example 30

descending octaves (Ex. 31, m. 8-9) in half steps in 8 and 9.

Example 31

and rhythmic irregularities (Ex. 32, m. 17-21) off beat entrance in

Bass in m. 19, 20, and time change at m. 20.

Example 32  **First Violin Concerto**  Prokofiev

all of which result in imaginative play with the medium according to Cazden.
In contrast to his view of Stravinsky's musical humor, Cazden (1954) apparently felt that Prokofiev's humor had more of joy, play, and pleasure. However, in examining Cazden's description of Prokofiev's humorous aspects, we find that they, too, are refined, subtle, and esoteric. An audience would need to be familiar with musical styles and construction to discover the aberrations, exaggerations, and incongruities. The impudence which Cazden attributes to Prokofiev's mechanics of humor in the First Violin Concerto might be considered as a type of degradation or aggression situation [p. 59]. The wild, wide leaps, harmonic shifts, sliding octaves and rhythmic irregularities are primarily a form of exaggeration which can be used to create an incongruous effect.

In contrast to Gilbert's presentation, which included psychological influences of humor in music, Cazden presented his opinion of the humorous techniques of two composers, with no reference to psychological aspects or audience reaction. He asserted that many techniques of both Prokofiev and Stravinsky were humorous but he did not offer information concerning why or how these techniques created humor.

Cazden's (1954) discussion of the humor of Stravinsky's and Prokofiev's music reflects the problem of determining what is humorous technique in a composer's music and what is merely a technique used by that composer in all of his music. Those elements which he asserts to be humorous are also common to most of the music of both Stravinsky or Prokofiev. For the purpose of isolating humorous techniques in music however, it is helpful to know these characteristics and to have them identified by a music scholar.
Apel, (1969) in the Harvard Dictionary, discussed satire in music briefly. He spoke of it as an overthrow of tradition, a ridicule of the immediate past, or antiromanticism \[p. 751\]. Apel cited Debussy's allusion to Wagner's Tristan (Ex. 33) in Golliwog's Cake Walk (Ex. 34), but did not give musical examples.

Excerpts from "Tristan and Isolde" opening Wagner

Example 33

Example 34 "Golliwog's Cake Walk"

\[a\] right hand plays cello part from Wagner's opening theme (mm. 1-3)

\[b\] both hands play flute, oboe, & English horn parts from Wagner, (mm. 16-17).

Apel (1969) did not explain how the allusion to Tristan in Golliwog was a satire or ridicule, but with some knowledge of the psychological aspects of this technique we can see the displaced element of
putting the ultra-romantic love song melodies from Wagner's Tristan and Isolde into a jazzy, syncopated cake-walk. This displacement results in an uncharacteristic treatment of such a love theme and therefore, when recognized, can be responded to as humorous.

Apel gave some techniques of satire, such as: a deliberate violation of rules or stylistic distortion. He cited Mozart's Musical Joke, and the Dies Irae section from Berlioz's Symphonie Fantastique as good examples of musical satire. Both of these selections are presented in further detail below (Mozart, pp. 97, 99, 100; Berlioz p. 105).

Without going into any great detail or using any musical score examples, Apel presented 2 good descriptions of musical satire. According to Apel, violation of rules and distortion of style both result in musical satire. Both of these techniques involve a form of degradation, either of an established system, or of composers and performers. Aggression can also be seen as a part of these techniques through the degradation aspect. Both techniques also involve exaggeration or over-emphasis upon certain characteristics of a particular formal requirement or stylistic trait. The discussion of Mozart's Musical Joke (below pp. 92, 99, 100) and Berlioz's Symphonie Fantastique (below, p. 105) presents in more detail the manner in which these techniques of rule violation and style distortion can be used.

Parody and satire are also discussed by Ratner in Music: The Listener's Art (1966). He, like Apel, spoke of satire in music as antiromanticism. Ratner's discussion of satire offered the technique of making familiar musical ideas seem ludicrous or grotesque by exaggeration. He commented that one of the favorite subjects for satire was
the waltz. Ravel was a composer who satirized the waltz in *La Valse* (Ex. 35, 36). Although Ratner did not give any analyses of musical scores or tell how much satire might occur, we can, by looking at the example, find certain places which appear to make the waltz style seem ludicrous.

Example 35  *La Valse*  Ravel

At measures 100-105 (Ex. 35) the cellos glissando, an instrumental effect that Ravel uses often in *La Valse*. This effect helps to exaggerate the sliding or gliding sound of this waltz.
Example 36  

La Valse  

Ravel  

Another effect which upsets the usual balance of the waltz is that which occurs at Ex. 36 (m. 108) where the violins, violas and cellos play in duple time in contrast to the triple time of the bassoons and horns. This rhythmic alteration from triple to duple can cause a momentary hitch or hesitation in the flow of the meter and thus create a readjustment reaction in the listener.

There is a harmonic fluctuation throughout La Valse. An example of this fluctuation occurs in Ex. 37, m. 315-320. The key indication changes from F at m. 315 to D at 320, with a great deal of chromatic scale movement in the clarinets and bassoons. Although there is no key change at m. 328, the melody and its accompaniment in the clarinets and
celli, and bassoons, has moved from D (m. 320) to B (m. 328) in the bassoons, celli, and basses.
Example 37 cont.

La Valse  Ravel
This harmonic fluctuation is not characteristic of most waltzes and helps to convey an unsettled feeling and to create tension.

**Bernstein** (1962)

Bernstein, in his recording "Humor in Music" (ca. 1962) presents a wide ranging talk and demonstration of the comic in music. He describes such humorous aspects as unexpected wrong notes, unprepared dissonance, passages which destroy sense and logic, and patterns which produce shock by being irreverent. Funny noises and sounds, such as the horselaugh by muted trumpets in Ibert's *Divertissement* or the taxi horns in Gershwin's *American in Paris* are considered non-musical effects by Bernstein. He feels that there are two kinds of musical effects which may create humor: 1) Wrong notes which may be absurd, incongruous, or silly and 2) must be judiciously placed among right notes. He uses Milhaud's *Le Boeuf sur le Toit* as an example of wrong note humor, especially the passage which includes a nice little Latin American tune which suddenly is accompanied by unrelated notes. An example which presents the Milhaud is discussed in detail below on p. 106 of this chapter.

Bernstein discussed such humorous musical characteristics as funny instrumental colors, which may be found in cases where the bassoon has rapid, running passages, the trumpet is muted and used to make the sound of making laughter, violins are asked to glissando in unusual places, and the Eb clarinet is required to emit squeaks. He speaks of two methods of sophisticated theater humor: overstatement and understatement. He attributes satire to understatement, parody to overstatement.
Private jokes are discussed briefly by Bernstein with an example from the Shostakovich Second Piano Concerto which includes a speeded up rhythmic and tonal alteration of Hannon five-finger exercises. (Ex. 38-39). In the examples the Hannon study is presented in Ex. 38 with rapid scaled patterns in both hands, the Shostakovich is presented in Ex. 39 with rapid scale patterns in the piano parts accompanied with staccato chords in the strings.

Example 38  The Virtuoso Pianist in 60 Exercises  Hannon

Example 39  Second Piano Concerto  Finale  Shostokovitch
More subtle humorous techniques are examined in Haydn's B♭ Symphony No. 102. Bernstein pointed out this woodwind pianissimo echo (Ex. 40, mm. 12-13) of a tutti statement (Ex. 40), m. 13, 14 in the flute and bassoon; Haydn's techniques of sneaking back into the main theme in the recapitulation (Ex. 41), m. 262 in bassoon, oboe, and flute; and his technique of pretending to start the main theme tune and abruptly turning to something else (Ex. 42), m. 272-282 in the violins. These are formal techniques and require some education or training in listening to music from this particular period in order for an audience to recognize them.

Example 40  B♭ Symphony No. 102  Finale  Haydn
Example 41  2nd Symphony  Haydn
Example 42

Bernstein also presented a detailed discussion and performance of
Strauss's *Till Eulenspiegel*. Although "Till" has a program, or story line, which is humorous, Bernstein feels that the music is also funny for purely musical reasons. He presents the main theme which is a succession of awkward intervals and frequently occurs in the Eb clarinet which gives it a squeaky, impish character according to Bernstein. (Ex. 41) m 47, 48

Example 43  

Strauss's use of rhythmic alterations, such as sudden changes (Ex. 44) m. 196-197, starts, stops, and skips; awkward melodic lines (m. 191, flute) created by unusual successions of wide (f-a#) and narrow (a-f) intervals; and orchestral colors including muted "laughing" trumpets (m. 197), low rude-sounding brasses (m. 192-194) and scrambling strings (m. 194-198). Bernstein asserts "...there are so many first-class musical gags in it, without ever having to refer to a single story point: the music is witty all by itself, pranks or no pranks." (Columbia Masterworks, ML 5626).
Example 44  Till Eulenspiegel  R. Strauss
Bernstein's presentation of humor in music is not related by him to any psychological concepts of humor. He does not discuss musical humor techniques used by composers in any detail, nor the response of an audience to musical humor. However, the material covered by Bernstein can be included in the perception and cognition categories. He presented many good examples of humorous music explaining how and why they appear to be humorous to him.

The formal techniques he pointed out as private jokes require an audience which is well trained in such formal techniques in order to appreciate the aberration from the usual. His discussion of over and understatement could include those psychological concepts of recognition, discovery, and the ability to make comparisons by the audience. Bernstein indirectly considered the organismic concept by discussing the elements of play particularly in Till Eulenspiegel.

Mull (1949)

This same composition, Till Eulenspiegel was judged the most humorous of three compositions in an experiment by psychologist Mull (1949). Her primary interest was to discover the effect of knowledge of the title upon reaction to humorous music. Three compositions were used: Strauss's Till Eulenspiegel, Rameau's La Poule, and Strauss's song, Standchen which was non-humorous. Mull considered the following aspects of the music as it was heard by her audience 1) the choice of particular passages which are humorous; 2) the difference the knowledge of title makes concerning the humorousness; and 3) the alleged sources of humor. Thirty subjects, college students from an Eastern girls' school, and who were unfamiliar with the three compositions, were asked
to signify presence of humor at the first listening by raising their hands in individual presentation. Subjects listened a second time to signify beauty, and a third to report why certain passages seemed humorous. At a later listening subjects heard the recordings with knowledge of titles.

An analysis by the investigator revealed two characteristic features of the music she used experimentally: 1) contrasts, including a great variety of timbre, pitch, intensity and tempo, and 2) solo passages in simple harmonic settings. Extrinsic characteristics were determined to be such things as personification, awkwardness, toots, cackles, and hops.

The results showed that subjects did indicate the humorous music and humorous passages within it without knowledge of title. There was agreement of opinion on humorous passages. The subjects named passages which contain instrumental contrasts in quick succession, dissonance, sudden contrasts of mood, sudden dynamic contrasts, and rhythmic changes as intrinsic sources of humor in the music they heard.

From the investigation and the analysis, Mull determined that the humor in the music she chose resulted from the union of two ideas, contradiction and incongruity. Her conclusions of the study were: 1) music can express humor with or without knowledge of title or program, 2) there is agreement concerning areas of humorousness, 3) the title may or may not affect the humorousness, 4) sources of humor are both intrinsic and extrinsic to music, and 5) there is some positive relation between humor in music and life situations.

Mull's results, positive as they may appear, are colored by the
fact that the subjects were aware that they were seeking humor. Subjects indicated humorous passages by raising their hands rather than by smiling or laughing. This method of measurement, although rather unsophisticated, may be a more valid indicator of humorous passages than a more sophisticated, sensitive measurement, such as a galvanic skin response or some electronic device to measure physiological changes. Such a measurement might register physical responses which would not necessarily be humor responses. Experiments dealing with response to humor are difficult to interpret. According to Berlyne (1969):

> Since the threshold for audible or visible laughter is fairly high in the solitary adult human being, it is too insensitive as an indicator of appreciation of humor in most experimental situations. It has generally to be supplemented by verbal ratings . . . [p. 796].

So much depends upon individual differences including prior experience, mood, and what is included in the humorous presentation, that about all that can be determined by experimental means is what kinds of people react the most to what kinds of humor. It must be understood that appreciation of humor in music depends to a great extent upon the type of audience and its prior experience and awareness of the intended humor in order for any recognition, ego involvement, perception or cognition to take place.

_Schickele_ (1971)

In a personal interview with Peter Schickele (P.D.Q. Bach) some techniques and philosophies of a composer of humorous music were considered. Schickele presents live performances on tours across the country, as well as having produced several recordings. His music consists of original works and quotes from well-known composers. His
favorite subjects for parody or satire are the 17th and 18th centuries, particularly because of the patterns and forms of these periods. Some of his techniques, according to him, include mixing styles of various centuries, using well known popular musical phrases such as "shave and a haircut, two bits" in conjunction with Baroque sounding phrases, and mixing familiar themes from a cross-section of popular and classical music. These techniques produce incongruities, surprises, and contrasts. Schickele also spoke of techniques such as causing the performer to sound as if he were lost in a complicated technical passage; wrong note errors; key relation mistakes; and funny noises as some of the internal techniques in creating musical humor. He emphasized the importance of timing, including pyramiding of funny things and repetition patterns interrupted by an incongruous incident.

Schickele considers audience reaction important, and although he appeals to a fairly musically sophisticated group, he uses visual techniques which help establish attitude, mood, expectation and communication for humor. One of his techniques, which he admits is non-musical, is to begin a concert by climbing down from the balcony of the theater on a rope. This action sets the mood and very effectively creates the expectation of the nonsense to follow. He also uses program notes and podium commentary to prepare audiences. In live performance the visual aspect is very important. Conductor and performers may scramble and look awkward, wear typical musician styles, such as long hair and beards, or Bach-type white curly wigs. Formal wear such as tuxedos or Baroque costumes are exaggerated, and instruments are created out of unusual materials such as bicycles. Schickele comments that his
audiences help to determine how and what he composes and cause performance from concert to concert. Because his music ranges from slapstick to sophisticated, from familiar and popular to less-known classical, it has wide appeal.

Schickele appears to consider many aspects of humor when he prepares his performance. He chooses activities which, although sometimes non-musical, help to create audience cohesion and expectation, and a receptive emotional field. The musical techniques Schickele uses range from slapstick including sudden, obvious effects to sophisticated, subtle, stylistic and formal twists and errors. He uses a satirical approach often, as well as parody and caricature of Baroque or Classical styles, thus creating a degradation and/or aggression humor situation. Although his audiences need prior experiences with concert-hall music to fully appreciate his humor, they can enjoy and share in a laughter situation more easily than most audiences because of his care in arranging the stage-setting and preparation of the presentation which includes comments on the music.

The previous discussion of material dealing with music and humor by musical experts and a psychologist demonstrates that there is or has been some interest in this topic. No approach was an all-inclusive one, perhaps leaving out psychological humorous aspects or audience response or how the techniques occurred in the music, but when considered together the approaches cover many of the important aspects of humor in music, such as compositional techniques and musical examples of identified humor.

From this presentation of how various experts examined musical
humor, one can determine what has been omitted and needs to be discussed, such as psychological concepts of humor, audience response, and background information. The following discussion includes various psychological concepts of humor as they might be applied in musical situations.

A Variety of Psychological Concepts of Humor and Music Examples of Humorous Music

Certain theories of humor of psychologists already discussed in Chapter II are particularly useful in relation to humor in music. Freud's concepts of expenditure expectation, caricature, parody, travesty, association, recognition, liberated nonsense, discovery, and the conditions he lists as necessary for generating comic pleasure are applicable to musical humor situations.

Example 45, "Fossiles", contains samples of some of these characteristics. The melody in the xylophone (m. 1-5) is a parody of St. Saens own Danse Macabre (Ex. 46) melody (flute, m. 1-6). To make this parody he has changed the instrumentation of the melody from the soft, flowing flute sound to the hollow, percussive sound of the xylophone. This is a programmatic change to create the identification of bone-rattling Fossiles, and can be identified as caricature. The Danse Macabre melody is already a programmatic setting for a death dance, and makes an appropriate choice for transformation into a fossils' dance. Another change is a meter alteration. The time signature of the Danse Macabre is 3/4 or triple time, while that of the "Fossiles" is 2/2 or duple time. This time change helps to create a feeling of angularity by breaking up the original melody (Ex. 47, flute). The smooth waltz flow of the original melody is chopped up into chunks of
that melody (Ex. 46, m 1-2; 2-3; 3-4) and this technique also aids in creating the halting effect of the "Fossiles" melody. Accompaniment of the "Fossiles" melody (m. 2,3,4 – strings pizzicato forte) also helps to break up the original 3/4 flow. These techniques make the "Fossiles" presentation into a travesty of the original Danse Macabre.

Example 45 "Fossiles" from Carnival of the Animals Saint Saens
Example 46  Danse Macabre  Saint Saens
The tempo marking of *Allegro ridicolo* for the "Fossiles" (Ex. 45, m. 1) is a direct clue for the performer of the intentional humor in this composition. Actually the speed is a fraction slower than the original *Danse Macabre* because the 3/4 tempo flows along in 1 beat to the measure, while that of the Fossiles is two beats per measure. The missing beat from the waltz melody is filled in with a loud, pizzicato chord in the accompanying strings. Perhaps this slight slowing is a result of the stiffness of the joints of the Fossil bones!

Dynamic markings for the "Fossiles" are *fortissimo* (Ex. 46, m. 1) while those of the theme quoted from *Danse Macabre* are piano and *pianissimo* (Ex. 45, m 1). The quiet sinister effect of the "Danse" is exchanged for the raucous, rude effect in the "Fossiles."

Although prior knowledge of the original *Danse Macabre* enhances enjoyment of the "Fossiles" it is not necessary for appreciation of the humor. The combination of instruments (xylophone m. 1-5, plus pizzicato string accompaniment m. 1-5) sound funny particularly after the *fortissimo* eye-opener first chord (Ex. 46 m. 1). The sounds produced are not the usual ones expected from a symphonic presentation, and they are not typical "classical" style. The whole impact of this piece is that of liberated nonsense.

If one knows both compositions "Fossiles" and *Danse Macabre*, such cognitive concepts as association and recognition are part of audience response to the "Fossile" selection. Coinciding with these cognitive concepts may be the organismic aspects of exhilaration caused by the fortissimos and speed plus the shared enjoyment and sanction of laughing at and with the "system" by the crowd.
The following Haydn excerpt (Ex. 47) contains a sample of sudden change which could result in an upset in expenditure expectation as found in Freud (1905). The change occurs in measure 16 (Ex. 47) where a fortissimo chord occurs on the second beat after a piano opening of this movement. This fortissimo chord does not fit a listener's expectations of the flow of an ordinary or normal classical symphony second movement, and startles because of its volume, abruptness, and unexpectedness.

Example 47 Score reduction of Symphony No. 94, 2nd mvt. Haydn

This type of joke, that is, a sudden loud chord or noise, can be considered as producing an organismic response. The startling effect might create increases in pulse and breathing rates momentarily. Such an occurrence could include tension and subsequent relief at finding the situation non-threatening as discussed by Flugel (1954) and Levine (1964). This one chord can, within a very short time span, cause anxiety and relief from it, and can be considered a "non-threatening tension" as reported by Scheerer (1966) on page 54, above.

Kallen (1911) and Carpenter (1925) both list perception or appre-
hension of the laughable as important for humor response. It is obvious that the humor present in any situation must be perceived by the observers to be appreciated. The effort of judgment which Carpenter discussed in regard to perception is an interesting point in regard to music. Some humorous music might require very little effort of judgment. Obvious wrong notes or harmonies such as those seen in the chords from the last three measures of the last movement of Mozart's Musical Joke (Ex. 48) are especially obvious. The horns and bass remain in the tonic B♭, while the first violin is in the key of G major, the second violin in A major, and the viola in E♭ major. This combination produces a non-harmonious sound, especially after the extended establishment of the tonic B♭.

Example 48  Musical Joke  Finale  Mozart

Another humorous technique which could require little effort of judgment to discern is that of a shift in rhythmic emphasis. Prokofiev's Classical Symphony contains an example of this shift in the first movement. The melody is established in an on-the-beat pattern (Ex. 49a m. 119) in the horns, celli, and basses
Example 49 a  Classical Symphony  Prokofiev

but at m. 123 (Ex. 49b) it enters in the violins on an off-beat, syncopated pattern a half beat later than at m. 14.

Example 49 b  Classical Symphony  Prokofiev
In the opening of the Musical Joke there are two examples of formal errors which might require more effort of judgment to appreciate. The first occurs at m. 4 in all instruments (Ex. 50) where the phrase either overlaps so that m. 4 is the beginning of a new phrase as well as the end of the first phrase, or a measure is left out between 3 and 4 which should be the end of the phrase 1.

Example 50  Musical Joke  Mozart

The other occurs at m. 12 in the first violin and viola where there is an early entry of a B, the leading tone of the dominant level. (Ex. 51) The composer quickly returns to Bb in the next measure (13), as if he catches his own error, and continues to stay at the tonic level of F major until m. 20 where he returns to B and maintains the dominant level for the remainder of the exposition. Ordinarily a classical exposition of a first movement sonata did move from tonic to dominant, and our clue to the mistake is the fact that the composer introduced the leading tone and then quickly reverted back to the tonic.
Example 51  **Musical Joke**  Mozart

Both of these last two Mozart mistakes (Exs. 50, 51) in construction would necessitate a good deal of familiarity with typical classical style in order to appreciate them. Even with this familiarity the effort of judgment of an audience would be greater than that required for the earlier Mozart and Prokofiev examples (Exs. 48, 49), because of the subtlety of the errors. The errors are subtle because they are not suddenly loud or soft and do not include rhythmic aberrations. Such a momentary interruption caused by sudden volume change and rhythmic aberration causes such obvious errors to be more noticeable.

Kallen (1911), Landis and Ross (1933), and Murray (1934) discussed certain psychologically humorous concepts which also can be found in music. One concept, direct contrasts, can be found in Stravinsky's Valse from the ballet Petrouchka (Ex. 52). The melody at m. 21 (Ex. 50) in the flutes portrays the light, graceful dance of the ballerina and at m. 29 the entrance of the English horn and bassoon portrays the awkward, clumsy dance of the Moor. Stravinsky creates the air of gracefulness and daintiness of the ballerina by using the light,
delicate sound of the flutes (m. 21) with added grace notes for embellishment. The lower, louder, and darker sound of the english horn and bassoon (m. 29) help to portray the rude, sinister character of the moor. The rhythm of this Moor's dance is in a duple meter (m. 29 33) which provides a direct contrast to the triple, meter of the ballerina's waltz (m. 21, flutes), and also helps to portray the slow clumsy character of the Moor. This direct contrast between the melodies and rhythms of the ballerina and the moor can also be seen as satire and irony. The contrast between good and evil, as portrayed here, can be viewed as tragi-comedy.

Example 52 Petrouchka-Valse Stravinsky
Another humorous element is that of exaggeration. The cadenza from the third movement of Mozart's Musical Joke is an example of exaggeration. The cadenza (Ex. 53, m. 63–77) contains exercise-like patterns (m. 67–77) which supposedly demonstrate the skill of the artist, but in reality simply sound like exercises. At m. 71 an upward scale supposedly demonstrates the skill of the artist in the high range. At m. 72 a two measure passage employing double stops occurs, followed by another ascending scale pattern at m. 74–76. The artist appears to get lost while he is high on the fingerboard (m. 75–76, because he plays a pattern of notes which do not fit into the key (c♯, d♯, e♯ in 75), and he ends a step (d–76) higher than he should (c) before the pizzicato tonic note (F) at 77.

Example 53 Musical Joke, third movement Mozart
A cadenza ordinarily was used to demonstrate the skill of the performer, and was often based on some part of a melody from the composition. This cadenza, however, has no identifiable relation to any melody from this movement, and is full of short-lived patterns which demonstrate little skill. It is an exaggeration because the artist, while trying to include typical techniques demonstrated in a cadenza, cannot maintain any continuity and concludes with fragmented series of unrelated phrases.

Incongruity is another element identifiable in musical humor.
Berlioz's *Symphonie Fantastique's* last movement contains a witches' round dance, which portrays a kind of scrambling fury, because of its dynamics and speed (Ex. 54, m. 414-421). In an example of sardonic wit Berlioz has included the *Dies Irae* (winds, m. 414-421) from the Mass for the Dead along with the witches dance, (strings, m. 414-421). The usual expectation of the *Dies Irae* is a calm, dignified reverent atmosphere of a funeral mass. The incongruity results from combining these two melodies, one a diabolic witches' dance, the other a solemn, funeral intonation. Prior knowledge of the *Dies Irae* melody would be necessary for appreciation of this incongruity.
Example 54  Symphonie Fantastique – Final movement  Berlioz

Another humorous dimension discussed by Kallen (1911), Landis and Ross (1933) and Murray (1934) is that of an unaffiliated object. An example of this can be seen in Milhaud’s Le Bouef sur le Toit (Ex. 55, m. 26-32). The melody (oboe and first violin) is established in the opening of this selection, and on the repeat (m. 26) the clarinet
enters with a chromatic scale, embellished in the flute, which apparently has no relation to the melody or accompaniment which is occurring at the same time in the oboes and first violins (m. 26). The result is that the simple little syncopated tune is heard simultaneously with an unrelated chromatic scale.

Example 55  Le Bouef sur le Toit  Milhaud

A few of the humorous devices which require cognitive processes are discussed by Flugel (1954), Levine (1964), and Scheerer (1966). Although previously given examples were used primarily to demonstrate a particular aspect or element of psychological humor, they also require cognitive processes in identifying and responding to their humor. Devices discussed by Levine and not already presented are allusion, nonsense, and condensation. Two examples of allusion can be seen in Saint Saens' "L'Elephant" from the Carnival of the Animals (Ex. 56). The contrabass at m. 21 plays a brief excerpt of a melody (vln 1) quoted from Berlioz's "Ballet of the Sylphs" from the Damnation of Faust (Ex. 57).
Example 56  "L'Elephant" Carnival of the Animals  Saint Saens

Example 57  Ballet Des Sylphes  Berlioz
The second allusion is at m. 29-36 of the "Elephant" (Ex. 58) where an excerpt from the "Scherzo" of Mendelssohn's Midsummer Night's Dream (Ex. 59) is transformed from the light flute melody to a bass solo.

Example 58  "L'Elephant"  Carnival of the Animals  Saint Saens

I. Scherzo.
Allegro vivace

Example 59  A Midsummer Night's Dream  Felix Mendelssohn-Bartholdy
Both of these examples also show incongruities, because the melodies are taken from fast, delicate high string or winds sounds and transferred to the low, clumsy bass viol sound. Both borrowed melodies are dance-type melodies, which sound awkward played by the string bass. The caricature of an elephant dancing is another humorous element from this selection.

The performer's cue of Allegrato pomposo helps to convey the pomposity or slow-moving dignity, of the elephant by slowing down the recognizable dance melodies to the point where an elephant might be able to dance to them.

The aspect of degradation through caricature can also be found in this example (Freud, 1905). The string bass cast as representing an elephant emphasizes the lack of agility of this instrument, as well as emphasizing the fact that basses very seldom play melodies just as elephants very seldom dance.

Another example from the Carnival of Animals, "Poules et coqs" (hens and cocks) may be used to show the element of nonsense, (Ex. 60.) The sounds produced by the pianos and strings (m. 1-6) are imitative of a flock of chickens cackling. The repeated eighth note pitches plus grace notes (m. 2, second piano, m. 2 - last beat, violin; m. 5, 1st violin) help to create a clucking, squawking sound, plus the round-like entrances (m. 1- second piano, m. 2 - first violin, m. 4 - second violin), which increases the cacophonous effect through their overlapping of the squawking sounds. At m. 6-8 the first piano enters with a cock's crow, while the chickens (second piano, violins) are silenced briefly.
Example 60  "Poules et Coqs" Carnival of the Animals  Saint Saens

This instrumental representation of chickens and a rooster is not the expected sound from this instrumental group of strings and pianos. The noisy impact of chickens squawking and the out-of-character portrayal create a slapstick or sheer nonsense effect.

An example of condensation can be found in Wagner's Prelude to Die Meistersinger von Nürnberg. The opening melody (Ex. 61) in the oboes, clarinets, and first and second violins occurs again at m. 122 (Ex. 62). The second melody is a condensed version of the first. Within the same four beats to a measure the melody which originally covered four measures (Ex. 61, m 1-4) only covers two measures of the second presentation (Ex. 62, m 122-123).
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Example 61  Prelude to Die Meistersinger von Nürnberg  Wagner
Example 62  Prelude to Die Meistersinger  Wagner

This Wagner example, as discussed by Gilbert (Chapter II, p. 3) is also a sample of parody. The second melody (m. 122) is not only changed in tempo, but in style. The first movement is marked sehr mässig bewegt — very agitated and the melody lines are marked sehr gehalten (woodwinds and brasses) — very sober or steady and sehr kräftig (strings) — very strong and vigorous. The condensed melody at m. 122 is marked Im massigen Hauptzeitmass or andante with the melody lines in the oboes,
clarinets, marked short and staccato. These style markings are performance cues to help create the difference in style sounds between the opening and second melody. The first loud, grave, pompous melody is changed to a light, soft (p) imitation.

Flugel (1954) felt that humor deals primarily with the senses of vision and hearing. An example of a visual effect in music is found in Haydn's Symphony No. 45, the "Farewell." At the end of this symphony (Ex. 63, starting at m. 65) the performers start leaving the stage, in pairs and singly, until (m. 95) one first and one second violin are all that remain to finish the movement. The circumstances surrounding the composing of this piece involved the desire of Haydn and his performers to return home from Prince Esterhazy's castle to their own homes. The gentle humor of the disappearing act of this last movement amused the Prince and he allowed the musicians to return home, (see appendix, p. 175).

Even without the prior knowledge of the circumstances surrounding this Symphony, this episode is humorous because an audience does not expect performers to stand, pack away their instruments, and leave while the performance is still in progress. Many humorous effects are a part of this presentation: the initial suddenness with which the action begins (m. 55); the timing of each departure (m. 55, 67, 77, 85, 93) at irregular intervals which helps to add an expectant tension; the variety of performers who leave—first the horn and oboe (m. 55), then the contrabass, (m. 67), then the cello (m. 77), followed by the 3rd and 4th violins (m. 85), and finally the viola (m. 93) which creates a more distracting situation than if sections or families of
instruments went together; and finally the pp muted (m. 86) first and second violin sound which quietly fades into the end, with an understated finish which alleviated the earlier tension by its
gradual finish. The audience reaction could fluctuate through a series of responses; surprise, confusion, tension, recognition of what is really happening, and relief from tension. Physiological as well as cognitive processes could occur during such responses.

Wieck's (1967) description of the various levels of humor appreciation: 1) the spirit of play and sharing; 2) the involvement of ego or laughing at someone; 3) and the meaning criteria or intellectual response can be related to reactions to musical humor. The previous Haydn example (Ex. 63) was discussed from the visual point of view and how the visual aspect enhanced the humor response. The three levels of humor response described by Wieck can also be applied to this Haydn example. After the initial surprise at performers leaving the stage, a cohesion and communication could take place among the observers by 1) sharing the joke of this unusual circumstance. Levine (1964) terms this reaction a "pact between the participants [p. 16]." Such a sharing or pact would result in a mood of playfulness and enjoyment.
The 2) involvement of ego or laughing at someone might occur simultaneously with the spirit of sharing the joke, because audience members could feel superior to those performers who were acting out of character by leaving before finishing the performance. The audience members would most likely be sitting quietly and appreciatively in the socially-approved concert-goers' pattern, while those rude performers were ignoring tradition and protocol. The 3) meaning criterion or intellectual response would most likely start and continue after the initial departure. An intellectual response, or cognitive process, would necessarily be involved here, partly because of the time element and the continuousness of the departures, and partly because efforts of the remaining performers to finish the performance.

Although such a complex reaction as Wieck's 3 levels of appreciation might be easier with the visual aspect of the Haydn example, this reaction is also possible with non-visual humor in music. A short example from Saint Saens' Carnival of the Animals. "Personnages a longues oreilles" (Ex. 64)--people with long ears or donkeys, can be used to demonstrate such response. The initial shock or surprise of the violins playing such strange sounds, with a distance of over 3 octaves between the first and second notes (m. 1-3; 304) and imitating a donkey's bray, causes an exhilarating effect and a spirit of play. The imitative, nonsensical sounds with no real melodic continuity might create a feeling of superiority on the part of the audience because the violins are performing in an unexpected manner. The audience can also laugh with the performers at the joke of poking fun at the "people with long ears." The intellectual response might be
minimal in this case because of the noisy obviousness of the joke, but some cognition does take place in recognizing the imitative "he-haw" produced by the violins (m. 1-26).

Example 64 "Personnage a longues oreilles" Carnival of the Animals
Saint Saens
This 2nd chart is a demonstration of how the examples discussed in this Chapter relate to psychological concepts of humor. Psychological concepts are listed, in outline form at the left of the chart, and musical examples are presented at the top from left to right in the order of their appearance in the discussion above. Shortened composition titles are used to identify the examples in the chart, and a list is included which offers both composers and full composition titles. The psychological concepts of humor are marked with an X under the respective examples of humorous music. All concepts which were considered applicable were marked, whether they were included in the discussion of that musical example or not.

This chart presentation shows how some of the psychological concepts such as apprehension, attention, attitude, conditioning, cognition, recognition/discovery, and psychical expenditure can be necessary for appreciation of any musical humor. Other concepts, as organismic, play, group characteristics and presentation, may be more or less important depending upon the kind of humorous music and the surroundings. Those concepts which apply to an individual listener's reaction - perception, apprehension, attention, attitude, mood, conditioning, past experience, cognition, recognition/discovery, comparison, and association, and psychical expenditure appear to be more consistently related to humorous musical examples than the organismic, group characteristic, or presentation concepts. These latter concepts, however, are enhancers of the appreciation that takes place.
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<th>Cognitive</th>
<th>Organismic</th>
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Chart II Psychological Concepts and Musical Examples
## Chart II Abbreviations

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<td>&quot;Surprise&quot; Symphony No. 94, Second Movement Haydn</td>
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<td>Ex. 1, p. 2</td>
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<tr>
<td>Golliwog</td>
<td>Golliwog's Cake Walk from the Children's Corner Debussy</td>
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<td>Die</td>
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<td>Octet</td>
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<td>1st Vln</td>
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<td>&quot;Fossiles&quot; from Carnival of the Animals (No. 12) Saint Saens</td>
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<td>Musical Joke Mozart</td>
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<td>Personnages</td>
<td>Personnages a longue oreilles from Carnival of the Animals, Ex. 64, p. 51</td>
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</table>
Summary

Musical experts have seldom discussed humor in music. The available literature and other information was discussed in detail in this chapter. Gilbert (1926) included a brief discussion of psychological aspects of humor and related it to musical humor using musical examples. He did not present in any detail specific techniques or what made the humorous musical passage humorous. Cazden (1954) reports on humor in the music of Stravinsky and Prokofiev. Although he gave detailed descriptions of humorous incidents in the music he did not present musical examples. He also did not discuss psychological aspects or listener response. Apel (1969) discussed satire in music, but did not include musical examples, psychological aspects, audience response, or specific techniques used to create musical satire. Ratner (1966) also discussed musical satire, limiting his discussion to the antiromanticism aspect caused by satirical treatment. He did not include musical examples, techniques, psychological aspects, or response. Bernstein, in his recording, discussed causes of and responses to musical humor. He presented many musical examples, but was not specific in dealing with musical humor techniques. Mull (1949) although not a musical expert, identified humorous passages in "Till" through experimentation. However, she did not include any discussion of psychological aspects of humor, or specific musical examples for identification. Her discussion of humorous techniques was not related to concrete musical evidence. Schickele (1971) discussed his numerous techniques, both intrinsic and extrinsic, for creating humor in his music. His intrinsic methods include style and mannerism, misplacement, quotes, and style imitation.
He did not consider psychological aspects of humor intentionally, but was aware of how and to what his audience responded.

The latter half of this chapter presented a variety of musical examples of humor. Specific humorous instrumental techniques, and formal, stylistic, melodic, and harmonic treatments were identified and compared with psychological concepts of humor. This collection of examples indicates further that there is identifiable humor in music. The components which make up verbal or visual humor are also found in musical humor, but may be identified only by a limited audience.
Chapter IV

A Discussion of Mozart's *Eine musikalischer Spass* Humor

Characteristics with Reference to Psychological Concepts of Humor

Having considered the multi-faceted character of the psychological concepts of humor in music with a variety of musical examples, it is appropriate to consider a single composition in detail with those psychological aspects which relate to it.

Mozart's *Eine musikalischer Spass* (K. 522) was selected for close inspection because of its humorous intent and because of its variety of humorous characteristics. This composition varies from extremely subtle construction mistakes to obvious slapstick jokes. One element which is not present in this composition however, is direct quotation, either of another composer's music or of his own music.

The *Musical Joke* (*Eine musikalischer Spass*) was composed in 1787, near the time of Mozart's compositions *The Marriage of Figaro*, *Don Giovanni*, and *Eine Klein Nacht Musik*. The *Musical Joke* may have been an attempt to relax from the formal techniques used in these other compositions.

There is much evidence that Mozart and his family enjoyed humor. According to Redlich (1955):

Mozart's Musical Joke is a delightful specimen of his native sense of fun, evidently inherited from his father, whose humoristic Divertimenti . . . created something of a family tradition of high-spirited musical fooling (foreword).
According to Winternitz (1958) Mozart's letters also indicated that he appreciated the most ribald to the most sophisticated types of wit. Winternitz described Mozart's use in his letters of anagrams, cancrizans, rhyme, alliteration, repetition of certain phrases at regular intervals, and changes of language from one word to the next and he asserted that parallels existed in Mozart's music [p. 214]. He did not, however, offer any musical example of such parallels.

Winternitz (1958) described Mozart's surprise stories found in his letters and how the idea can also be applied to his musical humor.

The 'surprise' stories operate by the accumulation of little events or details, gradually inflating the reader's expectation to the bursting point, where it is suddenly to be deflated [p. 214].

Jahn (1891) discussed Mozart's intentions in the Joke, and said that ignorant composers and unskillful performers are ridiculed, but did not relate his comments to any specific places in Mozart's music. Redlich (1955) agreed and added that Mozart used the clumsy amateur of noble birth as his target. According to Jahn the unskillful performers may have been Count Czernin's orchestra of musical amateurs. Bose (Archive record jacket) thought that Mozart was satirizing a mediocre composer and the incompetence of street and tavern musicians. According to Einstein (1962) the Joke is horse-play expressed in music, but has a "background of deep theoretical knowledge, [p. 4]." Einstein did not add musical examples to demonstrate this theoretical knowledge he thought underlined the humor in the Musical Joke. Ober (Turnabout record jacket) described the composition as a "deliberate parody of inept composition, stating that Mozart may have written the Joke "to 'purge' his system of the formal requirements of the opera house and the
relatively strict discipline the aesthetics of the period demanded." It is apparent that although these experts did not specify the humor characteristics in the Musical Joke, they did agree that it was intended to be humorous.

The following discussion of Mozart's Musical Joke is presented in order to show in some detail how Mozart created his musical humor.

Description of Discussion of the Musical Characteristics in Mozart's Musical Joke

The Divertimento No. 10 (K. 247) in F was selected for comparative purposes because of its similarity of instrumentation, construction, key and movement type. This divertimento will be considered as a standard representation of typical divertimento compositional techniques.

Examples from both scores will be numbered consecutively as they appear in the chapter, and identified beneath each score. Examples follow each discussion of humor concepts and musical characteristics or techniques. Instruments are identified at the left side of each score with abbreviations: hn = horn, vln 1 = violin 1, vln 2 = violin 2, vla = viola, and bs = contrabass. The Musical Joke will be referred to as the Joke, Divertimento No. 10 as Divertimento No. 10. For a more complete view of these two divertimenti complete scores of each are available in Eulenburg's kleine Partiture - Ausgabe, Divertimenti, Eulenburg, Leipzig.

Categories of humor are selected from the outline of psychological humor concepts which appears in Charts I and II (above, pp. ). Not all categories are included because the composition did not include examples of some of them. Some aspects of perception, such as attention
and alertness would be necessary for apprehension of all examples. Certain organismic and crowd behavior categories are more dependent upon the listener than on the composition and therefore are omitted in this discussion.

Categories of Humor Related to Mozart Example

Perception - suddenness

The first category considered is the subheading suddenness under perception. The first example chosen for this category shows the sudden dynamic contrast which occurs in the Trio of the Minuet (Ex. 1). The first three measures (mm. 41-43) are marked piano, with a forte on the first beat of the fourth measure (m. 44). This sudden loud note at the end of the phrase is unexpected because the quiet beginning leads one to expect a quiet violin solo with accompaniment. The forte measure impedes the forward movement and causes the melody to sound broken up into small sections. The suddenness of this interruption causes the listener to become more alert and aware of the unusual character of this composition.

Example 1: Joke Minuet - Trio
Divertimento No. 10 Minuet Trio also begins with a piano marking (Example 2). In the 6th measure (m. 38) a forte-piano occurs, but in this case the forte acts as an accent, and does not interrupt the continuity of the melody. This forte also does not come at a phrase ending, but is placed so that it adds impetus to the forward movement.

Example 2  Divertimento No. 10 Minuet - Trio

The second example which demonstrates suddenness is the ending of the violin cadenza from the Joke Adagio (Ex. 3). The solo violin has presented the cadenza up through m. 74 using the bow. At measure 74 the soloist loses his place and the key high on the finger-board, and in m. 76 returns to the dominant (G) with a resounding pizzicato. This accented plucked sound is a sudden change from the bowed sound of the cadenza, and would increase attention on the part of the listener. All wandering from the key of C (m. 74-75) with the notes c#, d#, e#, c# creates an expectation of a resolution down, but the listener is surprised at the nature of the return to the tonic level.
Example 3  **Joke - Adagio**

*Divertimento No. 10's Adagio* has a short cadenza (Ex. 4) between mm. 69-71. This cadenza acts as an interpolation which retards the resolution of the dominant to tonic cadence (mm. 72-73), as the *adagio* gradually ends. The cadenza stays within the key (m. 70 V/V of B♭) and does not contain any stylistic or rhythmic interruption.

Example 4  **Divertimento No. 10 - Adagio**

**Perception - conditioning**

The next category to be considered is that of past experience which falls under conditioning in the outline. Past experience with classical sonata movement form is essential to hearing the early leading tone as an error in the exposition of the first movement of the *Joke*. At measure 12 a too early entry of the leading tone (b♭) of the secondary of F occurs and is followed by a quick return to Bb (m. 13). The
section beginning at m. 16 emphasizes the fact that the secondary dominant has not been established yet by continuing in the tonic.

Example 5  

_Joke_ First Movement

**Divertimento No. 10**'s first movement exposition does not establish the secondary dominant until m. 28, after an extensive tonic section in F (Ex. 6). The tonic section leading up to m. 28 does not include any secondary dominant leading tones (b5) other than passing tones (m. 23).

Example 6  

**Divertimento No. 10** First Movement

Another example which requires past experience with classical style characteristics for appreciation is found in the key fluctuation of the
Joke Adagio (Ex. 7). The *adagio cantabile* of the Joke is for strings alone, with the first violin melodically predominant. The key signature of this movement has no sharps or flats, and presumably is in C major, which would be the dominant relation to the original key of the Divertimento, F. The opening anacruses seem to indicate G major because of the accidental (f#) and the settling on g. However, by the third and fourth measures C major has been established. This fluctuation between G and C continues throughout the movement. Measures 8-13 are strongly G, passing through the secondary dominant (m. 9), dominant (mm. 9-10), and tonic (mm. 11, 12, 14). The situation of G major combined with C major is somewhat confusing to the listener since G is the dominant of C, but as such is ordinarily used without the alteration of f#. Past experience would cause a listener to expect a comfortable tonic sound.

Example 7  Joke Adagio
Example 7  Joke Adagio  (cont.)

Divertimento No. 10's Adagio is subdominantly related to the original tonic of F instead of the dominant as occurs in the Joke Adagio. The tonic B♭ is firmly established at the beginning (Ex. 8, m. 1-5), and the harmony moves to dominant and secondary dominant with no harmonic deviations.

Example 8  Divertimento No. 10  Adagio
Example 8  Divertimento No. 10  Adagio  (cont.)

A third example requiring past experience in standard classical compositional style to appreciate is found in the first movement of the Joke at mm. 20-23 (Ex. 9). For this brief period, the violins, viola, and bass play an accompaniment pattern and there is no melody above it. Violin I outlines broken chords - G in m. 20, C in 21, G in 22 and C in 23. Violin 2 plays single chord notes which begin with b and proceed up the scale to e. The viola plays a harmonically matching trill on g throughout the whole section, and the bass plays a common bass-line which supports the chordal harmonics. None of these instrumental lines is melodic. A trained listener would hear this as a melodically empty section which remains static instead of moving forward.
Example 8  **Joke**  First Movement

A comparable place in *Divertimento* No. 10's First movement which also leads into the end of the exposition, has no real horn melody but the inner string parts keep the momentum going. Sixteenth note patterns in violins 1 and 2 (mm. 63-64) are passed to the viola (m. 65) and back to the second violin (m. 66). Because of the variety of rhythmic figures occurring at the same time this passage does not merely mark time but keeps moving into the cadence (mm. 66-67).

Example 9  **Divertimento** No. 10 First Movement

**Perceptual - repetition**

The category of repetition under the perceptual heading can be found in Ex. 10 which demonstrates the technique used for development in the *Joke* First movement. Mm. 33-38, are repeated at a different level in mms. 39-44. M. 47 is a repeat of 45, and 48 and 49 contains repeated
second violin and bass parts. The composer has used repetitive patterns in place of interesting and typical developmental techniques. These short, repetitive sections emphasize the lack of ability on the part of the composer to develop his exposition ideas. The exposition material is imitated rhythmically but not melodically and this, plus the repetitive patterns, is the developmental technique used. A listener would hear this repetitive pattern as humorous if he recognizes that this is supposed to be the developmental section of this first movement.

Example 10 Joke First Movement

The development section of the first movement of Divertimento No. 10 (Ex. 11) is a contrast to that of the Joke. The second tune (m. 9) from the exposition is used for developmental treatment (m. 83, 89). Measures 10 and 11 of the exposition are used in rhythmic diminution for
developmental purposes (m. 80, 86). At measures 83–84 and 89–90 a fragment of the exposition melody from m. 9 is used. From mm. 91–99 the half note-quarter note pattern from mm. 10–11 is passed from violin 1 (m. 91–92) to violin 2 (mm. 93–94) to viola (mm. 95–96) and finally to the bass (mm. 97–99). The composer uses repetition here also (mm. 83–84, repeated in mm. 89–90 at a different level), but as a technique for variation (mm. 86–87 compared to mm. 91–92) and not as the only developmental technique.

Example 11  
**Divertimento No. 10** First Movement  

**Perception - repetition, time**  

The category of time, which is in the repetition group of perception, can be exemplified by Ex. 12 -- a passage from the **Joke Minuet**.

From mm. 17–20 the two horns play a series of wrong harmonics in an
exposed dolce solo passage. The accidentals marked in this passage (mm. 17–20) are truly accidents. The written f–a\textsuperscript{b} (sounding b and d\textsuperscript{b}) of m. 17; d – f\# (sounding g–b\#); and e\textsuperscript{b} – g (sounding ab – c) of m. 18; c\# – e\textsuperscript{b} (sounding f\# – a\textsuperscript{b}) and d – f (sounding g – b) in m. 19; plus the g\# – d (sounding c\# – g) of m. 20 do not fit into the tonic harmony of F, and sound like the horns are playing the wrong partials. The timing element of this example occurs when it is repeated in the da capo. The time lapse of the trio gives the listener a period of time to develop the expectation that the horn mistake will occur on the repeat and pay particular attention when he hears the passage begin again.

This dissonant horn passage fits many humor categories, and those of contrast, unrelated object, incongruity, exaggeration, degradation, expectance-release are the most obvious. The dynamic contrast of this passage is interesting because the mistake section is piano or soft and the return to the original melody is forte or loud. The dynamics create a feeling of relief at being back in the home key (F).

Example 12 Joke Minuet

Divertimento No. 10's Minuet (Ex. 13) has a comparable passage of harmonic fluctuation, but accidentals in this case do fit into the
harmonic outline and do not sound dissonant. The section (mm. 11-32) features a duet between two violins and moves through VI (mm. 11-14), II (mm. 15-17), and back to tonic (m. 23).

Example 13  Divertimento No. 10  Minuet

Cognitive-recognition and discovery

The category of recognition and discovery under the cognitive heading can be exemplified by Ex. 14, the opening of the First movement of the Joke. This opening phrase is unusual because it is either two overlapping four measure phrases (mm. 1-4, 4-7) or one seven measure phrase (mm. 1-7). Measure 4 is both an ending of the first phrase and a beginning of a repeat of the phrase. Knowledgeable listeners can recognize this aberration and respond to it.
The organismic category of expenditure or instinctive response can also be correlated to this example. The missing measure causes a brief lapse in the continuity and therefore could cause a brief lapse of interruption in the physical response set up by the expectation of a normal, smooth flowing line.

Example 14   Joke First movement

In contrast, Ex. 15 from Divertimento No. 10's First movement, shows the usual continuity and balance expected in this style. The introductory passage is constructed in well balanced 2 measure ideas resulting in two four measure phrases (mm. 1-8). The pattern of this section is that of squared off units following the expected, usual rhythmic, melodic and harmonic structures.

Example 15   Divertimento No. 10   First mvt
Another section which can be discovered by the listener is the phrase repetition in place of melodic development such as that which occurs in the Joke Adagio. The composer, when short on melodic ideas, tends to use a short phrase followed by a variation of that phrase to extend it (mm. 14-16; 18-19) Ex. 16, first and second violins. A listener who is familiar with the system would recognize this lack of ability on the part of the composer.

Example 16  **Joke Adagio**

In contrast, Ex. 17 shows how a composer can develop and extend his melodic ideas in a creative way. The Adagio of Divertimento No. 10 for strings only is in the subdominantly related key of B♭ (to tonic of F). This Adagio is a first violin solo with string accompaniment, for
the melody stays in the first violin part. The melody is spun out over triplet patterns occurring in the accompaniment (mm. 9-16). At mm. 6-7 the solo violin and the second violin and viola carry the movement forward in an alternating fashion with the first violin on the beat and the second and viola filling in after it. The solo violin part is decorated with grace notes (mm. 2, 6, 7), trills (mm. 12, 15) and suspensions (mm. 13-14) which help to keep the flow moving and add interest to the melody.

Example 17    Divertimento No. 10    Adagio

Cognitive - comparisons and associations

If a listener is knowledgeable and gives a lot of attention to the form of the Joke First movement, he will be able to make some comparisons
and associations of sections which occur within this piece. This
cognitive category is correlated to Ex. 18 which shows the recapitulation
of the first movement. The recapitulation (m. 51) leaves out the over-
lapping measures of the exposition (m. 4-5) and uses only the first four
measures of the first exposition phrase (mm. 51-54). The next phrase
is also truncated using only two measures from the four in the exposition
(mm. 8-9) at mm. 55-56 followed by two measures of the next phrase of
the exposition (mm. 12-15). The composer then turns back to the idea
from measures 8-11 of the exposition for four measures (mm. 59-62).
This section of the recapitulation ends in rather than the tonic of the
exposition. At measure 63 he repeats the exposition material from
measure 16 at the tonic level. This recapitulation contains exposition
material, as it should, but the material is scrambled and not in the
same order in which it first occurs. The listener, if he has a good
memory, could compare this recapitulation to the exposition and recognize
the confused character of it.

Example 18  Joke  First mvt
Example 18  Joke First movement (cont.)
Divertimento No. 10's recapitulation begins at m. 101 (Ex. 19), with exposition material which began in measure 5. This recapitulation is a copy of the exposition (mm. 5-78). Other than the standard key level changes from the exposition to recapitulation (dominant in exposition, tonic in the recapitulation) there are few changes in the presentation of the exposition material in the recapitulation.

Example 19  Divertimento No. 10  First Movement
Cognitive - contrasts

The category of contrasts found under the cognitive heading can be seen in Ex. 20. This contrast is one which occurs within the last movement of the Joke Rondo. The horn trills from mm. 63-71 appear over the first part of this section. The trills may be considered a composed early entry since the melodic material begins in the next measure (m. 64). When this part of the Rondo (Ex. 21) returns, at m. 286, the horn entrance is two measures later than the first time (m. 287) starting after the violin 1 entry instead of before as in m. 63. This is a very esoteric internal contrast, and can be found only after some detailed study of this Rondo.

Example 20 Joke Rondo
Example 21  
**Joke Rondo**

The following example (Ex. 22) from *Divertimento No. 10*’s Rondo shows the standard procedure for section repeats in Rondo construction. The first large section is composed of three smaller sections. The first small section (mm. 1-8) reappears each time the refrain returns. The second time it returns (mm. 56-65) it is the same as it appeared the first time, harmonically, melodically, rhythmically, and instrumentally.

Example 22 a  
**Divertimento No. 10**  
**Rondo**
Cognitive - unaffiliated or unrelated object

An example (Ex. 23) of an unaffiliated or unrelated object, listed under the comparison heading of cognitive, is found in the Joke Minuet Trio. The second violin at m. 66 and m. 70 plays on the third beat after the melodic phrase is complete in the first violin (mm. 63-66) on the second beat. This late sounding note is out of place when compared to the melodic and rhythmic line of the first violin. The ascending notes of violin 1 in m. 64 set up a pattern which also occurs in the second violin at m. 66, but this time on beats 2 and 3 instead of the original 1 and 2. To the listener this episode (m. 66) sounds like the second violin is late.
The Divertimento No. 10 Minuet trio has a similar pattern at its beginning (mm. 33-37). Violin 1 plays on beats 1 and 2 and is answered by violin 2, viola, and cello on beats 3 and 4. However, because of the continuity in the construction, the parts fit together and create a continuous sounding melodic and rhythmic pattern. The trio is in Bb and features the first violin in a short, but melodically and rhythmically interesting melody.

Example 24  Divertimento No. 10 Minuet Trio

Cognitive - incongruity

The category of incongruity under the comparative heading of cognitive can be found in the last 3 measures of the last movement of the joke. The coda of the Rondo speeds to the end at a forte level, reiterating the tonic. At measure 453-453 (Ex. 26) the dominant-tonic of F should end the piece, but the horns rush on into the disastrous ending. From m. 455 to the end, the horns play A and F, violin 1 a G chord, violin 2 an A chord, viola an Bb chord and the bass outlines Bb. Altogether the ending includes the I, V/V and IV of F. This mixture of harmonies produces a dissonant, unexpected, sudden and incongruous sound. This is perhaps one of the most slapstick jokes in the whole composition.
The jolt of this ending can also be correlated to the organismic category. The expectation of the listener is violated, and he would react with surprise and shock. Not only would the wrong sounds be an impact upon the listener's mental state but upon his auditory state as well. The resulting dissonances could very well 'hurt' his ears.

Example 25  Joke Rondo

Turning to our standard, the coda of Divertimento No. 10 is primarily built on the tonic chord of F. This Rondo ends as expected, emphasizing the tonic of F (Ex. 26).
Cognitive - exaggeration

The category of exaggeration can be seen in the Joke Minuet. In mm. 93–96 (Ex. 27) the return to the minuet is extended by an unnecessary repetition of the I-V-I (Bb) pattern; which leads back to the beginning key of F. The composer apparently wants to be sure he has given enough preparation for the return, but in this case overemphasizes it.

Example 27  Joke Minuet

Divertimento No. 10's return to the Minuet (Ex. 28) is a simple straightforward da capo, with only one establishing of the V-I pattern in Bb.

Example 28  Divertimento No. 10  Minuet
Cognitive - degradation/aggression

The category of degradation/aggression includes many parts of the Joke, but only a few examples are selected for demonstration. The first example (Ex. 29) is from the last movement Rondo and shows the lack of imagination in constructing a fugue (mm. 29-48). The subject, starting in the bass, is a short four measure idea entering in ascending order (mm. 29-32). At measure 45 a new idea in the first violin, the second violin and the viola overlaps the end of the fugue in the horns and bass. The short theme and lack of imagination in spinning it out create a derogatory situation for the composer. He is unable to do anything with this brief idea and quickly moves on to something else.

Example 29  Joke Rondo
There is no example for comparing this fugal section of the Joke Rondo with Divertimento No. 10 Rondo because it does not contain any fugal patterns.

Another example of degradation from the Joke Rondo can be found in the breakdown of thematic material (Ex. 30). At measure 182 the eighth note descending pattern (violins 1 and 2, viola, and bass) and ascending (mm. 186-189) pattern is passed from treble to bass instruments. The pattern is broken down further at mm. 190-193, and eventually becomes quarters (mm. 194-195), still alternating treble and bass instruments. This breaking down of the descending, ascending pattern is another example of the lack of imagination and developmental techniques on the part of the composer. He returns to his earlier discussed limited techniques of repetition to extend his ideas.

Example 30 Joke Rondo
An example (Ex. 31) of theme break down in the Divertimento No. 10 Rondo can be seen in mm. 82-90. The first violin plays pieces of the melody (mm. 82-83) and extends the section with 8th note variations of it (mm. 86-87; 88-89).

Example 31 Divertimento No. 10 Rondo
An example which degrades the performer instead of the composer can be found in the *Joke Minuet* Trio (Ex. 32). This section ostensibly features the virtuosity of the solo violin (mm. 41-56) but a close listen or look proves otherwise. The violin plays descending and ascending scale patterns (mm. 41-48) followed by wide descending eighth note leaps of intervals of a tenth (mm. 48-52), which are then varied rhythmically into triplets. This solo line is unimaginative and demonstrates little skill, particularly for a virtuoso setting. The performer would sound mediocre and the listener would respond to the setting and hear the mediocrity.

**Example 32**  
*Joke Minuet Trio*
Divertimento No. 10's Minuet Trio (Ex. 34) also features the first violin. The melody is not repetitive, and not extended by variation. It is handled imaginatively with dynamic contrasts placed to enhance the momentum (mm. 39, 41, 45).

Example 33

Divertimento No. 10 Minuet Trio
Cognitive - judgment power

The category of judgment power under the cognitive heading can be found in many of the subtle examples already discussed. An example (Ex. 35) not looked at yet occurs in the Joke first movement at the end of the exposition. At m. 27 a descending unison triplet pattern leads into a deceptive cadence in m. 28 (IV, V, VI) and finally leads into the V chord (m. 30) reiterating it through measure 32. The establishing of the dominant prepares for the following development. Being able to identify this obscure composed mistake would involve a great deal of cognition and the listener could feel superior in his ability to recognize it.

Example 34 Joke First Movement

A similar section in Divertimento No. 10, leading into the development (Ex. 36) follows the standard procedure of setting up the secondary dominant (mm. 53-60).
Example 35  Divertimento No. 10  First movement

Many of the obscure, esoteric techniques discussed above may seem too subtle to be considered noticeably humorous. They do, however, add to the overall clumsy sound and help to maintain the humor atmosphere.

The atmosphere of play and pleasure in nonsense is established throughout the Joke. The earliest indication that the composition is not following standard procedure is the measure overlap and the early entry of the leading tone of the secondary dominant. These places, however, are subtle and would require an experienced listener for a humorous response. The more overtly humorous places are the horn passage in the Minuet Trio, the violin cadenza in the Adagio and the last three chords at the end. These three burlesque-type jokes should be recognized by most listeners familiar with Western music. Mozart
has teased his listeners with the out-of-kilter sound of this piece and has presented three good punch lines to assure the joke response. He has chosen a good vehicle to make his joke with, because the purpose of the divertimento is to divert and entertain.
Chapter V

Summary Chapters and Summary Chart

Because the concept of music having an affective quality was considered to be an important aspect in the study of humor in music, Chapter I presented a brief historical chronological review of a variety of music theoritician's, philosopher's, aestheticians', and psychologists' opinions and discussions of musical affect. This review pointed out the longevity, change, and growth of the concept of affective music. Music has been considered to have the power to improve the mental, physical, emotional, and spiritual condition of men, and it has also been condemned for having an adverse effect on these conditions. For an extended period of music history various rules, guidelines and suggestions were used by composers in order that they could create certain effects upon their listeners. Plato recommended particular modes for enhancing good character and banned others for being detrimental. Tinctoris, Ramos, and Zarlin also offered suggestions for using various types of music to influence worship, health, and pleasure. Galilei, Mei, Kircher, Mattheson, Rameau, C.P.E. Bach and Quantz presented information which dealt specifically with composing and performing to create emotional and physical effects. Programmatic titles became especially popular during the Romantic period, and helped the audience to interpret the effects intended by the composer. Such composers as Beethoven, Berlioz, and Schubert used this technique.

In the early 1900's musical affect was examined experimentally by

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psychologists. Although the experimental techniques may have been questionable, there does seem to be some accord among experimenters concerning unanimity of gross responses to a variety of categories of music. Early psychologists, Helmholtz and Stumpf, dealt with acoustic-psychological aspects of music and how they related to affective music. Psychologists eventually became the only group to discuss musical affect to any great extent. Pratt, M. Meyer, Diserens and Fine, Mursell, Seashore, Schoen, Lundin and Farnsworth presented information about affective music and some of the experimental evidence of its existence. Hevner and Rigg were included for their descriptions of experimental techniques dealing with affective music. Humor appears in Hevner's adjective list, the purpose of which was to identify affective qualities in music, but it is not examined, explained, or discussed in any detail. The term, humor, is dropped in Farnsworth's revision of Hevner's word list. By examining Hevner's and Rigg's studies one finds that responses were basically in the happy-sad category with little fine discriminations.

Although humorous music may be considered a facet of affective music, it is more complex than those aspects of affective music which depend on stimulating a mood response. Music which has a quick tempo, light, running high pitched instrumental passages, and in a major key may cause a happy or pleasant feeling mood response, according to Hevner and Rigg. The appreciation of humor occurring in music might depend upon the mood the music causes, but it would also involve mental processes and prior experiences not needed for purely a mood response.

In Chapter II various definitions of humor were presented, followed by a review of psychological concepts of humor. The dictionary
definitions were included to demonstrate the variety of opinions concerning humor.

Psychological concepts of humor derived from discussion by Freud, Martin, Kallen, Carpenter, Diserens, Landis and Ross, Perl, and Murray were presented to represent the variety and coincidence of opinions concerning humor. More recent discussions by Flugel, Levine, Scheerer and Wieck were included for their current value and were compared to the earlier discussions of humorous concepts. After examining these psychological discussions of humor which were particularly applicable to musical humor, a chart was constructed to demonstrate the similarities and differences of the psychological discussions. (Chapter II, p. 48) The psychological views, although using a variety of approaches and vocabularies, appeared to be basically the same. From this presentation a pattern of organization became necessary. It became clear that one could examine humor from many angles: the creation or construction of humorous incidents as discussed to some extent by Martin, Carpenter, Murray and Flugel; the response of an audience to such incidents as discussed by Freud, Kallen, McComas, Landis and Ross, Perl, Diserens, Flugel, Levine, Scheerer and Wieck; and the psychological aspects of humor which could be applied to both the creation of and the response to humor, which was discussed to some extent by all psychologists examined. Such elements as shock, surprise, aggression and play, and the extent to which they occur are involved in both the creation of and the response to humor.

Chapter III included information from musical scholars concerning humor in music. Gilbert, Cazden, Apel, Ratner, Bernstein, and Schickele
discussed various aspects of humorous music, including some musical examples and techniques. Gilbert (1926) did present a few short musical examples to illustrate his points, but Cazden (1954) although he spoke at great length about particular incidents in musical compositions, did not include examples of the music. Bernstein (recording), did offer musical examples, but not specific techniques for creating humor. Of these three discussions, only one, Gilbert, touched upon psychological aspects of humor. An interview with Schickele (1973) presented us with a composer's point of view concerning construction of and response to humorous music.

The latter half of this Chapter III presented a myriad of musical examples, including excerpts from compositions by Mozart, Haydn, Strauss, Saint Saens, Berlioz, Milhaud, and Debussy, illustrating psychological elements of humor. The techniques used to create a humorous musical effect, which in turn were related to psychological elements, were discussed and illustrated in detail. The music chosen for examples was intentionally humorous, determined by title or program connected with it. This extended discussion with illustrations, demonstrated the possibilities of comparing psychological discussions of humor with humor in music. Those same psychological aspects of verbal and visual humor were found in musical humor. (See chart, Chapter III, p. 120).

Chapter IV was a presentation of a close look at the humor techniques in Mozart's Eine musikalischer Spass (K52). Selections from the composition were compared to another of his Divertimenti, Divertimento No. 10 in F (K247), which was comparable in instrumentation, key, and style, and which followed standard compositional techniques of most of
his other divertimenti. This examination revealed the techniques which
Mozart used to create the deviation from his usual style of composing,
and which were compared to psychological humor concepts. Through this
close inspection, many aspects of creating musical humor were demon-
strated. Mozart's well-developed sense of humor helped him to be able
to create many deviations from the standard type of music of his time.
By examining these deviations as they relate to psychological concepts
of humor the manner in which Mozart created shock or surprise, required
recognition of aberrations, used degradation or exaggeration, caused
some physiological responses, and established a playful atmosphere
were pointed out.
Summary Chart

A summarizing chart is presented here to demonstrate the relationship of humorous techniques and characteristics derived from musical examples with the previously presented psychological humor concepts. The humor concepts are presented at the left of the chart in outline form, with the techniques or descriptions and short titles of musical examples at the right. The musical examples can be found in Chapters III and IV; the list explaining the short titles of musical examples, can be found with Chart II (above, p. 68). Many of the musical examples discussed in Chapters III and IV illustrate several humor categories, but their listings in this Chart (III) are confined to the most important or obvious relationships.

The fact that some categories are more applicable to the listeners than to the music causes some problem when attaching musical examples to these categories. Such perceptual categories as attention, attitude, and conditioning can be of varying internal importance for the listeners' response, but these categories can also be changed, influenced, or enhanced by the music itself. The category of conditioning plus past experience can mean the difference between appreciating and not appreciating the musical humor if that humor depends upon an aberration of some standard style characteristic or mannerism.

The cognitive concepts categories of recognition/discovery and comparison and association are also necessary to the listener's response. The categories can be compared with specific humorous musical techniques because the technique which must be responded to by recognition and
comparison can be identified.

Organismic categories can also be considered a valuable internal aspect of listener response. Organismic response can be controlled or influenced to some extent by individual incidents which occur in the music, or the atmosphere created by the overall musical presentation.

Group characteristics may change individual responses depending upon interaction. Considering the personality, size, experience and setting of the crowd, the humorous music itself may have varying affect.

Comic presentation applies to the composition and performance of humorous music, and only involves response secondarily. The composition can require performers to play in an unusual way, with composed wrong notes, flutter tongue, or to use unusual actions, as leaving before the composition is finished. The presentation can include extrinsic aspects such as program notes, podium comments, costumes and unusual instruments, which will enhance comic response.

All of these categories are interrelated and influence each other when listeners' response is considered. Cognitive aspects will be influenced by individual attitudes, alertness, the spirit of play, or by extrinsic information offered by notes, conductor, or composer. Perception and attention can be directed by comic presentation, and increased or diminished by crowd behavior. These are but a few of the many ways in which these categories of humor and the response to it can influence each other.

This chart is a basis for more detailed study in regard to humor in music. The humor concept categories were chosen after careful consideration of how they could best be organized and they can be used
## Psychological Humor Concepts

### I. Perceptual

#### A. Apprehension

1. **Attention**
   - a. alertness
   - b. suddenness
   - c. visual

2. **Attitude**
   - a. mood
   - b. emotion

#### 3. Conditioning

- a. past experience
- b. cultural aspect
- 4. Repetition
  - a. newness
  - b. time

### II. Cognitive

#### A. Recognition/Discovery

#### B. Comparison and Association

1. **Contrasts**
   - a. psychical expenditure
   - b. unaffiliated or unrelated
   - c. incongruity
   - d. exaggeration
   - e. degradation/aggression

2. **Situation**
   - 1. disparaging
   - 2. exposure

### Musical Characteristics

- Those characteristics which can create and hold interest, build up toward climax; speed, volume; unexpected noises, forte, wrong notes, silences; costumes, unusual instruments, awkward or unexpected performer movements
- Affective qualities such as tempo, key, dynamics
- Program and podium notes
- Knowledge of period styles and manners; and of composers' styles and manners
- Aberration from the expected form and style
- Necessary if subtle or to create a redundancy
- Joke original in composition
- Spacing of "jokes" build up, quick punch line

### Compositions

- **Till, 1st Vln, Conc., Joke, Valse, Bb Symph.,**
- **Surprise, Octet, Boeuf, Fossiles, Joke**
- **Farewell, Fossiles, L'Elephant**
- **Joke, Octet, 1st Vln. Conc., Classical, Valse, Fossiles**
- **Till, Dies Irae, Petrouchka, Fossiles, L'Elephant, Poulenc**
- **Surprise, Classical, Valse, Bb Symph., Joke, Boeuf**
- **Surprise, Die Meistersinger, Dies Irae, Joke, Boeuf**
- **Till, Octet, Golliwog, Joke**
- **Surprise, Octet, Joke, Farewell, Boeuf**
- **Surprise, Joke, Octet, Golliwog, Till**
- **2nd Piano Conc., Golliwog, Fossiles, L'Elephant**
- **Classical, Die Meistersinger, Joke, Valse, Petrouchka, Golliwog, Dies Irae**
- **Surprise, Bb Symph., Joke, Boeuf, Fossiles**
- **Octet, 5 Fingers, subtle parts of Joke, Bb Symph., Golliwog, 5 Fingers, Till, Valse, Joke, Boeuf, Fossiles, Personnages, Poulenc**
- **Octet, Petrouchka, Till, Valse, Classical, Boeuf, Joke**
- **Classical, Die Meistersinger, 2nd Piano Conc., Golliwog, Valse, Farewell, Joke, Personnages**
- **Surprise, Till, Joke, Boeuf, Classical, Octet, Valse, Fossiles, L'Elephant**

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**Chart III**

**Summary Chart**
### III. Organismic

#### A. Biological mechanism

1. **Physiological**
   - **a. psychical expenditure**
     - Interruption in rhythmic or melodic flow, rapid tempo changes, dynamic fluctuation.
     - Caused by above characteristics.
   - **b. expectation-release**
     - Build up - let down
   - **c. instinctive**
     - Dropped beat, rhythmic aberrations

2. **Play**
   - **a. pleasure in nonsense**
     - Slapstick, Burlesque, very obvious mistakes, rude noises.
   - **b. joy**
     - Tempo, pitch, key
   - **c. psychological exhilarant**
     - Same
   - **d. feeling of well being**
     - Same

#### IV. Group Characteristics

1. **A. Social conditions**
   - Freedom to make fun of the serious.

2. **B. Communication**
   - **a. geniality**
     - Sharing of joke—audience member to member, performer to audience.
   - **b. companionship**
     - 'partners in crime'

#### V. Comic Presentation

1. **A. Delivery style**
   - Timing, tempo and dynamics choice; key selection; harmonic relationships; melodic construction; rhythmic fluctuations; instrumentation

2. **B. Performance characteristics**
   - Interpretation, costumes, exaggerated actions or movements; instruments used, stage setting

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**Chart III (cont.)**

- Surprise, B♭ Symph., Joke, Farewell, Valse, 2nd Piano Conc.
- Collivog, B♭ Symphony, 2nd Piano Conc., Petrouchka
- Boeuf, Joke, 1st Vln. Conc., Classical, Octet, Valse, Joke, Surprise, Farewell
- Surprise, Joke, Octet, Farewell, Boeuf, Till, Joke, Octet, Classical, Petrouchka, Valse, Fossiles, L'Elephant
- Surprise, Octet, Joke, Boeuf, Poules, Personnages, Fossiles, Till, Die Meistersinger, Joke, Octet, Classical, Fossiles, 2nd Piano Conc., Valse, Same, Same
- Farewell, Joke, above examples, Same
- Farewell, Surprise, Joke, Fossiles, L'Elephant, Personnages
as a reference for further study in this area. A more detailed study of psychological concepts of humor, based on this organization, might result in a reduction of the number of categories. Future study dealing with psychological humor concepts might generate a theory which would capsulize the information. Such a capsulization, when applied to humorous music, could facilitate identification of humorous incidents by pointing directly to them.

The list of musical characteristics or techniques developed in this study can be used as a basis for more extended investigation into such information. A variety of musical compositions not included in this study, such as atonal, polytonal, serial, electronic, and vocal, offer different material, really for future study. The humor characteristics found in this study are possibly available in other varieties of music as well. A possible area of investigation to be considered is that of drawing up specific humor construction techniques including where and how to use them, instrumentation, timing, melodic and harmonic structure and rhythmic patterns. Such an expansion of this information could result in a text containing instructions on how to compose, perform and present humorous music. Including those instructions within a standard theory text which offers the mechanics of composing and analysis would create an interesting and fresh approach for students.

Information about characteristics and techniques of humorous music can also be seen as helpful to the performer. Humor response would be enhanced if the presentation were accomplished by a knowledgeable performer who was aware of those humor characteristics and techniques which were composed into the music.
A humor in music approach is a possible educating device to enable students to learn about the formal, serious variety of music as well as the contrasting humorous deviations. In order to appreciate the musical humor, students would have to have sufficient background knowledge of the standard from which the musical humor is a deviation.

Experimental work dealing with response to humorous music is a possible outgrowth of the information presented in this chart. Information from psychological studies which explored musical affect can be coordinated with psychological studies of humor and further with humorous music. Experimental work would offer information and insight which could be used to determine those musical techniques or characteristics which caused the most or best response. This information could be used by a composer of intentionally humorous music. Experiments could also be devised to determine the most responsive atmosphere, and would enable musicians to choose the type of musical performance and the manner of presentation such as program, costumes, podium notes, and a variety of visual aids.

Problems which would occur in studying audience response empirically are numerous. Education and experience of the audience, crowd behavior and effect need to be considered and perhaps controlled. An experimenter might well decide to use only those people who had concert experience and to present the music only to individual listeners, in order to limit the number of variables. Concert information, such as program, podium comments, or titles can enhance or detract from response. One must decide if the listener will be seeking humor or be unaware of its presence.
Choosing the type of response, physical and/or verbal, is difficult and should be considered in conjunction with the time of response, that is, where in the composition the response occurs. Choice of response would also depend upon the varieties of humor available and what kind of humor can be identified and responded to. One response method might involve using a squeeze bulb. The listener could signify the time and duration of his response by squeezing the bulb. The investigator would then have specific identification of passages in the music presented which the listener responded to as humorous.

The number of times of listening should also be considered, because of the different levels of subtlety of humor. Often the more obviously humorous sections, such as wrong notes or harmonies or dropped or added beats, can obscure the more sophisticated compositional errors, such as formal twists, style aberrations, and exaggerated mannerisms. A study of this type would necessitate using a relatively musically sophisticated group of subjects, with possibly some formal musical training.

Another study could involve presenting listeners with a composition such as *Danse Macabre* (Saint Saens) and studying it to some extent for form and style in order to familiarize listeners with it. Following this study, a composition which uses the *Danse Macabre* as a quote, such as "Fossiles" (Saint Saens), and be presented and the reaction to it observed. A control group could listen to the second composition only, and the responses of the two groups compared. This is a way to determine effects of prior experience upon appreciation of humor in music.

There are many possibilities of empirical study involving response to humor in music. The best approaches appear to be those which investi-
gate a few variables at one time. It does not seem likely that all relevant information can be used in one experimental situation. Humor serves many purposes in everyday experiences — it can be a form of communication, both intentional and unintentional; it can be a biological or physiological relief mechanism; it can be a threat or aggressive technique which serves a hostile purpose; and it can be found in all aspects of life from the basest, i.e., scatology; to the most aesthetic, esoteric, i.e., the fine arts and philosophy. For these reasons humor must be considered in an interdisciplinary method, even when only one small facet such as response to humorous music is in question.
Conclusions

By approaching the study of humor in music through psychological concepts or theories of humor it becomes possible to identify particular humorous characteristics which can be located in humorous music. Through this identification and location it is then possible to discuss the humor, how it is caused and how it relates to other humor, such as visual and verbal. Identification of such characteristics also makes it possible to study humor in music empirically, and to determine how and why an audience responds to humor in music.

Audience response to musical humor is perhaps one of the most important aspects of a study of musical humor. The review of musical affect points to the possibility of identifying response to various emotional aspects of music, and it seems appropriate that humor in music could be approached in much the same way. The study of the affective response to music is valuable because of the isolation of certain responses to various kinds of music, or to certain characteristics within the music. Although humor can be found in music by examination or analysis it is not really concrete unless it can be responded to. All the concepts of perception, cognition, organismic response and crowd affect are included in the listener's response, and can color, enhance, or detract from the response.

According to this survey of musical affect, psychological humor concepts, and examination of humorous musical examples, a decision can be made that humor in music does exist and can be responded to by certain kinds of audiences, depending upon the type of humor. The same psychological aspects of verbal and visual humor can be seen as part of musical
humor, but according to this study the audience must be familiar with the medium for appreciation of it.
APPENDIX
Haydn, Symphony No. 45, F sharp minor ("Farewell")

The following report about the origin of this work (called "Abtschied-Symphonic" in Germany, "Symphonie des Adieux" in France, "Farewell Symphony" or "Candle Overture" in England) seems to be authentic.

The orchestra of Prince Estéházy, under Haydn’s directorship (1761-1790) consisted in the winter of 1772 of 16 members (6 Violins, each 1 Viola, Cello, Double Bass, Bassoon, 2 Oboes, 4 Horns). Lack of space at the castle of Estéházy and the assembly of numerous artists, together with their families, involved difficulties, which the Prince tried to remedy by notifying his musicians that he did not want to see their families for at least 24 hours. Exempted from this prohibition were the families of Haydn, the two Kammerstimmer Freibert and Dichtler and the first Violinist Tomasini. During the Prince’s absence the musicians were allowed to meet their families at Eisenstadt. In 1772 the Prince stayed at the castle for an unusually long period. The musicians, anxious as regards their family life, applied to "Papa Haydn" for his help. Personal or written applications to the Prince would have been useless. Haydn found a happy solution. At the next Court concert the première of his new symphony took place.

The key in which the work was written was unusual. The first movement created a resolute and virile atmosphere, while the second breathed softness and mildness, and seemed almost to imply leniency or consideration (Violins con Sordino). The normal case of the Menuet, however, did not come through in the third movement. The fourth displayed spasmodic efforts to create a merry mood, but after a halt on the dominant (bar 150) instead of the usual F sharp major or minor continuation, an Adagio appeared (A major). In bar 31 the Oboe I and Horn II stopped playing, packed up their instruments, blew out their candles and disappeared. Eleven bars later the Bassoon, after twice restating the initial bars of the first subject, left in silence. After a further seven bars Horn I and Oboe II followed. The Cellist and Double Bass parted company, the Bass player departed shortly after, followed after ten bars by the Cellist, after a further 18 bars the Violins III and IV departed. Nine bars later only one first and one second Violin remained. Painfully and fading away they finished the Symphony. The last candles were extinguished and Haydn followed the musicians in silence. Prince Nikolaus, however, stopped him, saying: "I have realised your intentions; the musicians are longing for home. Well, tomorrow we pack up."

This edition was undertaken from the complete edition (Breitkopf & Härtel, Set I, Vol. IV, 1931) and the orchestral parts (Symphonie à moyen orchestre composée par J. H. chez A. Kühnel, Étude de Musique à Leipzig, 1809) in the possession of Herr A. van Hoboken, Vienna, to whom we are indebted for this favour.

DR. ERNEST PRAETORIUS.

May, 1936.
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